### McMahon, Mary

From:

Lynda Hyatt < lhyatt@gatewayhomes.org>

Sent:

Friday, April 21, 2017 9:25 AM

To: Cc: McMahon, Mary; Williams, Linda

Subject:

'Catherine Powell'

Attachments:

Final Budget and Negotiations 4-21-17 RFP 2000002064 HPR II - Final Negotiations Agreement 4-21-17.doc

Ms. McMahon and Ms. Williams:

Please find attached Gateway's responses to the budget and negotiations outlined in your lastest correspondence dated 4/21/17.

Thank you again for facilitating this process.

Lynda J. Hyatt, Ph.D. Execuvtive and Clinical Director

Gateway Homes, Inc. 4901 Libbie Mill East Blvd. Suite 210 Richmond, VA 23230 (804) 767-0292 Fax 888-642-0930



# County of Fairfax, Virginia

To protect and enrich the quality of life for the people, neighborhoods and diverse communities of Fairfax County

### SENT VIA EMAIL ON APRIL 21, 2017 TO THE ATTENTION OF LYNDA HYATT

Gateway Homes, Inc. 11901 Reedy Branch Rd. Chesterfield, VA 23838

Attention:

Lynda Hyatt, Ph.D., Executive and Clinical Director

Reference:

RFP2000002064, Residential Treatment Services

Dear Dr. Hyatt:

The Selection Advisory Committee (SAC) has reviewed your negotiation responses sent on dated April16, 2017, regarding the above referenced Request for Proposal and has the attached additional negotiation issues.

Acceptance of these issues does not guarantee that a contract will be awarded to your firm.

Please provide your written response by 2:00 p.m. on April 25, 2017. If you have any questions, please contact me via email at <a href="mailto:mary.mcmahon@fairfaxcounty.gov">mary.mcmahon@fairfaxcounty.gov</a> or via telephone at 703-324-3280.

Sincerely,

Mary R. McMahon, CPPB Contract Specialist Supervisor

12000 Government Center Parkway, Suite 427 Fairfax, VA 22035-0013

Website: <u>www.fairfaxcounty.gov/dpmm</u> Phone 703-324-3201, TTY: 711, Fax: 703-324-3228

### **Highly Intensive Residential Services**

- 1. The county has modified the performance metrics for Highly Intensive Residential agreed to in the March 23 2017, correspondence. Does Gateway agree with the following annual performance targets for Highly Intensive Residential Services?
  - a. 85% of clients have increased their use of coping skills and behavioral strategies to manage psychiatric symptoms, and/or behavioral challenges (contemplation stage of change to be included in this metric)
  - b. 85% of clients increase their ability to complete basic independent living tasks
  - c. 30% of clients will be employed, volunteer, or engage in structured daytime activities (e.g. GED, ESL, degree coursework, professional development, developing and/or engaging in a hobby, developing and/or engaging in routine exercise, ad hoc or structured volunteering in community, participating in a day support program, participating in social clubs)
  - d. 90% of clients decrease psychiatric hospital bed day usage
  - e. 90% of clients with co-existing medical conditions will access health care and follow up with recommendations of health care providers annually
  - f. 80% of clients working will improve their physical health and fitness through a healthy diet and/or regular exercise
  - g. 85% of clients will attend at least one group a week
  - Yes, Gateway agrees to these metrics as noted above.
- 2. The county requests two accessible sites by July 31, 2018 for the provision of Highly Intensive Residential Services. Does Gateway agree to provide accessible sites by July 31, 2018 with the following elements?
  - a. An accessible entrance/exit
  - b. An accessible "path of travel" on the main level and to areas used for group meetings to include appropriate doorways and clear floor paths
  - c. At least one accessible bedroom
  - d. At least one accessible unisex bathroom
  - e. Accessible telephones
  - f. When possible, additional accessible elements such as parking, storage, alarms
  - Yes, Gateway agrees to provide accessible sites as noted above.
- 3. Does Gateway agree to notify NVRPO/County of any vacancies in Highly Intensive Services within 24 hours (if they are unscheduled) or, in the case of anticipated discharges, notify NVRPO/County with the anticipated discharge date as soon as it is known?
  - Yes, Gateway agrees to provide vacancy information within 24 hours and/or as soon as an anticipated discharge date is known.

4. The County appreciates Gateway Homes work on the cost proposal and the revised bed day rates for Highly Intensive submitted on April 16, 2017. The County would like to pay for services at the Highly Intensive level at an annual bed rate. The annual bed rates below are based on the bed day rates submitted by Gateway Homes on April 16<sup>th</sup>. The County will pay 1/12<sup>th</sup> of the bed rate each month for each Highly Intensive bed required in the previous month. Sixteen (16) beds are required for the start of services on July 1, 2017. Does Gateway agree to this pricing structure and the annual bed rates below for Highly Intensive Residential Services?

Fiscal Year	Bed Day Rate	# of days per year	Annual Bed Rate (per bed per year)
FY18 (7/1/17-6/30/18)	\$209.75	365	\$76,558.75
FY19 (7/1/18-6/30/19)	\$217.23	365	\$79,288.95

· Yes, Gateway agrees to the pricing structure and rates as noted above.

### Supervised Residential Services

- 1. Does Gateway agree to provide flexible staffing based on clinical acuity and to provide both on-site overnight and on-call overnight services at this level of care?
  - Yes, Gateway agrees to provide flexible staffing based on clinical acuity and to provide both on-site overnight and on-call overnight services for Supervised Residential Services.
- 2. As part of the Mental Health Skill Building Service provided at this level of care, does Gateway agree to assist clients in applying for and/or reactivating benefits, including gathering and researching information, obtaining identification, etc.?
  - Yes, Gateway agrees to provide skill building services to assist clients in applying for and/or reactivating benefits including gathering and researching information and items needed for benefit application, such as identification.
- 3. Does Gateway agree with the following annual performance targets for Supervised Residential Services?
  - 80% of clients use coping skills and behavioral strategies to manage psychiatric symptoms, and/or behavioral challenges (contemplation stage of change to be included in this metric)
  - b. 90% of clients demonstrated ability to complete basic independent living tasks
  - c. 80% of clients will be employed, volunteer, or engage in structured daytime activities (e.g. GED, ESL, degree coursework, professional development, developing and/or engaging in a hobby, developing and/or engaging in routine

exercise, ad hoc or structured volunteering in community, participating in a day support program, participating in social clubs)

d. 90% of clients avoided psychiatric hospitalization in the last 12 months

- e. 85% of clients with co-existing medical conditions accessed health care and followed up with recommendations of health care providers in the last 12 months
- f. 80% of clients are worked to improve their physical health and fitness in the last 12 months (by losing weight, participating in regular exercise, etc.)
- Yes, Gateway agrees to these metrics as noted above.
- 4. Does Gateway agree to provide the following accessible elements in 50% of the sites used for the provision of Supervised Residential Services?
  - a. An accessible entrance/exit
  - b. An accessible "path of travel" on the main level and to areas used for group meetings to include appropriate doorways and clear floor paths
  - c. At least one accessible bedroom
  - d. At least one accessible unisex bathroom
  - e. Accessible telephones
  - f. When possible, additional accessible elements such as parking, storage, alarms
  - · Yes, Gateway agrees to provide accessible sites as noted above.
- 5. Does Gateway agree to notify NVRPO/County of any vacancies in Supervised Residential Services within 24 hours (if they are unscheduled) or, in the case of anticipated discharges, notify NVRPO/County with the anticipated discharge date as soon as it is known?
  - Yes, Gateway agrees to provide vacancy information within 24 hours and/or as soon as an anticipated discharge date is known.
- 6. The County appreciates Gateway Homes work on the cost proposal and the revised bed day rate for Supervised Residential Services submitted on April 16, 2017. The County would like to pay for services at the Supervised level at an annual bed rate. The annual bed rate below is based on the bed day rate submitted by Gateway Homes on April 16<sup>th</sup>. The County will pay 1/12<sup>th</sup> of the bed rate each month for each Supervised bed required. Forty-eight (48) beds are required for the start of services on July 1, 2017. Does Gateway agree to this pricing structure and the bed rate for Supervised Residential Services?

Bed Day Rate	# of days per year	Annual Bed Rate (per bed per year)
\$120.00	365	\$43,800

Yes, Gateway agrees to the pricing structure and rates as noted above.

### Supportive Residential Services

- 1. The County appreciates Gateway Homes work on the cost proposal and the revised Service Unit Rate of \$80 for Supportive Residential Services submitted on April 16, 2017. The County is considering awarding a primary and secondary award for the provision of Supportive Residential Services with Gateway Homes being the secondary awardee. This means the Supportive Residential Services for ten (10) individuals advertised in the RFP would be referred to the primary awardee and potential additional referrals may be made to Gateway Homes as the secondary awardee. During the negotiation meeting on April 4, 2017, Gateway Homes stated that the staffing plan proposed for this level of care was based on a caseload of 10 individuals. Will Gateway Homes be able to provide services to individuals on an ad hoc referral basis in groups of less than 10 individuals? Is Gateway Homes interested in a secondary award at this level?
  - Yes, Gateway would be interested in the secondary award to provide ad hoc skills building to referred individuals. Gateway would be able to provide services in groups of less than 10 individuals.
- 2. Does Gateway agree with the following annual performance targets for Supportive Residential Services?
  - 80% of clients use coping skills and behavioral strategies to manage psychiatric symptoms, and/or behavioral challenges (contemplation stage of change to be included in this metric)
  - b. 70% of clients demonstrate ability to complete basic independent living tasks
  - c. 80% of clients will be employed, volunteer, or engage in structured daytime activities (e.g. GED, ESL, degree coursework, professional development, developing and/or engaging in a hobby, developing and/or engaging in routine exercise, ad hoc or structured volunteering in community, participating in a day support program, participating in social clubs)
  - d. 90% of clients avoid psychiatric hospitalization in the last 12 months
  - e. 85% of clients with co-existing medical conditions have accessed health care and followed up with recommendations of health care providers in the last 12 months
  - f. 80% of clients are working to improve their physical health and fitness in the last 12 months (by losing weight, participating in regular exercise, etc.)
  - Yes, Gateway agrees to these metrics as noted above.
- 3. Does Gateway agree to invoice monthly, by the 5<sup>th</sup> day of the month, for the services provided in the previous month according to the format below?

	CSB Case Manager	CSB Jurisdiction	Date of Service	Start Time/End Time	# of Service Units	# of Hours
Client Name						

Client		
Name		

Yes, Gateway agrees to using the billing format as noted above.

### McMahon, Mary

From:

Lynda Hyatt < lhyatt@gatewayhomes.org >

Sent:

Sunday, April 16, 2017 9:02 PM

To:

Williams, Linda; McMahon, Mary

Cc:

'Catherine Powell'

Subject:

Revised Budget Forms and Narrative Justification RFP2000002064

Attachments:

HPR II - Budget Forms 4-16-17 Revised.xlsx; HPR II - Budget Justification 4-16-17.docx

Ms. Williams and Ms. McMahon: Please find attached the revised budget forms with written justification as requested in the summary of negotiations 4/14/17. I have checked the bed day rates with our ICRT in Williamsburg and the Supervised Living Program in Chesterfield and the rates are comparable.

If you have any questions please do not hesitate to contact me.

Thank you again for your patience and assistance.

Lynda

Lynda J. Hyatt, Ph.D.
Execuvtive and Clinical Director
Gateway Homes, Inc.
4901 Libbie Mill East Blvd. Suite 210
Richmond, VA 23230
(804) 767-0292
Fax 888-642-0930

RFP2000002064 Appendix B

**Please Note: Clinical Accuity as determined	8200 Rolling Road	To Be Identified - Home		To Be Identified - Home		
by vendor will determine Overnight Supervision Levels	Springfield, VA	for 8 Individuals	for 8 Individuals	for 8 Individuals	for 8 Individuals	for 8 Individuals
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.						
Team Leader (2 leaders, 3 sites each)	\$18,333.00	\$18,333.00	\$18,333.00	\$18,333.00	\$18,333.00	\$18,333.00
Clinical Operations Director	\$2,666,66	\$2,666.66	\$2,666.66	\$2,666.66	\$2,666.66	\$2,666.66
Recovery Support Specialist 4 Full Time	\$149,760.00	\$149,760.00	\$149,760.00	\$149,760.00	\$149,760.00	\$149,760.00
Recovery Support Specialist 2 Part Time	\$44,928.00	\$44,928.00	\$44,928.00	\$44,928.00	\$44,928.00	\$44,928.00
TOTAL PERSONNEL COSTS	\$215,687.66	\$215,687.66	\$215,687.66	\$215,687.66	\$215,687.66	\$215,687.66
B. DIRECT COSTS: Use the categories below as appropriate and show how direct costs would be allocated across sites						
Rent/Mortgage	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00
Space Utilities/Maintenance	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00
Program Costs	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00
Financial Servcies	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Consultants	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Insurance	\$800.00	\$800.00	\$800.00	\$800.00	\$800.00	\$800.00
Equipment Purchase (Computers/Printers)	\$433.33	\$433.33	\$433.33	\$433.33	\$433.33	\$433.33
Supplies	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00
Food	\$16,000.00	\$16,000.00	\$16,000.00	\$16,000.00	\$16,000.00	\$16,000.00
Telecommunications	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00
Printing/Copying	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Postage	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00
Training	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00
Vehicle Fuel	\$2,400.00	\$2,400.00	\$2,400.00	\$2,400.00	\$2,400.00	\$2,400.00
Vehicle Maintenance	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00
Software Purchase/License	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00
Other (Furnishings)	\$3,377.00	\$3,377.00	\$3,377.00	\$3,377.00	\$3,377.00	\$3,377.0
Other (Rental Deposits)	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.0
Other (Vehicles)	\$6,133.33	\$6,133.33	\$6,133.33	\$6,133.33	\$6,133.33	\$6,133.3
Other (Site Modifications)	\$0.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.0
TOTAL DIRECT COSTS	\$84,543.66	\$84,743.66	\$84,743.66	\$84,743.66	\$84,743.66	\$84,743.66
C. INDIRECT COSTS: specify indirect Cost Categories (fringe benefits, poyroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites						
Payroll Taxes 8%	\$17,255.01	\$17,255.01	\$17,255.01	\$17,255.01	\$17,255.01	\$17,255.01
Fringe Benefits 15% (Excludes Part Time)	\$25,613.95	\$25,613.95	\$25,613.95	\$25,613.95	\$25,613.95	\$25,613.95
Administrative Expenses 18%	\$61,758.05	\$61,794.05	\$61,794.05	\$61,794.05	\$61,794.05	\$61,794.0
TOTAL INDIRECT COSTS	\$104,627.01	\$104,663.01	\$104,663.01	\$104,663.01	\$104,663.01	\$104,663.01
TOTAL OPERATING COSTS (A + B + C)	\$404,858.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33
D. START-UP COSTS:						
TOTAL START-UP COSTS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
TOTAL EXPENSES (Operating + Start-Up)	\$404,858.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33

## Budget Form for <u>Supervised Residential Services</u>

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR	
Clinical Operations Director (1)	8 hours/week	\$38.46/hour	\$16,000.00	
Team Leader (2)	40 hours per week	\$26.44/hour	\$110,000.00	
Recovery Support Specialist (24 Full Time)	40 hours per week per staff	\$18.00/hour	\$898,560.00	
Recovery Support Specialist (12 Part Time)	24 hour per week per staff	\$18.00/hour	\$269,568.00	
TOTAL PERSONNEL COSTS	。 1000年1月1日 - 1000年1月1日 - 1		\$1,294,128.00	
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR	
Rent/Mortgage	Electric Control of Co		\$187,200.00	
Space Utilities/Maintenance			\$72,000.00	
Program Costs			\$21,600.00	
Financial Servcies			\$0.00	
Consultants			\$0.00	
Insurance			\$4,800.00	
Equipment Purchase/Lease			\$2,600.00	
Supplies			\$12,000.00	
Food			\$96,000.00	
Telecommunications			\$21,600.00	
Printing/Copying			\$0.00	
Postage		275	\$1,800.00	
Training			\$6,000.00	
Vehicle Fuel			\$14,400.00	
Vehicle Maintenance			\$7,200.00	
Software Purchase/License			\$1,200.00	
Other (Furnishings)	· · · · · · · · · · · · · · · · · · ·		\$20,262.00	
Other (Rental Deposits)	2000年1950年,2000年1962年		\$1,800.00	
Other (Vehicles)	9423.53		\$36,800.00	
Other (Site Modifications)			\$1,000.00	
TOTAL OTHER DIRECT			\$508,262.00	
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR	
Payroll Taxes 8%	8%	\$1,294,128.00	\$103,530.24	
Fringe Benefits 15% (Excludes Part Time)	15%	\$1,024,560.00	\$153,684.00	
Administrative Expenses 18%	18%	\$2,059,604.24	\$370,728.76	
TOTAL INDIRECT COSTS			\$627,943.00	
TOTAL EXPENSES (A+B+C)	TO STATE OF THE PROPERTY OF THE PARTY OF THE		\$2,430,333.00	

### REVENUE

REVENUE CATEGORIES: Use the categories below as appropriate		ESTIMATED REVENUE/YEAR
Service Contract Payments		\$0.00
Fund Raising/Donations	*Note: This will be a new activity for Gateway in Northern Virginia	\$10,000.00
Client Fees	*Note: Estimating 50% Consumers have SSI at \$735.00	\$169,344.00
Client Benefits	1000000000000000000000000000000000000	\$0.00
Medicaid/Medicare	*Note: Dependent Upon Acuity & Need for Mental Health Skills Building	\$150,000.00
Federal/State		\$0.00
Other (Please specify)	的 20 P L P 20 P P P P P P P P P P P P P P P P P	\$0.00
		\$0.00
TOTAL REVENUE	BOOK STORES OF THE PROPERTY OF	\$329,344.00
TOTAL NET BED DAY RATE		\$120.00

RFP2000002064 Appendix B

### **Budget Form for Supportive Residential Services**

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director	2 hours/week	\$38.46/hour	\$4,000.00
QMHP-A (1)	40 hours per week	\$20.19/hour	\$42,000.00
TOTAL PERSONNEL COSTS		MANUEL DE LE CONTROL	\$46,000.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage			\$0.00
Space Utilities/Maintenance			\$0.00
Program Costs			\$0.00
Financial Servcies			\$0.00
Consultants			\$0.00
Insurance			\$0.00
Equipment Purchase (Computer)			\$160.00
Supplies			\$0.00
Food			\$0.00
Telecommunications			\$0.00
Printing/Copying			\$0.00
Postage			\$0.00
Training			\$200.00
Vehicle	新月10日1日 - 10日 -		\$4,600.00
Vehicle Fuel			\$2,400.00
Vehicle Maintenance			\$600.00
Software Purchase/License			\$0.00
Other (Please specify)		Market State of the State of th	\$
TOTAL OTHER DIRECT		Vanish to the second	\$7,960.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8%	8%	46000	3680
Fringe Benefits 15%	15%	46000	6900
Administrative Expenses 18%	18%	64540	11617.2
TOTAL INDIRECT COSTS			22197.2
TOTAL EXPENSES (A+B+C)			\$76,157.20

REVENUE CATEGORIES: Use the categories below as appropriate	ESTIMATED REVENUE/YEAR
Service Contract Payments	0
Fund Raising/Donations	0
Client Fees	0
Client Benefits	0
Medicaid/Medicare	0
Federal/State	0
Other (Please specify)	0
	0
TOTAL REVENUE	0

RFP2000002064 Appendix B

Supplemental Budget Form for Highly Intensive Residential Services - Annual Itemized Expenses by Site

		itart Services in July 1, 2017		ed capacity at Annandal Aug 1, 2018
	Estimated Annual Cost for Annandale Site		Address Unknown (Formerly Annandale)	
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.				
Clinical Operations Director	\$30,000.00	\$30,000.00	\$30,000.00	
Team Leader (2 total)	\$50,000.00	\$50,000.00	\$50,000.00	
Peer Specialist	\$20,800.00			
Nurse	\$26,000.00			SULFE
Psychiatrist	\$8,000.00	\$8,000.00	\$8,000.00	
Recovery Support Specialist (5 Full Time per house)	\$208,000.00	\$208,000.00	\$208,000.00	
Recovery Support Specialist (2 Part Time per house)	\$49,920.00	\$49,920.00	\$49,920.00	
TOTAL PERSONNEL COSTS	\$392,720.00	\$392,720.00	\$392,720.00	
B. DIRECT COSTS: Use the categories below as	\$332,720.00	\$332,720.00	\$332,720.00	TO THE PARTY OF THE
appropriate and show how direct costs would be allocated across sites				
Rent/Mortgage	\$0*	31,200.00	31,200.00	
Space Utilities/Maintenance	6,000.00	12,000.00	12,000.00	
Program Costs	8,000.00	8,000.00	8,000.00	
Financial Servcies	0.00	0.00	0.00	
Consultants	500.00	500.00	500.00	
Insurance	1,800.00	1,800.00	1,800.00	
Equipment Purchase (Computer)	400.00	400.00	400.00	
Equipment Purchase (Copy Machine)	0.00	600.00	300.00	
Supplies	4,000.00	4,000.00	4,000.00	
Food	16,000.00	16,000.00	16,000.00	
Telecommunications	3,600.00	3,600.00	3,600.00	
Printing/Copying	0.00	0.00	0.00	
Postage	300.00	300.00	300.00 500.00	
Training Vehicle Fuel	2,000.00	1,000.00 2,000.00	2,000.00	
Vehicle Maintenance	1,200.00	1,200.00	1,200.00	
Software Purchase/License	0.00	200.00	0.00	
Other (Furnishings)	4,012.00	4,012.00	4,012.00	
Other (Site Modifications)	0.00	500.00	250.00	
Other (Rental Deposits)	0.00	600.00	300.00	24/
Other (Vehicles)	0.00	13,800.00	6,900.00	
TOTAL DIRECT COSTS	47,812.00	101,712.00	93,262.00	
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites				
Payroll Taxes 8% (Excluded Psychiatry)	\$30,777.60	\$30,777.60	\$30,777.60	
Fringe Benefits 15%	4		4	
(Excluded Part Time and Psychiatry)	\$50,220.00	\$50,220.00		
Administrative Expenses 18%	\$93,875.33	\$103,577.33	\$102,056.33	
TOTAL INDIRECT COSTS	\$174,872.93	\$184,574.93	\$183,053.93	
TOTAL OPERATING COSTS (A + B + C)	\$615,404.93	\$679,006.93	\$669,035.93	
D. START-UP COSTS:				
Other (Please specify)				
TOTAL START-UP COSTS	\$0.00	\$0.00	\$0.00	
			\$669,035.93	

**Please Note: Clinical Accuity as determined	8200 Rolling Road	To Be Identified - Home	To Be Identified - Home			
by vendor will determine Overnight Supervision Levels	Springfield, VA	for 8 Individuals	for 8 Individuals	for 8 Individuals	for 8 Individuals	for 8 Individuals
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each lite. Do not include employee names.						
Team Leader (2 leaders, 3 sites each)	\$18,333.00	\$18,333.00	\$18,333.00	\$18,333.00	\$18,333.00	\$18,333.00
Clinical Operations Director	\$2,666.66	\$2,666.66	\$2,666.66	\$2,666.66	\$2,666.66	\$2,666.66
Recovery Support Specialist 4 Full Time	\$149,760.00	\$149,760.00	\$149,760.00	\$149,760.00	\$149,760.00	\$149,760.00
Recovery Support Specialist 2 Part Time	\$44,928.00	\$44,928.00	\$44,928.00	\$44,928.00	\$44,928.00	\$44,928.00
TOTAL PERSONNEL COSTS	\$215,687.66	\$215,687.66	\$215,687.66	\$215,687.66	\$215,687.66	\$215,687.66
B. DIRECT COSTS: Use the categories below as						
appropriate and show how direct costs would be allocated across sites						
Rent/Mortgage	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00
Space Utilities/Maintenance	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00
Program Costs	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00
Financial Servcies	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Consultants	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Insurance	\$800.00	\$800.00	\$800.00	\$800.00	\$800.00	\$800.00
Equipment Purchase (Computers/Printers)	\$433.33	\$433.33	\$433.33	\$433.33	\$433.33	\$433.33
Supplies	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00
Food	\$16,000.00	\$16,000.00	\$16,000.00	\$16,000.00	\$16,000.00	\$16,000.00
Telecommunications	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00
Printing/Copying	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
Postage	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00	\$300.00
Training	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00
Vehicle Fuel	\$2,400.00	\$2,400.00	\$2,400.00	\$2,400.00	\$2,400.00	\$2,400.00
Vehicle Maintenance	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00
Software Purchase/License	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00
Other (Furnishings)	\$3,377.00	\$3,377.00	\$3,377.00	\$3,377.00	\$3,377.00	
Other (Rental Deposits)	\$300.00		\$300.00			
Other (Vehicles)	\$6,133.33	\$6,133.33	\$6,133.33			
Other (Site Modifications)	\$0.00	\$200.00	\$200.00	\$200.00	\$200.00	\$200.00
TOTAL DIRECT COSTS	\$84,543.66	\$84,743.66	\$84,743.66	\$84,743.66	\$84,743.66	\$84,743.66
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites						
Payroll Taxes 8%	\$17,255.01	\$17,255.01	\$17,255.01	\$17,255.01	\$17,255.01	\$17,255.01
Fringe Benefits 15% (Excludes Part Time)	\$25,613.95	\$25,613.95	\$25,613.95	\$25,613.95	\$25,613.95	\$25,613.95
Administrative Expenses 18%	\$61,758.05	\$61,794.05	\$61,794.05	\$61,794.05	\$61,794.05	\$61,794.05
TOTAL INDIRECT COSTS	\$104,627.01	\$104,663.01	\$104,663.01	\$104,663.01	\$104,663.01	\$104,663.01
TOTAL OPERATING COSTS (A + B + C)	\$404,858.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33
D. START-UP COSTS:						
TOTAL START-UP COSTS	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00	\$0.00
TOTAL START-UP COSTS  TOTAL EXPENSES (Operating + Start-Up)	\$404,858.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33	\$405,094.33
	The facility of the facility o			The state of the s		The second second

RFP2000002064

\$80.00 Appendix B Supplemental Budget Form for Supportive Residential Services - Service Hour Rate & Applicable Start-Up Costs JUSTIFICATION - Provide justification and details for this category of costs PROPOSED SERVICE HOUR RATE FOR ALL SUPPORTIVE RESIDENTIAL SERVICES \$0.00 COST START-UP COSTS: specify categories of start-up costs that apply to the Supportive Residential Service Model proposed. TOTAL START-UP COSTS

# **Budget Modifications Due to Conference Call 4/14/2017**

### **Highly Intensive Budget Adjustment Justification**

Equipment Purchase (Computers)

LINE ITEM 22 ON BUDGET

	Qty. Needed per	Actual Cost/Unit	Replacement	Total Cost over
	5 year lifetime		Cost @ 5 yrs.	10 Year Contract
Hirst Drive (2017)	2 Laptops	\$800/ea	\$800/ea	\$3200.00
Bath Street (2017)	3 Laptops	\$800/ea	\$800/ea	\$4800.00
			TOTAL COST	\$8000.00
			Monthly Cost	\$66.67/month
			Annual Cost	\$800.04/year

Equipment Purchase (Copier)

LINE ITEM 23 ON BUDGET

quipinent i dichase (Copiei)		DIL III III ZO	JI L DOD OLL	
	Qty. Needed per 10 year lifetime	Actual Cost/Unit		Total Cost over 10 Year Contract
Bath Street	1	\$6000/ea		\$6000.00
			TOTAL COST	\$6000.00
			Monthly Cost	\$50.00
			Annual Cost	\$600.00

Other (Furnishings)

LINE ITEM 33 ON BUDGET

	Time Period	Actual Cost		Total Cost over 10 Year Contract
Hirst Drive	Couches/Desks 2017	\$5000		\$5000.00
Bath Street	Total Furnishing 2017	\$20000.00		\$20000.00
Hirst New Location	Replacement/New Furnishings 2018	\$20000.00		\$20000.00
Replacement Mattresses	Each Bed Replaced every 2 years. (4 cycles)	\$200.00/mattress 64 mattresses		\$12,800.00
Replacement Kitchenware	Cookware, Tableware, and Small Appliances Replaced every 2 years. (4 cycles)	\$100.00/cookware \$40.00/tableware \$200.00/small appliances	\$8,000.00 \$320.00 \$1,600.00	\$9,920.00
Replacement Bath and Bedding Items	Towel Sets Bedding Sets Replaced Every Year (9cycles)	\$20.00/set \$60.00/set	\$2,880.00 \$8,640.00	\$11,520.00

Replacement Desks	Each Desk Replaced Every 5 years	\$250.00 4 desks		\$1000.00
			TOTAL COST	\$80,240.00
Part I mark to the same of the			Monthly Cost	\$668.67
			Annual Cost	\$8024.00

Other (Site Modifications)	LINE ITEM 34 ON BUDGET
Other (Site Modifications)	LINE HEW 34 ON BUDGET

other (Site Modifi				T
	Modifications Needed	Actual Cost/Unit		Total Cost over 10 Year Contract
Hirst Drive	No Known Mods	\$0		\$0
Bath Street	No Known Mods	\$0		\$0
Hirst New Location (2018)	Handicapped Accessible Bathrooms, Ramps, TDD Phone, and Possible Door Changes	\$5000.00		\$5000.00
			TOTAL COST	\$5000.00
			Monthly Cost	\$41.67
			Annual Cost	\$500.00

Other (Rental Deposits)

LINE ITEM 35 ON BUDGET

Julei (Kentai Depi	osits)		LINE HEN 33 (	IN BUDULI
	Deposits Needed	Actual Cost/Unit		Total Cost over 10 Year Contract
Hirst Drive	No Known Dep	\$0		\$0
Bath Street	Lease Deposit	\$2600.00		\$3000.00
	Utility Deposits	\$400.00		
Hirst New	Lease Deposit	\$2600.00		\$3000.00
Location (2018)	Utility Deposits	\$400.00		
			TOTAL COST	\$6000.00
			Monthly Cost	\$50.00
			Annual Cost	\$600.00

Other (Vehicles)

### LINE ITEM 36 ON BUDGET

	Qty. Needed per 5 year lifetime	Actual Cost/Unit	Replacement Cost @, 5 yrs.	Total Cost over 10 Year Contract
Hirst Drive (2017)	0	\$0/ea	\$0/ea	\$0.00
Bath Street (2017)	2 Vehicles	\$23000.00/ea	\$23000.00/ea	\$92000.00
Hirst New Location (2018)	1 Vehicle	\$230000.00/ea	\$23000.00/ea	\$46000.00
			TOTAL COST	\$138000.00
			Monthly Cost	\$1150.00/month
			Annual Cost	\$13800.00/year

# **Supervised Living Budget Adjustment Justification**

Equipment Purchase (Computers/Printers)

LINE ITEM 20 ON BUDGET

equipment i di cha	se (Compaters/11me	.015)	DITTE TI DIVI 20	JI DODGET
	Qty. Needed per	Actual Cost/Unit	Replacement	Total Cost over
	5 year lifetime		Cost @ 5 yrs.	10 Year Contract
(2) Team Leads	1 Laptop/each (2 Total)	\$800/ea	\$800/ea	\$3200.00
Rolling Road	2 Laptops	\$800/ea	\$800/ea	\$3200.00
TBD Location 1	2 Laptops	\$800/ea	\$800/ea	\$3200.00
TBD Location 2	2 Laptops	\$800/ea	\$800/ea	\$3200.00
TBD Location 3	2 Laptops	\$800/ea	\$800/ea	\$3200.00
TBD Location 4	2 Laptops	\$800/ea	\$800/ea	\$3200.00
TBD Location 5	2 Laptops	\$800/ea	\$800/ea	\$3200.00
	Qty. Needed per 2 year lifetime	Actual Cost/Unit	Replacement Cost per 2 years	Total Cost over 10 Year Contract
Printers	6	\$120.00	\$120.00	\$3600.00
			TOTAL COST	\$26000.00
			Monthly Cost	\$216.66/month
			Annual Cost	\$2600.00/year

Other (Furnishings) LINE ITEM 30 ON BUDGET

	Furniture	Cost		Total Cost over
	Purchase Desc.			10 Year Contract
Rolling Road	Initial Items	\$20000.00		\$20000.00
TBD Location 1	Initial Items	\$20000.00	14 12 17	\$20000.00
TBD Location 2	Initial Items	\$20000.00		\$20000.00
TBD Location 3	Initial Items	\$20000.00		\$20000.00
TBD Location 4	Initial Items	\$20000.00		\$20000.00
TBD Location 5	Initial Items	\$20000.00		\$20000.00
Replacement Mattresses	Each Bed Replaced every 2 years. (4 cycles)	\$200.00/mattress 192 mattresses		\$38,400.00
Replacement Kitchenware	Cookware, Tableware, and Small Appliances Replaced every 2 years. (4 cycles)	\$100.00/ cookware \$40.00/tableware \$200.00/small appliances	\$2400.00 \$960.00 \$4,800.00	\$8,160.00
Replacement Bath and Bedding Items	Towel Sets Bedding Sets Replaced Every Year (9 cycles)	\$20.00/set \$60.00/set	\$8,640.00 \$25,920.00	\$34,560.00

Replacement Desks	Each Desk Replaced Every 5 years	\$250.00 6 desks		\$1500.00
			TOTAL COST	\$202,620.00
			Monthly Cost	\$1688.50
			Annual Cost	\$20,262.00

Other (Rental Deposits)	LINE ITEM 31 ON BUDGET

other (Rental Deposits)		LINE HEM 31 ON BUDGET		
	Deposits Needed	Actual Cost/Unit		Total Cost over 10 Year Contract
Rolling Road	Lease Deposit	\$2600.00		\$3000.00
	Utility Deposits	\$400.00	2 2	
TBD Location 1	Lease Deposit	\$2600.00		\$3000.00
	Utility Deposits	\$400.00		
TBD Location 2	Lease Deposit	\$2600.00		\$3000.00
	Utility Deposits	\$400.00		
TBD Location 3	Lease Deposit	\$2600.00		\$3000.00
	Utility Deposits	\$400.00		
TBD Location 4	Lease Deposit	\$2600.00		\$3000.00
	Utility Deposits	\$400.00		
TBD Location 5	Lease Deposit	\$2600.00		\$3000.00
	Utility Deposits	\$400.00	1	
			TOTAL COST	\$18000.00
			Monthly Cost	\$150.00
			Annual Cost	\$1800.00

Other (Vehicles)

LINE ITEM 32 ON BUDGET

	Qty. Needed per	Actual Cost/Unit	Replacement	Total Cost over
	5 year lifetime		Cost @ 5 yrs.	10 Year Contract
Rolling Road	1 Vehicle	\$23000.00/ea	\$23000.00/ea	\$46000.00
TBD Location 1	1 Vehicle	\$23000.00/ea	\$23000.00/ea	\$46000.00
TBD Location 2	1 Vehicle	\$23000.00/ea	\$23000.00/ea	\$46000.00
TBD Location 3	1 Vehicle	\$23000.00/ea	\$23000.00/ea	\$46000.00
TBD Location 4	1 Vehicle	\$23000.00/ea	\$23000.00/ea	\$46000.00
TBD Location 5	1 Vehicle	\$23000.00/ea	\$23000.00/ea	\$46000.00
Transport Vans	2 Vehicles	\$23000.00/ea	\$23000.00/ea	\$92000.00
			TOTAL COST	\$368000.00
			Monthly Cost	\$3066.66/month
St. Landau all militar			Annual Cost	\$36800.00/year

Other (Site Modifications)

LINE ITEM 33 ON BUDGET

Correr (Street	1.10 0.1110		
	Modifications	Actual Cost per	Total Cost over
	Needed	Home	10 Year Contract

Rolling Road	No Known Mods	\$0		\$0
TBD Locations (Two Homes Total)	Handicapped Accessible Bathrooms, Ramps, TDD Phone, and Possible Door Changes	\$5000.00		\$10000.00
			TOTAL COST	\$10000.00
			Monthly Cost	\$83.33
			Annual Cost	\$1000.00

# **Supportive Budget Adjustment Justification**

Equipment Purchase (Computers)

LINE ITEM 20 ON BUDGET

-derbinent r are	onabe (comparers)		LILIE IIIII 20	OIT DODOLI
	Qty. Needed per	Actual Cost/Unit	Replacement	Total Cost over
	5 year lifetime		Cost @ 5 yrs.	10 Year Contract
QMHP-A Worker	1 Laptop	\$800/ea	\$800/ea	\$1600.00
			TOTAL COST	\$1600.00
			Monthly Cost	\$13.33/month
			Annual Cost	\$160.00/year

Other (Vehicles)

LINE ITEM 27 ON BUDGET

	Qty. Needed per 5 year lifetime	Actual Cost/Unit	Replacement Cost @ 5 yrs.	Total Cost over 10 Year Contract
QMHP-A Worker	1	\$23000.00/ea	\$23000.00/ea	\$46000.00
			TOTAL COST	\$46000.00
			Monthly Cost	\$383.33/month
			Annual Cost	\$4600.00/year

### Williams, Linda

From:

Lynda Hyatt < lhyatt@gatewayhomes.org>

Sent:

Wednesday, April 5, 2017 4:18 PM

To:

Williams, Linda

Subject:

Revised documents from verbal negotiations 4-4-17

Attachments:

HPR II - CancellationPolicyAcknowledgement 4-5-17.docx; HPR II - Revised Budget

Forms - 4-5-17.xlsx; HPR II - FollowUp\_VerbalNegotiation 4-5-17.docx; HPR II -

Cancellation Policy - 4-5-17.docx

Attached please find the cancellation policy with an acknowledgement form, the revised budget forms and the updated verbal negotiation handout responses.

If you have any questions please feel free to contact me.

Thank you again for your assistance.

Lynda

Lynda J. Hyatt, Ph.D.
Execuvtive and Clinical Director
Gateway Homes, Inc.
4901 Libbie Mill East Blvd. Suite 210
Richmond, VA 23230
(804) 767-0292
Fax 888-642-0930



### Community-Based Program Participants Cancellation Policy Acknowledgement

### Our Responsibility:

Please understand that we wish to make your appointments helpful. When an appointment is scheduled, you will be provided a written appointment card, and be provided a telephone call reminder at least two days before your appointment.

### Your Responsibility:

Gateway Representative's Signature

We understand that circumstances occur that may result in your need to cancel or reschedule. It is Gateway's policy that you are expected to inform us at least 24 hours in advance of this need. Should you need to cancel or are not at home when your counselor visits, Gateway will bill you for a cancellation/no-show fee of \$20.00.

Please sign below acknowledging you have been informed of this fee and understand that you

will be responsible for paying the fee if it is incurred.		
Program Participant's Signature	Date	
Guardian and/or Authorized Representative's Signature (if applicable)	Date	

Date

### Budget Form for Highly Intensive Residential Services

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	30 hours/week	\$38.46/hour	\$60,000.00
Team Leader (2)	40 hours per week	\$24.00/hour	\$100,000.00
Recovery Support Specialist (10 Full Time)	40 hours per week	\$20.00/hour	\$416,000.00
Recovery Support Specialist (4 Part Time)	24 hours per week	\$20.00/hour	\$99,840.00
Peer Specialist (1)	40 hours per week	\$20.00/hour	\$41,600.00
Nurse (1)	40 hours per week	\$25.00/hour	\$52,000.00
Psychiatrist (1)	As Scheduled Monthly	Salary	\$16,000.00
TOTAL PERSONNEL COSTS	A STATE OF THE STA		\$785,440.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage	*Note: 2018 and beyond will	increase to \$62,400.00	\$62,400.00
Space Utilities/Maintenance	The season will be seen that the season will		\$24,000.00
Program Costs	of Paragraph and Control of the Cont		\$16,000.00
Financial Servcies			\$0.00
Consultants			\$1,000.00
Insurance			\$3,600.00
Equipment Purchase/Lease (Computer)			\$2,400.00
Equipment Purchase/Lease (Copier)			\$6,000.00
Supplies			\$8,000.00
Food	TELEPINA CONTRACTOR OF THE PARTY OF THE PART		\$32,000.00
Telecommunications	prominent and the second		\$7,200.00
Printing/Copying			\$0.00
Postage		Manager 1997	\$600.00
Training			\$1,500.00
Vehicle Fuel			\$4,000.00
Vehicle Maintenance	Property of the Control of the Contr		\$2,400.00
Software Purchase/License			\$200.00
Other (Furnishings)			\$40,000.00
Other (Site Modifications)			\$2,400.00
Other (Rental Deposits)			\$6,000.00
Other (Vehicles)			\$60,000.00
TOTAL OTHER DIRECT			\$279,700.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8% (Excluded Psychiatry)	89	\$769,440.00	\$61,555.20
Fringe Benefits 15% (Excluded			
Part Time and Psychiatry)	159	1	\$100,440.00
Administrative Expenses 15%	159	% \$1,227,135.20	\$184,070.28
TOTAL INDIRECT COSTS			\$346,065.48
TOTAL EXPENSES (A+B+C)	THE RESERVE AND ADDRESS.		\$1,411,205.48

### REVENUE

REVENUE CATEGORIES: Use the categories below as appropriate		ESTIMATED REVENUE/YEAR
Service Contract Payments		\$0.00
Fund Raising/Donations	*Note: This will be a new activity for Gateway in Northern Virginia	\$10,000.00
Client Fees	*Note: Estimating Half of Consumers have SSI at \$735.00	\$56,448.00
Client Benefits		\$0.00
Medicaid/Medicare		\$3,000.00
Federal/State		\$0.00
Other (Please specify)		\$0.00
	Committee of the commit	\$0.00
TOTAL REVENUE		\$69,448.00
TOTAL NET BED DAY RATE		\$229.75

# Budget Form for <u>Supervised Residential Services</u> Provide one budget for each service level proposed

EXPENSES

DUTS/Week         \$38.46/hour         \$15,000.00           hours per week         \$25.44/hour         \$15,000.00           hour per week per staff         \$18.00/hour         \$299,560.00           hour per week per staff         \$18.00/hour         \$11,294,128.00           \$1,294,128.00         \$1,294,128.00         \$137,200.00           \$272,000.00         \$272,000.00         \$272,000.00           \$272,000.00         \$272,000.00         \$272,000.00         \$272,000.00           \$2,000.00         \$2,000.	1011
\$38.46/hour   \$26.44/hour   \$   \$   \$   \$   \$   \$   \$   \$   \$	
\$38.46/hour   \$26.44/hour   \$   \$   \$   \$   \$   \$   \$   \$   \$	Other (Please specify)
\$38.46/hour   \$26.44/hour   \$   \$   \$   \$   \$   \$   \$   \$   \$	Federal/State
\$38.46/hour \$26.44/hour \$  per staff \$18.00/hour \$  \$18.00/hour \$  \$1.00/hour \$  \$1.00	dicare
S38.46/hour   S26.44/hour   S   S18.00/hour   S   S18.00/hour   S   S18.00/hour   S   S18.00/hour   S   S18.00/hour   S1.00/hour   S1	Client Benefits
\$38.46/hour \$26.44/hour \$  \$26.44/hour \$  \$18.00/hour \$  \$18.00/hour \$  \$1.00/hour \$  \$2.00/hour \$  \$3.00/hour \$  \$4.00/hour \$  \$4.00/hour \$  \$5.00/hour \$	Service Contract Payments
\$38.46/hour \$26.44/hour \$  \$per staff \$18.00/hour \$  \$ar staff \$18.00/hour \$  \$1.00/hour \$  \$1.00/ho	REVENUE CATEGORIES: Use the
\$38.46/hour \$26.44/hour \$  \$per staff \$18.00/hour \$  \$er staff \$18.00/hour \$  \$1.00/hour \$  \$1.00/ho	REVENUE
\$38.46/hour \$26.44/hour \$  \$26.44/hour \$  \$18.00/hour \$  \$27.00/hour \$  \$38.00/hour \$  \$41.00/hour \$  \$41.00/ho	TOTAL EXPENSES (A+B+C)
	TOTAL INDIRECT COSTS
\$38.46/hour \$26.44/hour \$ \$26.44/hour \$ \$18.00/hour \$ \$27.00/hour \$ \$28.00/hour \$ \$38.46/hour \$ \$38.46/hour \$ \$38.00/hour \$ \$39.00/hour \$ \$39.	Administrative Expenses 15%
\$38.46/hour \$38.46/hour \$ \$226.44/hour \$ \$per staff \$18.00/hour \$ \$er staff \$18.00/hour \$ \$1.00/hour \$	Fringe Benefits 15% (Excludes Part Time)
\$38.46/hour \$38.46/hour \$ \$26.44/hour \$ \$er staff \$18.00/hour \$ \$1.00/hour \$ \$2.00/hour \$ \$3.00/hour \$ \$3.00/hour \$ \$4.00/hour \$ \$4.00/hour \$ \$4.00/hour \$ \$5.00/hour \$ \$5.00/	Payroll Taxes 8%
\$38.46/hour \$26.44/hour \$  per staff \$18.00/hour \$  ser staff \$18.00/hour \$  ESTIMATED CO:  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$	Categories (fringe benefits, payroll taxes, administrative expenses, etc.)
\$38.46/hour \$38.46/hour \$506.44/hour \$506.44/hour \$506 \$18.00/hour \$506 \$518.00/hour \$506 \$518.00/hour \$506 \$506 \$506 \$506 \$506 \$506 \$506 \$506	
\$38.46/hour \$26.44/hour \$  per staff \$18.00/hour \$  ser staff \$18.00/hour \$  ESTIMATED CO:  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$  \$	Account of the contract of the
\$38.46/hour \$26.44/hour \$  per staff \$18.00/hour \$  ser staff \$18.00/hour \$  ESTIMATED CO: \$  \$	Other (Vehicles)
\$38.46/hour \$26.44/hour \$  per staff \$18.00/hour \$  ser staff \$18.00/hour \$  ESTIMATED CO:  \$	Other (Bental Denosita)
\$38.46/hour \$38.46/hour \$26.44/hour \$  per staff \$18.00/hour \$  ser staff \$18.00/hour \$  ESTIMATED CO: \$  \$	Other (Furnishings)
\$38.46/hour \$ \$26.44/hour \$ per staff \$18.00/hour \$ ser staff \$18.00/hour \$ \$1.00/hour \$ \$1.00/hour \$ \$1.00/hour \$ \$2.00/hour \$ \$3.00/hour \$ \$3.00/hour \$ \$4.00/hour \$ \$4.00/hour \$ \$5.00/hour \$ \$4.00/hour \$ \$5.00/hour \$ \$5.00/h	Coffusio Director / I Ioano
\$38.46/hour \$ \$26.44/hour \$ per staff \$18.00/hour \$ ser staff \$18.00/hour \$ \$1.00/hour \$ \$1.00/hour \$ \$2.00/hour \$ \$2.00/hour \$ \$3.00/hour \$ \$3.00/hour \$ \$4.00/hour \$ \$4.00/hour \$ \$5.00/hour \$ \$4.00/hour \$ \$5.00/hour \$ \$5.00/h	Vehicle Maintenance
\$38.46/hour \$26.44/hour \$  per staff \$18.00/hour \$  ser staff \$18.00/hour \$  ESTIMATED CO: \$	Vahicla Fuel
\$38.46/hour \$15.0 \$26.44/hour \$110.0 \$26.44/hour \$310.0 \$27.0 \$2898.1 \$28.00/hour \$2898.1 \$218.00/hour \$2898.1 \$218.00/hour \$289.1	Training
\$38.46/hour \$16.0 \$26.44/hour \$110.0 \$26.44/hour \$898.1 per staff \$18.00/hour \$269.2 ser staff \$18.00/hour \$269.2 \$1.294.1 \$51.20 \$21.0 \$38.46/hour \$110.0 \$28.00/hour \$289.0 \$21.0 \$21.0 \$38.00/hour \$269.0 \$38.7	Postage Postage
\$38.46/hour \$15.0 \$25.44/hour \$110.0 \$25.44/hour \$898.1 per staff \$18.00/hour \$269.1 \$18.00/hour \$269.1 \$1,294.1 ESTIMATED COST/M \$187.2 \$72.1 \$21.0 \$21.0 \$21.0 \$21.0	Printing/Conving
\$38.46/hour \$15.0 \$25.44/hour \$110.0 \$25.44/hour \$418.00/hour \$898.1  per staff \$18.00/hour \$259.1 \$18.00/hour \$1,294.1 \$187.2 \$21.0 \$38.46/hour \$110.0 \$25.12.0 \$38.46/hour \$110.0 \$25.12.0 \$38.46/hour \$110.0 \$38.46/hour \$110.0 \$38.46/hour \$110.0 \$38.85/hour \$25.1	Telecommunications
\$38.46/hour \$15.0 \$25.44/hour \$110.0 \$25.44/hour \$310.0 \$25.44/hour \$398.1 \$18.00/hour \$389.1 \$25.18.00/hour \$259.1 \$18.7.294.1 \$18.7.294.1 \$21.0 \$21.0 \$21.0 \$23.	Supplies
\$38.46/hour \$15.0 \$26.44/hour \$110.0 \$per staff \$18.00/hour \$898.1 \$er staff \$18.00/hour \$269.1 \$18.00/hour \$1.294.1 \$18.00/hour \$1.294.1 \$18.72 \$272.0 \$28.1	Equipment Purchase/Lease
\$38.46/hour \$15.0 \$26.44/hour \$110.0 \$per staff \$18.00/hour \$398.1 \$er staff \$18.00/hour \$269.1 \$18.00/hour \$269.1 \$18.00/hour \$269.1 \$18.00/hour \$269.1 \$18.00/hour \$269.1	Insurance
\$38.46/hour \$16,0 \$26.44/hour \$110,0 per staff \$18.00/hour \$898,5 per staff \$18.00/hour \$259,5 \$259,5 \$1,294,1 \$187/YE \$21,294,1 \$21,294,1 \$21,294,1	Consultants
\$38.46/hour \$26.44/hour per staff \$18.00/hour ser staff \$18.00/hour	Financial Servcies
\$38.46/hour \$26.44/hour per staff \$18.00/hour ser staff \$18.00/hour	Program Costs
\$38.46/hour \$26.44/hour per staff \$18.00/hour ser staff \$18.00/hour	Space Utilities/Maintenance
\$38.46/hour \$26.44/hour  per staff \$18.00/hour \$18.00/hour	Rent/Mortgage
\$38.46/hour \$26.44/hour per staff \$18.00/hour ser staff \$18.00/hour	B. OTHER DIRECT COSTS: Use the categories below as appropriate
\$38.46/hour \$26.44/hour per staff \$18.00/hour \$18.00/hour	TOTAL PERSONNEL COSTS
\$38.46/hour \$26.44/hour per staff \$18.00/hour	Part Time) (4.2 Pechanis: 14.2 Part Time)
\$38.46/hour \$26.44/hour	
\$38.46/hour	Recovery Support Specialist (24
	ns Director (1)
	which will be paid each classification expected to work on this service level. Do not include employee names.
ESTIMATED HOURS/WEEK HOURLY RATE ESTIMATED COST/YEAR	A. DIRECT PERSONNEL COSTS: Provide ESTIMATED Habor classifications and the average hourly rate

RFP2000002064 Appendix B

# Budget Form for <u>Supportive Residential Services</u> Provide one budget for each service level proposed

Provide te foo	ESTIMATED HOURS/WEEK  2 hours/week  40 hours per week	HOURLY RATE \$38.46/hour \$20/hour	\$4,000.0 \$46,000.0
ATAL BEDCONNEL COCTO			
B. OTHER DIRECT COSTS: Use the			
categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage			
Space Utilities/Maintenance			
Program Costs			
Financial Servcies			
Consultants			
Insurance			
Fouriement Purchase / Lease (Computer)			
Equipment Purchase/Lease (computer)			
Supplies			
Telecommunications			
Printing/Copying			
Postage			
Training			
Vehicle			
Vehicle Fuel			
Vehicle Maintenance			
Software Purchase/License			
Other (Please specify)			\$
TOTAL OTHER DIRECT			1
C. INDIRECT COSTS: Specify Indirect Cost	RATE (%)	X BASE	ESTIMATED COST/YEAR
Categories (fringe benefits, payroll taxes, administrative expenses, etc.)			
Payroll Taxes 8%	8%	6 46000	
Fringe Benefits 15%	15%		
Administrative Expenses 15%	15%		
TOTAL INDIRECT COSTS			
TOTAL EXPENSES (A+B+C)			
REVENUE			
REVENUE CATEGORIES: Use the			
ategories below as appropriate			ESTIMATED REVENUE/YEAR
Service Contract Payments			
Fund Raising/Donations			
Client Fees			
Client Benefits		The contract of the second second	
Medicaid/Medicare			
Federal/State			
Other (Please specify)			

RFP2000002064

See Budget Form

Appendix B Supplemental Budget Form for Highly Intensive Residential Services - Annual Itemized Expenses by Site Site(s) to replace 8-bed capacity at Annandale no later than July 1, 2017 beginning Aug 1, 2018 Estimated Annual Cost 7314 Bath Street, Address Unknown for Annandale Site Springfield, VA (Formerly Annandale) A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names. Clinical Operations Director \$30,000.00 \$30,000.00 \$30,000.00 \$50,000.00 Team Leader (2 total) \$50,000.00 \$50,000.00 \$20,800.00 \$20,800.00 \$20,800.00 Peer Specialist \$26,000.00 \$26,000.00 \$26,000.00 Nurse Psychiatrist \$8,000.00 \$8,000.00 \$8,000.00 (5 Recovery Support Specialist \$208,000.00 \$208,000.00 \$208,000.00 Full Time per house) **Recovery Support Specialist** (2 Part Time per house) \$49,920.00 \$49,920.00 \$49,920.00 \$392,720.00 TOTAL PERSONNEL COSTS \$392,720.00 \$392,720.00 B. DIRECT COSTS: Use the categories below as appropriate and show how direct costs would be allocated 31,200.00 31.200.00 Rent/Mortgage \$0\* 12,000.00 Space Utilities/Maintenance 6,000.00 12,000.00 8,000.00 8,000.00 8,000.00 **Program Costs** 0.00 0.00 **Financial Servcies** 0.00 500.00 500.00 500.00 Consultants 1,800.00 1,800.00 1,800.00 Insurance Equipment Purchase/Lease(Computer) 0.00 2,400.00 0.00 6,000.00 0.00 0.00 Equipment Purchase/Lease(Copy Machine) 4,000.00 4,000.00 4,000.00 Supplies 16,000.00 16,000.00 16,000.00 Food 3,600.00 3,600.00 3,600.00 Telecommunications 0.00 0.00 0.00 Printing/Copying 300.00 300.00 300.00 Postage 0.00 1,000.00 500.00 **Training** 2,000.00 2,000.00 2,000.00 Vehicle Fuel 1,200.00 1,200.00 Vehicle Maintenance 1,200.00 0.00 200.00 0.00 Software Purchase/License 20,000.00 5,000.00 20,000.00 Other (Furnishings) 0.00 1,200.00 1,200.00 Other (Site Modifications) 3,000.00 3,000.00 Other (Rental Deposits) 0.00 Other (Vehicles) 0.00 40,000.00 20,000.00 TOTAL DIRECT COSTS 48,400.00 154,400.00 125,300.00 C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites Payroll Taxes 8% (Excluded Psychiatry) \$30,777.60 \$30,777.60 \$30,777.60 Fringe Benefits 15% \$50,220.00 \$50,220.00 \$50,220.00 (Excluded Part Time and Psychiatry) Administrative Expenses 15% \$78,317.64 \$94,217.64 \$89,852.64 TOTAL INDIRECT COSTS \$159.315.24 \$175,215,24 \$170,850,24 TOTAL OPERATING COSTS (A + B + C)\$600,435.24 \$722,335.24 \$688,870.24 D. START-UP COSTS: Other (Please specify) TOTAL START-UP COSTS \$0.00 \$0.00 \$0.00 TOTAL EXPENSES (Operating + Start-Up) \$600,435.24 \$722,335.24 \$688,870.24

PROPOSED BED DAY RATE FOR ALL HIGHLY INTENSIVE RESIDENTIAL SERVICES

**Please Note: Clinical Accuity as determined	gago pellier Fred	To Do Identified 11	To Do Identified 11
by vendor will determine Overnight Supervision	8200 Rolling Road Springfield, VA	To Be Identified - Home for 8 Individuals	To Be Identified - Home for 8 Individuals
Levels	Springheid, VA	joi o marriadais	jor o marriadas
A. PERSONNEL COSTS: Provide labor classifications			
and the annual salary cost for each classification expected to work at each site. Do not include employee names.			
Team Leader (2 leaders, 3 sites each)	\$16,666.66	\$16,666.66	\$16,666.66
Clinical Operations Director	\$2,666.66	\$2,666.66	\$2,666.66
Recovery Support Specialist 4 Full Time	\$149,760.00	\$149,760.00	\$149,760.00
Recovery Support Specialist 2 Part Time	\$44,928.00	\$44,928.00	\$44,928.00
- Control of the cont	7.7,2	7.7,-	
TOTAL PERSONNEL COSTS	\$214,021.32	\$214,021.32	\$214,021.32
B. DIRECT COSTS: Use the categories below as			
appropriate and show how direct costs would be allocated across sites			
Rent/Mortgage	\$31,200.00	\$31,200.00	\$31,200.00
Space Utilities/Maintenance	\$12,000.00	\$12,000.00	\$12,000.00
Program Costs	\$3,600.00	\$3,600.00	\$3,600.00
Financial Servcies	\$0.00	\$0.00	\$0.00
Consultants	\$0.00	\$0.00	\$0.00
Insurance	\$800.00	\$800.00	\$800.00
Equipment Purchase/Lease	\$1,600.00	\$1,600.00	\$1,600.00
Supplies	\$2,000.00	\$2,000.00	\$2,000.00
Food	\$16,000.00	\$16,000.00	\$16,000.00
Telecommunications	\$3,600.00	\$3,600.00	\$3,600.00
Printing/Copying	\$0.00	\$0.00	\$0.00
Postage	\$300.00	\$300.00	\$300.00
Training	\$1,000.00	\$1,000.00	\$1,000.00
Vehicle Fuel	\$2,400.00	\$2,400.00	\$2,400.00
Vehicle Maintenance	\$1,200.00	\$1,200.00	\$1,200.00
Software Purchase/License	\$200.00	\$200.00	\$200.00
Other (Furnishings)	\$20,000.00		\$20,000.0
Other (Rental Deposits)	\$3,000.00		\$3,000.0
Other (Vehicles)	\$20,000.00	\$20,000.00	\$20,000.00
TOTAL DIRECT COSTS	\$118,900.00	\$118,900.00	\$118,900.00
C INDIDECT COSTS: C. W. L. L. C.		145 A. S.	
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites			
Payroll Taxes 8%	\$17,121.71	\$17,121.71	\$17,121.71
Fringe Benefits 15% (Excludes Part Time)	\$25,364.00	\$25,364.00	\$25,364.00
Administrative Expenses 15%	\$56,311.05		\$56,311.0
TOTAL INDIRECT COSTS	\$98,796.76	\$98,796.76	\$98,796.76
TOTAL OPERATING COSTS (A + B + C)	\$431,718.08	\$431,718.08	\$431,718.08
D. START-UP COSTS:	TO STATE OF THE PARTY OF THE PA	W. S.	
D. START-OF COSTS.			
TOTAL START-UP COSTS	\$0.00	\$0.00	\$0.00
TOTAL EXPENSES (Operating + Start-Up)	\$431,718.08	\$431,718.08	\$431,718.08
A STATE OF THE REAL PROPERTY OF THE PARTY OF	THE RESERVE THE PARTY OF THE PARTY.	CHARLES VILLE BURKEN	CONTROL AREST AUGUST

### RFP2000002064 Appendix B

	y Site	
To Be Identified - Home for 8 Individuals	To Be Identified - Home for 8 Individuals	To Be Identified - Home for 8 Individuals
\$16,666.66	\$16,666.66	\$16,666.6
\$2,666.66	\$2,666.66	\$2,666.6
\$149,760.00	\$149,760.00	\$149,760.0
\$44,928.00	\$44,928.00	\$44,928.0
\$214,021.32	\$214,021.32	\$214,021.3
\$31,200.00	\$31,200.00	\$31,200.0
\$12,000.00	\$12,000.00	\$12,000.0
\$3,600.00	\$3,600.00	\$3,600.0
\$0.00	\$0.00	\$0.0
\$0.00	\$0.00	\$0.0
\$800.00	\$800.00	\$800.0
\$1,600.00	\$1,600.00	\$1,600.0
\$2,000.00	\$2,000.00	\$2,000.0
\$16,000.00	\$16,000.00	\$16,000.0
\$3,600.00	\$3,600.00	\$3,600.0
\$0.00	\$0.00	\$0.0
\$300.00	\$300.00	\$300.0
\$1,000.00	\$1,000.00	\$1,000.0
\$2,400.00	\$2,400.00	\$2,400.0
\$1,200.00	\$1,200.00	\$1,200.0
\$200.00	\$200.00	\$200.0
\$20,000.00	\$20,000.00	\$20,000.
\$3,000.00	\$3,000.00	\$3,000.
\$20,000.00	\$20,000.00	\$20,000.
\$118,900.00	\$118,900.00	\$118,900.0
\$17,121.71	\$17,121.71	\$17,121.7
\$25,364.00	\$25,364.00	\$25,364.0
\$56,311.05	\$56,311.05	\$56,311.
\$98,796.76	\$98,796.76	\$98,796.7
\$431,718.08	\$431,718.08	\$431,718.0
\$0.00	\$0.00	\$0.0
\$431,718.08	\$431,718.08	\$431,718.0
7431,710.00	7431,710.00	3431,716.0
		See Budget Form

Revised 4/5/2017

\$90.00 RFP2000002064 Appendix B Supplemental Budget Form for Supportive Residential Services - Service Hour Rate & Applicable Start-Up Costs JUSTIFICATION - Provide justification and details for this category of costs PROPOSED SERVICE HOUR RATE FOR ALL SUPPORTIVE RESIDENTIAL SERVICES \$0.00 COST START-UP COSTS: Specify categories of start-up costs that apply to the Supportive Residential Service Model proposed. TOTAL START-UP COSTS Follow Up with Negotiation on Tuesday, April 4th

Responses to: Additional Items for Discussion - Meeting Handout

### **Highly Intensive Residential Services**

Gateway agrees to the noted annual performance targets on the handout.

Gateway agrees to adhere to the accessibility standards listed for all sites by July 31st, 2018.

Gateway agrees to notify the Northern Virginia Regional Projects Office and/or County of Origin within 24 hours of a vacancy and, when possible, to provide anticipated discharge dates as soon as they are known.

### **Supervised Residential Services**

Gateway agrees to assist clients in applying for and reactivating benefits, including gathering and researching information and obtaining all necessary supports and documents for this activity.

Gateway agrees to the noted annual performance targets on the handout and would add that for performance target 3, we would like to make the percentage 75.

Gateway agrees to adhere to the accessibility standards listed for half of the sites used for the provision of Supervised Residential Services.

Gateway agrees to notify the Northern Virginia Regional Projects Office and/or County of Origin within 24 hours of a vacancy and, when possible, to provide anticipated discharge dates a soon as they are known.

### Supportive Residential Services

Gateway agrees to the noted annual performance targets on the handout and would add that for performance target 3, we would like to make the percentage 75.

Gateway agrees to invoice monthly, by the 5<sup>th</sup> of each month, for the services provided the previous month in the format listed on the handout.

Gateway Homes, Inc Policy and Procedures	
Title: Appointment Cancellation Fee	Number: 230.1
<b>Subtitle:</b> Community Based Cancellation Policy	Pages: 1
Issued: April, 2017	Attachments: Cancellation Policy Acknowledgement
Revised:	

- **I. Purpose:** The purpose of this policy is to establish a process for determining consumer fees related to the cancellation of an appointment in less than 24 hours or the consumer not being present for a previously scheduled appointment.
- II. Policy: Gateway Homes will provide all community-based program consumers with a cancellation policy acknowledgement that outlines the consumer's responsibility to pay a set fee for missing an appointment or cancelling with less than 24 hours notice.

### III. General Guidance And Procedures:

- **a.** <u>Disclosure Upon Request</u>: Gateway's Director of Finance, or designee, will make the fee schedule available upon request to any interested party.
- **b.** Change In Fee Schedule: The Director of Finance, or designee, is responsible for informing referring agencies, the individual and the authorized representative of any changes to the rate schedule at least sixty days in advance of a change.
- c. <u>Determination Of Fees</u>: The Director of Finance, and program director, will review the fee schedule annually and for each year and update the acknowledgement form accordingly. The consumer will be encouraged to acknowledge their fee responsibility with 60 days notice.



# County of Fairfax, Virginia

To protect and enrich the quality of life for the people, neighborhoods and diverse communities of Fairfax County

### SENT VIA EMAIL ON APRIL 5, 2017 TO THE ATTENTION OF LYNDA HYATT

Gateway Homes, Inc. 11901 Reedy Branch Rd. Chesterfield, VA 23838

Attention:

Lynda Hyatt, Executive and Clinical Director

Reference:

RFP2000002064, Residential Treatment Services

Dear Ms. Hyatt:

The following is a summary from the face-to-face negotiation meeting held with your firm on April 4, 2017. Please review this summary and, if acceptable please sign the acceptance portion of this letter and return to my attention. The County and offeror discussed the following negotiation issues:

- Gateway Homes, Inc. written response to the negotiation issues sent to them on March 31, 2017.
- The County requested Gateway Homes, Inc. to review the draft Sublease agreements that was provided to them for the locations at: 7314 Bath Street, Springfield, VA 22150 and 8200 Rolling Road Springfield, VA 22153.
- 3. Additional negotiation issues were given to Gateway Homes, Inc. to address and provide a response by 10:00 a.m. on April 6, 2017.
- Gateway Homes, Inc. is to submit a revised cost proposal for all services levels to include one all-inclusive bed day rate for Highly Intensive Residential Services and one all-inclusive bed day rate for Supervised Residential Services by 10:00 a.m. on April 6, 2017.
- Gateway Homes, Inc. agreed to implement a policy and cost for Cancellations/No Shows. Gateway Homes agreed to send the policy to the County if awarded a contract.

RFP2000002064, Residential Treatment Services Summary of Negotiations Page 2

Please provide your signed acceptance by close of business on April 5, 2017. You may e-mail your response to me via e-mail at: linda.williams@fairfaxcounty.gov or fax to: 703-324-3228. Should have any questions, please contact me at 703-324-8427.

Sincerely,

Linda Williams, CPPB Contract Specialist II

ACCEPTANCE:



RFP2000002064, Residential Treatment Services

Verbal Negotiations: Written Response and Rationale to Information Presented

### **Highly Intensive Residential Services**

Regarding Medicaid billing:

- After reviewing allowable terms via the Department for Medical Assistance Services including the reimbursement rates (a copy of which is attached and highlighted to identify codes below) for psychiatric services, we can offer the following information.
  - o Billing Code 99215, which is for an Initial Assessment/Psychiatric Evaluation, is reimbursable at a rate of \$144.12.
  - Billing Code 99214, which is for the Evaluation and Management by a doctor for higher complexity, is reimbursable at a rate of \$72.68.
- Our experience with billing for these services show that billing for initial assessment and evaluation will result in a \$144.12 reimbursement; however, billing for evaluation and management is reimbursed at a rate of \$33.71
- Our expectation, as written in the technical proposal, is that the psychiatrist will provide an initial assessment and a evaluation every other month.
- For the first year of service, a consumer will be eligible for:
  - o One Initial Assessment = \$144.12
  - o Five Subsequent Evaluations =  $$33.71 \times 5 = $168.55$
  - o Total Billable for one year is = \$312.67 per eligible consumer.
  - o *If* all 16 consumers are fully eligible upon admission:
    - First Year revenue would be \$5,000.02
    - Subsequent Year revenue would be \$3,240.96
- Potential Barriers to Billing
  - Firstly, the time period for processing Medicaid applications and Social Security applications. Upon admission, clients rarely have active Medicaid and due to the time for processing Medicaid Applications (currently at 45 days after the consumer has applied for Social Security Supplemental Income with the Social Security Administration, whose application has a six month processing period), individuals will likely not have access to billing related to their initial assessment and an at least one additional evaluation.
  - o Another potential barrier is the eventuality that some consumers will not have access to benefits.
- Gateway is more than willing to bill for appropriate services. We propose to adjust the revenue statement on the budget and have done so with the budget attached. We propose to add \$3,000.00 estimated revenue to the budget to show our willingness to bill Medicaid.

You will note that the revised budget corrects for an error in data entry. We have removed \$3,000.00 from the Equipment Purchase and Lease Costs which are covered under startup funds.

Supervised Level of Care			<u> </u>
8200 Rolling Road, Springfield, VA	8 beds	\$2600/mo	On Site OV
TBD Location #1	8 beds	\$2600/mo	On Site OV
TBD Location #2	8 beds	\$2600/mo	On Site OV
TBD Location #3	8 beds	\$2600/mo	On Site OV
TBD Location #4	8 beds	\$2600/mo	On Call OV
TBD Location #5	8 beds	\$2600/mo	On Call OV

- Our Supervised budget has been updated to reflect the change to 16 beds served as On-Call overnight supervision and 32 beds served as On-Site overnight supervision.
- We understand that the scope of supervised care is a wide range and seek
  to understand the acuity and needs of the individuals to be served. We
  would appreciate the committee's feedback concerning an appropriate
  staffing pattern for each of these levels. Does the committee foresee that
  these homes will serve individuals in a more transitional capacity?
  - Should our current staffing pattern, which is attached in this packet, be greater that the committee feels is appropriate, we will willingly engage in discussion concerning an appropriate staffing pattern.
  - We wish to provide the highly individualized care that results in a strong recovery-based treatment orientation and measureable movements towards independence with the constant involvement of the consumer being a key to their personal success.
- We feel that managing the two separate levels of care, meaning on-site overnight support and on-call overnight support will be managed by the Team Leaders for each level of care with the support of the Clinical Operations Director.

Regarding the budget forms for this level of care:

 We have updated the budget forms with the information noted above. Any negotiation discussion that will result in additional changes to the budget will be sent to Ms. Linda Williams no later than 10:00am on Thursday, April 6<sup>th</sup>, 2017 via email.

# **Supportive Residential Services**

Regarding Cancellation/No-Show Policy

 Regarding a No-Show Policy, we are comfortable with incorporating a charge to the consumer but request some guidance in this fee. Perhaps you can help us to understand how the current vendor assesses and collects this fee? Our experience in the Richmond area is that the appointments are rarely missed or refused and hope that this will be the case in Northern Virginia.  Perhaps we are misunderstanding these individuals level of income. We assumed that these individuals do not have income due to their inability to receive Social Security. Can you please help us to understand what income sources these individuals may have to support the payment of fees?

#### **All Services**

Regarding a bed rate for Highly Intensive and Supervised Services:

- Highly Intensive
  - o In the revised budget statement attached, we have a bed day rate of \$241.56. Revenues are figured at the assumption of a consumer's eligibility for entitlement benefits and are variable. Using the figures of \$1,410,710.40 for total costs and the potential \$125,896.00 for revenue, a possible day bed figure of \$220.00. We are willing to engage in discussion concerning the variability of these entitlements.
  - All benefits, including Social Security and Medicaid, change frequently. Over the past six years, Medicaid reimbursement for mental health care has significantly declined.
- Supervised Services
  - The Medicare/Medicaid revenue rate for this level of care was determined with the assumption that about half of the individuals will qualify for entitlement benefits such as Medicaid and that each qualified consumer would receive 2 units of mental health supportive services each week.
    - For Mental Health Support Services (skill building) on our Chesterfield campus, we are being reimbursed at \$83.00 for one unit.
    - The updated budget reflects each individual who qualifies receiving 2 units of skill building each week. If there are 48 clients at this level of care, we would assume that 24 (50%) would have full Medicaid and that their potential Medicaid revenue would total \$207,168.00.
  - Bed Day Rates
    - On-Site Overnight Supervision
      - In the revised budget statement attached, we have a bed day rate of \$109.23 for On-Site Supervision.
      - Revenues are figured at the assumption of a consumer's eligibility for entitlement benefits and are variable. Using the figures \$1,275,832.08 for total operating costs and the potential \$257,674.66 for revenue, a possible day bed figure of \$87.17. We are willing to engage in discussion concerning the

variability of these entitlements. We anticipate that these figures will not be accurate due to the fluctuations in Medicaid billing.

- On-Call Overnight Supervision
  - In the revised budget statement attached, we have a bed day rate of \$105.63 for On-Call Supervision.
  - Revenues are figured at the assumption of a consumer's eligibility for entitlement benefits and are variable. Using the figures \$616,868.28 for total operating costs and the potential \$128,837.33 for revenue, a possible day bed figure of \$83.57. We are willing to engage in discussion concerning the variability of these entitlements. We anticipate that these figures will not be accurate due to the fluctuations in Medicaid billing.
- All benefits, including Social Security and Medicaid, change frequently. Over the past six years, Medicaid reimbursement for mental health care has significantly declined.
- We suggest the consideration of Gateway billing Fairfax County each month for program expenses plus 15% administrative overhead minus earned revenue from Medicaid. This will assure that the county's budget is related to the direct expenses and not budget constraints.

Regarding a Service Unit Rate for Supportive Services:

- Please find attached a revised budget statement with a proposed rate reduction to \$70.00 per unit.
- Any negotiation discussion that will result in additional changes to the budget will be sent to Ms. Linda Williams no later than 10:00am on Thursday, April 6<sup>th</sup>, 2017 via email.

# **Regarding Hourly Rates**

- Clinical Operations Director (44 hours per week) \$35.00 per hour
- Team Leader at \$50,000 Annually \$24.00 per hour
- Team Leader at \$60,000 Annually \$28.00 per hour
- Licensed Practical nurse at \$52,000 Annually \$25.00 per hour
- Certified Peer Specialist at \$41,600 Annually \$20.00 per hour

# Regarding Total Number of Working Hours

- We request clarification on this question.
- The working hours available to the County, regardless of benefits, for the varying levels of care are 24 hours per day, 365 days per year. A total of 8,760 hours per direct care position.

### **Direct Cost Justification**

- Space Utilities/Maintenance
  - Our expectations for utility payments include water, electricity, trash pickup, and natural gas.

- Our expectations for maintenance fees include day to day building maintenance and yard care.
- Our cost of \$1000 per home per month is comparable with our other rentals that service 8 consumers.

# Program Costs

- These costs are the inputs that have resulted in such great outcomes for our consumers. They include:
  - Group Supplies and Resources
  - Group Activity Expenses
  - Outing Expenses

#### Insurance

 These costs cover rental insurance of the contents of the home, automobile insurance, liability insurance, and cyberspace insurance.

### Supplies

 These costs include cleaning supplies, office supplies, and emergency food and medical supplies.

### Equipment Purchase/Lease

 These costs were removed from Highly Intensive as it was an oversight. The budget sheet has been revised to reflect this removal as the equipment purchases were included in startup funds.

#### Telecommunications

o These costs are incurred from Internet and Telephone

#### Postage

 These costs cover the submission of entitle benefit applications, Medicaid reviews, other client related documentation and communications between locations.

#### Training

- The Department of Behavioral Health and Developmental Services requires licensed program staff to obtain 16 hours of training annually in specific areas including Human Rights, Non-Violent Crisis Intervention Behavioral Management Training, First Aid, CPR including AED, and Medication Administration Annual Refreshers.
- Additionally, Gateway's policies require an annual retraining on several areas including policies and procedures, driver training, and food safety.
- On-boarding and training incoming staff requires background checks, orientation shifts, and, sometimes, Medication Administration training.

#### Software Purchase License

Computers purchased do not have all required programs.
 Gateway installs additional software, such as Microsoft Office.

 Additionally, Gateway uses an online charting environment which incurs a monthly fee.

Regarding Administrative Expense Calculation:

- Included within General & Management are Human Resources, Administrative, Finance, and Development.
- In our 2016 audited financial statements, General and Management (which encompasses the above mentioned groups) was 15% of our overall budget.

Regarding the Threshold of Fixed Assets

 After consulting with our Chief Financial Officer, we can offer that furniture, property, and equipment are depreciated on Gateway's ledgers if they have a useful life over one year. There is no dollar amount threshold established.

ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	9p-12a
FTE 2	FTE 2	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	FTE 2	Recovery Specialist	4p-9p
FTE 2	FTE 2	FTE 1	FTE 1	FTE 1	FTE 1	FTE 1	Recovery Specialist	8a-4p
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	12a-8a
Sunday 3 (SEP)	Saturday 2 (SEP)	Friday 1 (SEP)	Thursday 31	Wednesday 30	Tuesday 29	Monday 28	ber 3	August 28 - September 3
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	9p-12a
FTE 2	FTE 2	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	FTE 2	Recovery Specialist	4p-9p
FTE 2	FTE 2	FTE 1	FTE 1	FTE 1	FTE 1	FTE 1	Recovery Specialist	8a-4p
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	12a-8a
Sunday 27	Saturday 26	Friday 26	Thursday 24	Wednesday 23	Tuesday 22	Monday 21		August 21 - 27
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	9p-12a
FTE 2	FTE 2	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	FTE 2	Recovery Specialist	4p-9p
FTE 2	FTE 2	FTE 1	FTE 1	FTE 1	FTE 1	FTE 1	Recovery Specialist	8a-4p
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	12a-8a
Sunday 20	Saturday 19	Friday 18	Thursday 17	Wednesday 16	Tuesday 15	Monday 14		Avoust 14 - 20
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	9p-12a
FTE 2	FTE 2	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	FTE 2	Recovery Specialist	4p-9p
FTE 2	FTE 2	FTE 1	FTE 1	FTE 1	FTE 1	FTE 1	Recovery Specialist	8a-4p
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	12a-8a
Sunday 13	Saturday 12	Friday 11	Thursday 10	Wednesday 9	Tuesday 8	Monday 7		August 7 - 13
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	9p-12a
FTE 2	FTE 2	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	Franctional FTE 1	FTE 2	Recovery Specialist	4p-9p
FTE 2	FTE 2	FTE 1	FTE 1	FTE 1	FTE 1	FTE 1	Recovery Specialist	8a-4p
ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	ON CALL	Recovery Specialist	12a-8a
Sunday 6	Saturday 5	Friday 4	Thursday 3	Wednesday 2	Tuesday 1	Monday 31		July 31 - August 6

<sup>\*</sup>Revised 4/2/2017 to Reflect Staffing Pattern Changes

FTE 3 FTE 3 FTE 4	FTE 3 FTE 4	FTE 3	FTE 3 FTE 4	FTE 3	Recovery Specialist Recovery Specialist	12pm - 8pm 4p-12a
FTE 2	FTE 2	FTE 2	FTE 2	FTE 2	Recovery Specialist	8am - 4pm
FTE 1	FTE 1	FTE 1	FTE 1	FTE 1	Recovery Specialist	12a-8a
Friday 1 (SI	Thursday 31	Wednesday 30	Tuesday 29	Monday 28	er 3	August 28 - September 3
FTE 4	FTE 4	FTE 4	FTE 4	FTE 4	Recovery Specialist	4p-12a
FTE 3	FTE 3	FTE 3	FTE 3	FTE 3	Recovery Specialist	12pm - 8pm
FTE 2	FTE 2	FTE 2	FTE 2	FTE 2	Recovery Specialist	8am - 4pm
1 FTE 1	FTE 1	FTE 1	FTE 1	FTE 1	Recovery Specialist	12a-8a
Friday 26	Thursday 24	Wednesday 23	Tuesday 22	Monday 21		August 21 - 27
FTE 4 FTE 4	FT	FTE 4	FTE 4	FTE 4	Recovery Specialist	4p-12a
FTE 3 FTE 3	F	FTE 3	FTE 3	FTE 3	Recovery Specialist	12pm - 8pm
FTE 2 FTE 2	F	FTE 2	FTE 2	FTE 2	Recovery Specialist	8am - 4pm
FTE 1 FTE 1		FTE 1	FTE 1	FTE 1	Recovery Specialist	12a-8a
lay 17 Friday 18	Thursday 17	Wednesday 16	Tuesday 15	Monday 14		Apoust 14 - 20
FTE 4 FTE 4	F	FTE 4	FTE 4	FTE 4	Recovery Specialist	4p-12a
FTE 3 FTE 3	-	FTE 3	FTE 3	FTE 3	Recovery Specialist	12pm - 8pm
FTE 2 FTE 2	F	FTE 2	FTE 2	FTE 2	Recovery Specialist	8am - 4pm
FTE 1 FTE 1	I	FTE 1	FTE 1	FTE 1	Recovery Specialist	12a-8a
ay 10 Friday 11	Thursday 10	Wednesday 9	Tuesday 8	Monday 7		August 7 - 13
FTE 4 FTE 4	1	FTE 4	FTE 4	FTE 4	Recovery Specialist	4p-12a
FTE 3 FTE 3	H	FTE 3	FTE 3	FTE 3	Recovery Specialist	12pm - 8pm
FTE 2 FTE 2	F	FTE 2	FTE 2	FTE 2	Recovery Specialist	8am - 4pm
FTE 1 FTE 1	FT	FTE 1	FTE 1	FTE 1	Recovery Specialist	12a-8a
Friday 4	c kenerniri	Avenuesuay 2	Tuesday 1	Monday 31		July 31 - August 6

<sup>\*</sup>Revised 4/2/2017 to Reflect Staffing Pattern Changes

# Budget Form for Highly Intensive Residential Services

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	32 hours/week	Salary	\$80,000.00
Team Leader (2)	40 hours per week	Salary	\$100,000.00
Recovery Support Specialist (14 FTE)	40 hours per week per FTE	\$20.00/hour	\$582,400.00
Peer Specialist (1)	40 hours per week	Salary	\$41,600.00
Nurse (1)	40 hours per week	Salary	\$52,000.00
Psychiatrist (1)	As Scheduled Monthly	Salary	\$16,000.00
TOTAL PERSONNEL COSTS			\$872,000.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage	*Note: 2018 and beyond will in	crease to \$62,400.00	\$31,200.00
Space Utilities/Maintenance			\$12,000.00
Program Costs			\$16,000.00
Financial Servcies			\$0.00
Consultants			\$1,000.00
Insurance			\$3,600.00
Equipment Purchase/Lease			\$0.00
Supplies			\$8,000.00
Food	<b>一种</b>		\$32,000.00
Telecommunications	<b>在一种工作</b>		\$7,200.00
Printing/Copying			\$1,200.00
Postage			\$1,200.00
Training			\$1,000.00
Vehicle Fuel			\$3,840.00
Vehicle Maintenance	A REAL PROPERTY OF THE PROPERT	第200 DE N	\$2,400.00
Software Purchase/License	<b>酸氢钠原传</b>		\$600.00
Other (Please specify)			\$
TOTAL OTHER DIRECT			\$121,240.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8%	8%	\$872,000.00	\$69,760.00
Fringe Benefits 15%	15%	\$872,000.00	\$130,800.00
Administrative Expenses 15%	15%	\$1,193,800.00	\$179,070.00
TOTAL INDIRECT COSTS			\$379,630.00
TOTAL EXPENSES (A+B+C)			\$1,372,870.00

REVENUE CATEGORIES: Use the categories below as appropriate		ESTIMATED REVENUE/YEAR
Service Contract Payments		\$0.00
Fund Raising/Donations	*Note: This will be a new activity for Gateway in Northern Virginia	\$10,000.00
Client Fees	*Note: Estimating All Consumers have SSI at \$735.00	\$112,896.00
Client Benefits		\$0.00
Medicaid/Medicare		\$3,000.00
Federal/State		\$0.00
TOTAL REVENUE		\$125,896.00

# Supplemental Budget Form for Highly Intensive Residential Services - Annual Itemized Expenses by Site

	no later than July 1, 2017		Site(s) to replace 8-bed cap beginning Aug	
	for Annandale Site	Springfield, VA	Address Unknown (Formerly Annandale)	
A. PERSONNEL COSTS: Provide labor classification names.	ations and the annual salary	cost for each classification exp	pected to work at each site. Do not	include employee
Clinical Operations Director	\$40,000.00	\$40,000.00	\$40,000.00	
Team Leader	\$50,000.00			
Peer Specialist	\$20,800.00	\$20,800.00		
Nurse	\$26,000.00	\$26,000.00		
Psychiatrist	\$8,000.00	\$8,000.00	\$8,000.00	
Recovery Support Specialist (7FTE)	\$291,200.00	\$291,200.00	\$291,200.00	
TOTAL PERSONNEL COSTS	\$436,000.00	\$436,000.00	\$436,000.00	
B. DIRECT COSTS: Use the categories below as a	appropriate and show how dir	rect costs would be allocated o		
Rent/Mortgage	\$0*	31,200.00	31,200.00	
Space Utilities/Maintenance	6,000.00		6,000.00	
Program Costs	8,000.00	8,000.00	8,000.00	
Financial Servcies	0.00	0.00	0.00	
Consultants	500.00	500.00	500.00	
Insurance	1,800.00	1,800.00	1,800.00	
Equipment Purchase/Lease	0.00		0.00	
Supplies	4,000.00	4,000.00	4,000.00	
Food	16,000.00	16,000.00	16,000.00	
Telecommunications	3,600.00	3,600.00	3,600.00	
Printing/Copying	600.00	600.00	600.00	
Postage	600.00	600.00	600.00	
Training	0.00	1,000.00	500.00	
Vehicle Fuel	1,920.00	1,920.00	1,920.00	
Vehicle Maintenance	1,200.00	1,200.00	1,200.00	
Software Purchase/License	0.00	600.00	0.00	
Other (Please specify)				
TOTAL DIRECT COSTS	44,220.00	77,020.00	75,920.00	
C. INDIRECT COSTS: Specify Indirect Cost Cate across sites	gories (fringe benefits, payro	Il taxes, administrative expen	ses, etc.) and show how indirect co	sts would be allocated
Payroll Taxes 8%	\$34,880.00	\$34,880.00	\$34,880.00	
Fringe Benefits 15%	\$65,400.00			
Administrative Expenses 15%	\$87,816.00			
TOTAL INDIRECT COSTS	\$188,096.00			
TOTAL OPERATING COSTS (A + B + C)	\$668,316.00		\$704,765.00	
Secretaria de la composición del composición de la composición de la composición del composición de la composición del composición de la composición del com	\$600,510.00	\$700,030.00	\$704,703.00	
D. START-UP COSTS:	T 45.000.00	<b>4</b>	422.222.23	A A DESIRA
Furnishings	\$5,000.00	\$20,000.00	\$20,000.00	
Three Computers	\$0.00	\$2,400.00	\$0.00	
Vehicles	\$0.00	\$50,000.00	\$25,000.00	
Site Modifications	\$0.00		\$1,200.00	
Copy Machine	\$0.00		\$0.00	
Rental Deposit	\$0.00	\$4,000.00	\$4,000.00	
TOTAL START-UP COSTS	\$5,000.00			
TOTAL EXPENSES (Operating + Start-Up)	\$673,316.00	\$789,636.00	\$754,965.00	
	CHI V INTENCIVE DE	SIDENTIAL SERVICES		\$241.5

# MAGELLAN VA MEDICAID/DMAS RATES

EFFECTIVE: 7/1/2016

ESCRIPTION	CODE	Age or Setting	Modifier	PHYSICIAN	PSYCHOLOGIST	MASTER'S LEVEL	SPECIALIST
ffice Outpatient Visit, New patient, moderate to high severity *	99205	<21/OP	w/ or w/o GT	\$160.35	N/B	N/B	\$108.24
ffice Outpatient Visit, New patient, moderate to high severity *	99205	>20/IP	w/ or w/o GT	\$114.79	N/B	N/B	\$77.48
ffice Outpatient Visit, New patient, moderate to high severity *	99205	>20/OP	w/ or w/o GT	\$140.06	N/B	N/B	\$94.54
ffice Outpatient Visit, Established patient, minimal *	99211	<21/IP	w/ or w/o GT	\$7.16	N/B	N/B	\$4.83
ffice Outpatient Visit, Established patient, minimal *	99211	<21/OP	w/ or w/o GT	\$15.43	N/B	N/B	\$10.42
ffice Outpatient Visit, Established patient, minimal *	99211	>20/IP	w/ or w/o GT	\$6.26	N/B	N/B	\$4.23
ffice Outpatient Visit, Established patient, minimal *	99211	>20/OP	w/ or w/o GT	\$13.48	N/B	N/B	\$9.10
ffice Outpatient Visit, Established patient, minor *	99212	<21/IP	w/ or w/o GT	\$19.84	N/B	N/B	\$13.39
ffice Outpatient Visit, Established patient, minor *	99212	<21/OP	w/ or w/o GT	\$33.89	N/B	N/B	\$22.88
ffice Outpatient Visit, Established patient, minor *	99212	>20/IP	w/ or w/o GT	\$17.33	N/B	N/B	\$11.70
ffice Outpatient Visit, Established patient, minor *	99212	>20/OP	w/ or w/o GT	\$29.60	N/B	N/B	\$19.98
ffice Outpatient Visit, Estbl patient, low to moderate severity *	99213	<21/IP	w/ or w/o GT	\$39.67	N/B	N/B	\$26.78
ffice Outpatient Visit, Estbl patient, low to moderate severity *	99213	<21/OP	w/ or w/o GT	\$56.48	N/B	N/B	\$38.12
ffice Outpatient Visit, Estbl patient, low to moderate severity *	99213	>20/IP	w/ or w/o GT	\$34.65	N/B	N/B	\$23.39
ffice Outpatient Visit, Estbl patient, low to moderate severity *	99213	>20/OP	w/ or w/o GT	\$49.33	N/B	N/B	\$33.30
ffice Outpatient Visit, Estbl patient, moderate to high severity *	99214	<21/IP	w/ or w/o GT	\$60.89	N/B	N/B	\$41.10
ffice Outpatient Visit, Estbl patient, moderate to high severity *	99214	<21/OP	w/ or w/o GT	\$83.21	N/B	N/B	\$56.17
fice Outpatient Visit, Estbl patient, moderate to high severity *	99214	>20/IP	w/ or w/o GT	\$53.18	N/B	N/B	\$35.90
fice Outpatient Visit, Estbl patient, moderate to high severity *	99214	>20/OP	w/ or w/o GT	\$72.68	N/B	N/B	\$49.06
fice Outpatient Visit, Estbl patient, moderate to high severity *	99215	<21/IP	w/ or w/o GT	\$85.96	N/B	N/B	\$58.02
fice Outpatient Visit, Estbl patient, moderate to high severity *	99215	<21/OP	w/ or w/o GT	\$112.14	N/B	N/B	\$75.69
fice Outpatient Visit, Estbl patient, moderate to high severity *	99215	>20/IP	w/ or w/o GT	\$75.08	N/B	N/B	\$50.68
fice Outpatient Visit, Estbl patient, moderate to high severity *	99215	>20/OP	w/ or w/o GT	\$97.95	N/B	N/B	\$66.12
oservation Care Discharge	99217	<21	w/ or w/o HF	\$56.48	N/B	N/B	N/B
oservation Care Discharge	99217	>20	w/ or w/o HF	\$49.33	N/B	N/B	N/B
tial Observation Care; straightforward/low complexity	99218	<21	w/ or w/o HF	\$77.42	N/B	N/B	N/B
tial Observation Care; straightforward/low complexity	99218	>20	w/ or w/o HF	\$67.62	N/B	N/B	N/B
tial Observation Care; moderate complexity	99219	<21	w/ or w/o HF	\$104.97	N/B	N/B	N/B
tial Observation Care; moderate complexity	99219	>20	w/ or w/o HF	\$91.69	N/B	N/B	N/B
itial Observation Care; high complexity	99220	<21	w/ or w/o HF	\$143.82	N/B	N/B	N/B
tial Observation Care; high complexity	99220	>20	w/ or w/o HF	\$125.62	N/B	N/B	N/B
tial Hospital Care, low complexity*	99221	<21	w/ or w/o HF or	\$78.80	N/B	N/B	N/B
tial Hospital Care, low complexity*	99221	>20	GT or HF, GT w/ or w/o HF or	\$68.83	N/B	N/B	N/B
		-24	GT or HF, GT	£105.35	N/D	N/D	N/D
tial Hospital Care, moderate complexity*	99222	<21	w/ or w/o HF or GT or HF, GT	\$106.35	N/B	N/B	N/B
itial Hospital Care, moderate complexity*	99222	>20	w/ or w/o HF or	\$92.89	N/B	N/B	N/B
itial Hospital Care, high complexity*	99223	<21	GT or HF, GT w/ or w/o HF or	\$157.04	N/B	N/B	N/B
itial Hospital Care, high complexity*	99223	>20	GT or HF, GT w/ or w/o HF or	\$137.17	N/B	N/B	N/B
			GT or HF, GT				
bsequent Hospital Care, low complexity*	99231	<21	w/ or w/o HF or GT or HF, GT	\$30.58	N/B	N/B	\$20.64
bsequent Hospital Care, low complexity*	99231	>20	w/ or w/o HF or	\$26.71	N/B	N/B	\$18.03
bsequent Hospital Care, moderate complexity*	99232	<21	GT or HF, GT w/ or w/o HF or	\$55.93	N/B	N/B	\$37.75
bsequent Hospital Care, moderate complexity*	99232	>20	GT or HF, GT w/ or w/o HF or	\$48.85	N/B	N/B	\$32.97
bsequent Hospital Care, high complexity*	99233	<21	GT or HF, GT w/ or w/o HF or	\$80.73	N/B	N/B	\$54.49
	99233	>20	GT or HF, GT w/ or w/o HF or	\$70.51	N/B	N/B	\$47.59
bsequent Hospital Care, high complexity*			GT or HF, GT			200720	
servation or Inpatient Care, low complexity	99234	<21	w/ or w/o HF	\$103.59	N/B	N/B	N/B
servation or Inpatient Care, low complexity	99234	>20	w/ or w/o HF	\$90.49	N/B	N/B	N/B
servation or Inpatient Care, moderate complexity	99235	<21	w/ or w/o HF	\$131.15	N/B	N/B	N/B
servation or Inpatient Care, moderate complexity	99235	>20	w/ or w/o HF	\$114.55	N/B	N/B	N/B
servation or Inpatient Care, high complexity	99236	<21	w/ or w/o HF	\$168.89	N/B	N/B	N/B
oservation or Inpatient Care, high complexity	99236	>20	w/ or w/o HF	\$147.52	N/B	N/B	N/B
scharge Day management -30 min or less	99238	<21	w/ or w/o HF	\$56.21	N/B	N/B	N/B
scharge Day management -30 min or less	99238	>20	w/ or w/o HF	\$49.09	N/B	N/B	N/B
scharge Day management -more than 30 min	99239	<21	w/ or w/o HF	\$83.21	N/B	N/B	N/B

RFP2000002064 Appendix B

# **Budget Form for Supervised Residential Services**

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	10 hours/week	Salary	\$0.00
Team Leader (2)	40 hours per week	Salary	\$110,000.00
Recovery Support Specialist (22 FTE)	40 hours per week per FTE	\$18.00/hour	\$823,680.00
On Call Overnight Fee	Dependent Upon Acuity	Salary	\$40,000.00
TOTAL PERSONNEL COSTS			\$973,680.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage			\$187,200.00
Space Utilities/Maintenance			\$72,000.00
Program Costs			\$21,600.00
Financial Servcies	1000 1000 1000 1000 1000 1000 1000 100		\$0.00
Consultants			\$0.00
Insurance			\$4,800.00
Equipment Purchase/Lease		<b>地方的</b> 1000000000000000000000000000000000000	\$0.00
Supplies		Section 19	\$12,000.00
Food		<b>使</b>	\$96,000.00
Telecommunications	NEW PROPERTY.		\$21,600.00
Printing/Copying			\$0.00
Postage			\$1,800.00
Training			\$6,000.00
Vehicle Fuel			\$14,400.00
Vehicle Maintenance			\$7,200.00
Software Purchase/License		是 <b>是</b> 基础。	\$3,600.00
Other (Please specify)			\$
TOTAL OTHER DIRECT			\$448,200.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8%	89	973680	\$77,894.40
Fringe Benefits 15%	159	973680	\$146,052.00
Administrative Expenses 15%	159	\$1,645,826.40	\$246,873.96
TOTAL INDIRECT COSTS			\$470,820.36
TOTAL EXPENSES (A+B+C)			\$1,892,700.36

KEVENOE		
REVENUE CATEGORIES: Use the categories below as appropriate		ESTIMATED REVENUE/YEAR
Service Contract Payments		\$0.00
Fund Raising/Donations	*Note: This will be a new activity for Gateway in Northern Virginia	\$10,000.00
Client Fees	*Note: Estimating 50% Consumers have SSI at \$735.00	\$169,344.00
Client Benefits		\$0.00
Medicaid/Medicare	*Note: Dependent Upon Acuity & Need for Mental Health Skills Building	\$207,168.00
Federal/State		\$0.00
Other (Please specify)		\$0.00
		\$0.00
TOTAL REVENUE		\$386,512.00

### Supplemental Budget Form for Supervised Residential Services - Annual Itemized Expenses by Site

	8200 Rolling Road Springfield, VA	To Be Identified - Home for 8 Individuals	To Be Identified - Home for 8 Individuals	To Be Identified - Home for 8 Individuals
A. PERSONNEL COSTS: Provide labor				
classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.				
Team Leader (1 for all sites)	\$15,000.00	\$15,000.00	\$15,000.00	\$15,000.00
Recovery Support Specialist 16 FTEs	\$149,760.00	\$149,760.00	\$149,760.00	\$149,760.00
TOTAL PERSONNEL COSTS	\$164,760.00	\$164,760.00	\$164,760.00	\$164,760.00
B. DIRECT COSTS: Use the categories below as				
appropriate and show how direct costs would be allocated across sites				
Rent/Mortgage	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00
Space Utilities/Maintenance	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00
Program Costs	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00
Financial Servcies	\$0.00	\$0.00	\$0.00	\$0.00
Consultants	\$0.00	\$0.00	\$0.00	\$0.00
Insurance	\$800.00	\$800.00	\$800.00	\$800.00
Equipment Purchase/Lease	\$0.00	\$0.00	\$0.00	\$0.00
Supplies	\$2,000.00	\$2,000.00	\$2,000.00	\$2,000.00
Food	\$16,000.00	\$16,000.00	\$16,000.00	\$16,000.00
Telecommunications	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00
Printing/Copying	\$0.00	\$0.00	\$0.00	\$0.00
Postage	\$300.00	\$300.00	\$300.00	\$300.00
Training	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00
Vehicle Fuel	\$2,400.00	\$2,400.00	\$2,400.00	\$2,400.00
Vehicle Maintenance	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00
Software Purchase/License	\$600.00	\$600.00	\$600.00	\$600.00
Other (Please specify)				
TOTAL DIRECT COSTS	\$74,700.00	\$74,700.00	\$74,700.00	\$74,700.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites				
Payroll Taxes 8%	\$13,180.80	\$13,180.80	\$13,180.80	\$13,180.80
Fringe Benefits 15%	\$24,714.00	\$24,714.00	\$24,714.00	\$24,714.00
Administrative Expenses 15%	\$41,603.22	\$41,603.22	\$41,603.22	\$41,603.23
TOTAL INDIRECT COSTS	\$79,498.02	\$79,498.02	\$79,498.02	\$79,498.02
TOTAL OPERATING COSTS (A + B + C)	\$318,958.02	\$318,958.02	\$318,958.02	\$318,958.02
D. START-UP COSTS:				
Furnishings	\$20,000.00	\$20,000.00	\$20,000.00	\$20,000.00
Site Modifications	\$0.00	\$0.00	\$0.00	\$0.00
Rental & Utility Deposit	\$3,000.00	\$3,000.00	\$3,000.00	\$3,000.00
Vehicles	\$40,000.00	\$40,000.00	\$40,000.00	\$40,000.00
TOTAL START-UP COSTS	\$63,000.00	\$63,000.00	\$63,000.00	\$63,000.00
TOTAL EXPENSES (Operating + Start-Up)	\$381,958.02	\$381,958.02	\$381,958.02	\$381,958.02
PROPOSED BED DAY RATE FOR ALL SUP	ERVISED RESIDENTIAL	SERVICES		\$109.23

oplemental Budget Form for Supervised Residential Services - Annual Itemized Expenses by S

	To Be Identified - Home for 8 Individuals	To Be Identified - Home for 8 Individuals
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.		
Team Leader (1 for all sites)	\$25,000.00	\$25,000.00
Recovery Support Specialist 6 FTEs	\$112,320.00	\$112,320.00
On Call Overnight	\$20,000.00	\$20,000.00
TOTAL PERSONNEL COSTS	\$157,320.00	\$157,320.00
B. DIRECT COSTS: Use the categories below as appropriate and show how direct costs would be allocated across sites	<b>4237,520,00</b>	\$137,320.00
Rent/Mortgage	\$31,200.00	\$31,200.00
Space Utilities/Maintenance	\$12,000.00	\$12,000.00
Program Costs	\$3,600.00	\$3,600.00
Financial Servcies	\$0.00	\$0.00
Consultants	\$0.00	\$0.00
Insurance	\$800.00	\$800.00
Equipment Purchase/Lease	\$0.00	\$0.00
Supplies	\$2,000.00	\$2,000.00
Food	\$16,000.00	\$16,000.00
Telecommunications	\$3,600.00	\$3,600.00
Printing/Copying	\$0.00	\$0.00
Postage	\$300.00	\$300.00
Training	\$1,000.00	\$1,000.00
Vehicle Fuel	\$2,400.00	\$2,400.00
Vehicle Maintenance	\$1,200.00	\$1,200.00
Software Purchase/License Other (Please specify)	\$600.00	\$600.00
TOTAL DIRECT COSTS	\$74,700.00	\$74,700.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites		
Payroll Taxes 8%	\$12,585.60	\$12,585.60
Fringe Benefits 15%	\$23,598.00	\$23,598.00
Administrative Expenses 15%	\$40,230.54	\$40,230.54
TOTAL INDIRECT COSTS	\$76,414.14	\$76,414.14
TOTAL OPERATING COSTS (A + B + C)	\$308,434.14	\$308,434.14
D. START-UP COSTS:		
Furnishings	\$20,000.00	\$20,000.00
Site Modifications	\$0.00	\$0.00
Rental & Utility Deposit	\$3,000.00	\$3,000.00
Vehicles	\$40,000.00	\$40,000.00
TOTAL START-UP COSTS	\$63,000.00	\$63,000.00
TOTAL EXPENSES (Operating + Start-Up)	\$371,434.14	\$371,434.14
MANUAL PROPERTY AND	THE WEST COLORS	AVIOLATIC SE LI WILL

On Call Overnight

RFP2000002064 Appendix B

# **Budget Form for Supportive Residential Services**

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director	2 hours/week	Salary	0.00
QMHP-A (1)	40 hours per week	20/hour	42,000.00
TOTAL PERSONNEL COSTS			\$42,000.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage	Unit Prince Park Commence	Personal Public	\$0.00
Space Utilities/Maintenance			\$0.00
Program Costs			\$0.00
Financial Servcies		SEMBOLD OF THE SE	\$0.00
Consultants			\$0.00
Insurance			\$0.00
Equipment Purchase/Lease			\$800.00
Supplies			\$0.00
Food			\$0.00
Telecommunications			\$0.00
Printing/Copying			\$0.00
Postage			\$0.00
Training			\$0.00
Vehicle Fuel			\$1,800.00
Vehicle Maintenance			\$1,800.00
Software Purchase/License			\$0.00
Other (Please specify)			\$
			\$
TOTAL OTHER DIRECT			\$4,400.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8%	8%	42000	3360
Fringe Benefits 15%	15%	42000	6300
Administrative Expenses 15%	15%	56060	8409
TOTAL INDIRECT COSTS			18069
TOTAL EXPENSES (A+B+C)			\$64,469.00

REVENUE CATEGORIES: Use the categories below as appropriate	ESTIMATED REVENUE/YEAR
Service Contract Payments	
Fund Raising/Donations	
Client Fees	
Client Benefits	
Medicaid/Medicare	
Federal/State	
Other (Please specify)	
TOTAL REVENUE	

RFP2000002064 Appendix B

Supplemental Budget Form for Supportive Residential Services - Service Hour Rate & Applicable Start-Up Costs

PROPOSED SERVICE HOUR RATE FOR <u>ALL</u> SUPPORTIVE RESIDENTIAL SERVICES	<u>L</u> SUPPORTIVE RES	IDENTIAL SERVICES \$70.00
START-UP COSTS: specify categories of start-up costs that apply to the Supportive Residential Service Model proposed.	COST	JUSTIFICATION - Provide justification and details for this category of costs
Training for 1 Staff	\$400.00	Medication Administration, CPR, TOVA, First Aid
1 Vehicle	\$20,000.00	
Computer	\$800.00	
Travel (Fuel/Maintenance)	\$3,600.00	
TOTAL START-UP COSTS	\$24,800.00	

### Williams, Linda

From: Lynda Hyatt < lhyatt@gatewayhomes.org>

Sent: Thursday, March 23, 2017 2:26 PM

To: Williams, Linda
Cc: 'Catherine Powell'

Subject: RFP2000002064, Residential Treatment Services

Attachments: HPR II - FAirfax Negotiation Document (003).docx; HPR II - Fairfax Revised Budget

Forms 3-22-17.xlsx

Hello Ms. Williams: Attached please find Gateway's responses to the negotiation issues and the revised budgets for each level of service. Please note that the staffing pattern and budget in the Supervised Living level was totally revised to more accurately reflect the level of acuity that may often be represented at this level of care, to differentiate on call versus on site overnight staffing, and to eliminate all outpatient services as requested by the SAC. Once information regarding the specific client's needs and schedules are reviewed a further adjustment/reduction to staffing pattern may be warranted at this level. Our overall objective is to provide high quality services promoting the health and safety of clients for the most reasonable costs.

Again I appreciate the opportunity to be invited for negotiations. Thank you for your assistance in this process.

Lynda J. Hyatt, Ph.D.

Execuvtive and Clinical Director

Gateway Homes, Inc. 4901 Libbie Mill East Blvd. Suite 210 Richmond, VA 23230 (804) 767-0292 Fax 888-642-0930



# County of Fairfax, Virginia

To protect and enrich the quality of life for the people, neighborhoods and diverse communities of Fairfax County

### SENT VIA EMAIL ON MARCH 13, 2017 TO THE ATTENTION OF LYNDA HYATT

Gateway Homes, Inc. 11901 Reedy Branch Rd. Chesterfield, VA 23838

Attention:

Lynda Hyatt, Executive and Clinical Director

Reference:

RFP2000002064, Residential Treatment Services

Dear Ms. Hyatt:

The Selection Advisory Committee (SAC) has reviewed your organization's technical and cost proposal, and clarification responses regarding the above referenced Request for Proposal, and wishes to enter into negotiations with your organization for a potential contract.

The County has identified four (4) sites that may be used for the services proposed, in part. The County request that the offeror tour three of the properties listed below on Monday, March 20, 2017 from 11:30 a.m. to 1:30 p.m. The sites are identified below:

Address	Service
7314 Bath Street, Springfield, VA 22150	Highly Intensive Residential Services
8200 Rolling Road, Springfield, VA 22150	
8072 Powderbrook Lane, Springfield, VA 22150	Supervised Residential Services
7460 Lonestar Rd., Lorton, VA 22079	

The three sites that will be toured are the ones located in Springfield area, starting with the one located on Bath Street.

In addition, please find the attached negotiation issues that the Selection Advisory Committee would like to address.

Acceptance of this issues does not guarantee that a contract will be awarded to your firm.

Please provide your written response by 11:00 a.m. on March 24, 2017. If you have any questions, please contact me via email at: <a href="mailto:linda.williams@fairfaxcounty.gov">linda.williams@fairfaxcounty.gov</a> or telephone at: 703-324-8427.

Sincerely,

Linda Williams, CPPB Contract Specialist II

Department of Procurement & Material Management

12000 Government Center Parkway, Suite 427 Fairfax, VA 22035-0013

Website: www.fairfaxcounty.gov/dpmm

Phone 703-324-3201, TTY: 711, Fax: 703-324-3228

### Highly Intensive Residential Services

- 1. Does the offeror accept 7314 Bath St. as a housing site in which to perform Highly Intensive Residential Services for 8 individuals?
  - Yes, we agree to utilize 7314 Bath Street as a housing site in which to perform Highly Intensive Residential Services for 8 individuals.
- 2. Does the offeror confirm that they will maintain, at a minimum, a 1:4 staff to client ratio at each site 24 hours a day, 7 days a week, and 365 days a year to include during medical and/or other emergencies?
  - Yes, we confirm that we will provide coverage at a minimum of 1:4 at all times.
- 3. Does the offeror agree to bill third party payers for all outpatient services included in the proposal (to include case management and psychiatry) in order to offset the cost of services included in this RFP?
  - Yes, we confirm that we will bill all appropriate third party payers for all outpatient services included in the proposal to offset the cost of services.
     Private providers are not allowed to bill Medicaid for case management services.
- 4. Does the offeror agree to work with the client's treatment team (Northern Virginia Mental Health Institute (NVMHI), Northern Virginia Regional Projects Office (NVRPO), Community Services Board (CSB)) to identify an individualized transition plan that will successfully transition the client quickly and safely into the contracted service? Does the offeror agree to take the lead on all communications with NVMHI, NVRPO, and the CSB Discharge Planner on the implementation of transition plan?
  - Treatment team, NVRPO, and CSB participation is a vital support to us in managing the transition to the Highly Intensive level of care. We agree to work with all appropriate parties in managing transition.
  - We will assume responsibility for taking lead on all communications once a candidate has been selected and transition plan creation has initiated.
- 5. Does the offeror agree to assist clients in applying for any and all benefit entitlements and maintaining entitlements?
  - Gateway is familiar and comfortable with supporting consumers in accessing and maintaining entitlement benefits. We agree to manage this need.
- 6. Does the offeror agree to provide medication management by a licensed practical nurse (LPN)?
  - We confirm that we will provide medication administration by only staff trained in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended. All medication needs including administration, management of accounts with pharmacy, and ordering of medication will be overseen by, at a minimum, a Licensed Practical Nurse in coordination with

the staff Psychiatrist. Medication management will be overseen by the staff Psychiatrist.

- 7. Please provide a revised Supplemental Budget Form for Highly Intensive Residential Services.
  - Please find the attached revised Supplemental Budget Form

#### Supervised Residential Services

- 1. Does the offeror agree to provide two levels of Supervised Residential Services as follows?
  - a. An On-site Overnight Level with a staff to client ratio of 1:8 at each site.
    - Yes, we agree to provide on-site overnight supervision for a ratio of 1:8.
  - b. An On-call Overnight Level (overnight supervision that is on-call as needed)
    - Yes, we agree to provide on-call overnight supervision. Our assumption is that these individuals will only require on-call supervision and will <u>not</u> also have a person on-site to supervise from 9pm – 8am. Our budget reflects this assumption.
- 2. Does the offeror agree, beginning July 1, 2017, to provide the On-site Overnight Level of service to 24 individuals in 3 sites (8 individuals per site)?
- Yes, we agree to begin on-site overnight level of care to the appropriate sites. We would suggest that one of these sites be 8200 Rolling Road as it will accommodate 8 individuals. It is our understanding that we will need to locate and secure appropriate housing for 16 of these individuals, if Rolling Road is used for this level, and 24 of these individuals, if Rolling Road is not used for this level. Our budget reflects the assumption that Rolling Road will be one of the three sites and that we will be responsible for locating and securing appropriate housing for the 16 remaining individuals.
  - 3. Does the offeror agree, beginning July 1, 2017, to provide the On-call Overnight Level of service to 17 individuals in a variety of housing sites that may range in size from two to more bedrooms?
    - Yes, we agree to begin on-call overnight level of care to the 17 individuals in scattered housing sites. It is our understanding that Powderbrook Lane, Lonestar Road, and Aspenpark Road will accommodate 12 of these individuals. We understand that we will need to locate and secure appropriate housing for 5 additional individuals and our budget reflects that assumption.
  - 4. Does the offeror accept 8200 Rolling Road for the On-call Overnight Level of service?
    - Yes, we accept using 8200 Rolling Road for the On-Call Overnight Level of Service; however, we suggest that since this property can accommodate 8 individuals it be changed to an On-Site Overnight Level of Service.
- 5. Does the offeror accept 8072 Powderbrook Lane for the On-call Overnight Level of service?

- Yes, we accept using 8072 Powderbrook Lane for the On-Call Overnight Level of Service.
- 6. Does the offeror accept 7460 Lonestar Rd. for the On-call Overnight Level of service?
  - Yes, we accept using 7460 Lonestar Rd. for the On-Call Overnight Level of Service.
- 7. Does the offeror agree to use the proposed Aspenpark site for the On-Call Overnight Level of service?
  - Yes, we agree to use On-Call overnight level of care for the Aspenpark site.
  - 8. Does the offeror agree to maintain a staff to client ratio of 1:8 for the On-site Overnight Level including during medical and other emergencies?
    - Yes, we agree to have a client ratio of 1:8 for on-site overnight level of care including medical and other emergencies.
- 9. What is the proposed staff to client ratio for the On-Call Overnight Level of service?
  - We propose an on-call overnight ratio or 1:17.
  - 10. Does the offeror agree to inform clients of the options for outpatient services (to include case management and psychiatry available from the offeror, the Community Services Boards and other providers) and to document that clients were informed of provider choice in the clinical record?
    - Yes, we have a choice in provider document we currently use with Gateway consumers and will willingly continue to explain all the resources available and encourage the consumer's personal recovery-based choices.
  - 11. Does the offeror agree to remove the outpatient services described in the offeror's proposal (pages 5-6 in sections that discuss staffing, staff training, resources and evaluation) from the contracted services? The offeror may provide outpatient services to the client outside of the contract and bill other third party payers. County/NVRPO do not wish to purchase outpatient services.
    - Yes, we agree. We have eliminated all outpatient services as noted in the previous bid documents and this change is reflected on the revised budget.
  - 12. Does the offeror agree to work with County/NVRPO to expand services that maintain the 1:8 staff to client ratio at the On-site Overnight Level?
    - Yes, we agree to work with Fairfax County and the NVRPO to expand services that require a 1:8 ratio on-site overnight level of care.
  - 13. Does the offeror agree to work with the County/NVRPO to expand services at additional scattered sites for the On-call Overnight Level?
    - Yes, we agree to work with Fairfax County and the NVRPO to expand services that require on-call overnight level of care.
  - 14. Does the offeror agree to notify County/NVRPO of any known vacancy at least twenty-four (24) hours in advance of the vacancy?

- Yes, for all known vacancies, we will provide as much notice as possible, and, at least, 24 hours in advance of the vacancy.
- 15. Please provide a revised Supplemental Budget Form for Supervised Residential Services.
  - Please find the attached revised Supplemental Budget Form for Supervised Residential Servies.

### Supportive Residential Services

- 1. The clients receiving Supportive Residential Services under this contract will be clients without insurance or clients for whom Mental Health Skill Building services are non-reimbursable by other third party payor sources. The County/NVRPO will act as the payor for these clients. Does the offeror agree to provide Supportive Residential services to clients without benefits?
  - Yes, we agree to provide Supportive Residential services to clients who do not qualify for other benefits.
- 2. The RFP stated in Section 5, Tasks to be Performed, Paragraph 5.3.a that each unit of service is equal to one service hour as defined in the Core Taxonomy for Supportive Residential Services. Service hours are required to be reported to DBHDS for State Performance Contract purposes. The Core Taxonomy definition for a unit of service is not consistent, however, with other service unit measurements. For example, the Medicaid definition of a Service Unit equates 1 service unit as 1.0 to 2.99 hours. Does the offeror agree that a Service Unit will equal to 1.0 2.99 hours?
  - Yes, we agree to one service unit equaling 1.0 2.99 hours of service.
- 3. Does the offeror agree that a second Service Unit in a 24-hour period shall equal 3.00 to 5.99 hours?
  - Yes, we agree that a second unit equaling 3.0 5.99 hours of service.
- 4. Does the offeror agree to bill for no more than two (2) Service Units (no more than 5.99 hours) provided in a 24-hour period?
  - Yes, we agree to bill for no more than (2) service units in a 24-hour period.
- 5. Does the offeror agree to invoice for no more than eight (8) Service Units a month per individual (according to the Service Unit definition in questions 2 and 3 above)?
  - Yes, we agree to invoice for no more than eight service units per month per individual.
- 6. If additional units over eight (8) per month per individual are determined by the Contractor as necessary, the Contractor will submit documentation in writing and request a Treatment Team Meeting with the County/NVRPO. Treatment Team Meetings will be scheduled by the County/NVRPO and will include County/NVRPO representatives and the Contractor's Clinical Supervisor or Assistant Clinical Director. Is this agreeable to the offeror?
  - Yes, we agree to initiate a treatment team meeting if an individual is assessed to benefit and/or require additional service units per month.

- 7. Does the offeror agree to establish a cancellation/no-show policy that includes a client fee and implement that policy independent of the contract?
  - Yes, we agree to establish a cancellation/no-show policy related to mental health skills building appointments. We have asked for clarification on this question.
- 8. When clinically indicated, the Contractor shall be responsible for medication monitoring that includes assistance with obtaining medications and monitoring the filling of pill planners. Does the offeror agree to this monitoring activity?
  - Yes, medication support is an integral part of recovery for adults with serious mental illness. We enthusiastically agree to monitoring medications for individuals at the Supportive level of care.
- 9. Does the offeror agree to make appointment reminders to clients 1-2 days prior to a scheduled service visit with the client?
  - Yes, we agree to give clients a 1-2 day reminder for their upcoming scheduled appointments for which we will provide support and for regularly scheduled service visits.
- 10. Please provide a revised Supplemental Budget Form for Supportive Residential Services.
  - Please find the attached revised Supplemental Budget Form

#### For All Services

- 1. Does the offeror confirm that they will provide appropriate transportation accommodations to ensure transportation is not a barrier to all aspects of the residential service provided?
  - Yes, appropriate transportation will be provided for all services and will not be a barrier to the support provided.
- 2. Does the offeror confirm that they will provide certified interpretation and translation services as needed and consistent with Section 5, Tasks to be Performed, Paragraph 5.10 in the RFP?
  - Yes, Gateway will provide interpretation and translation services as needed and consistent for therapeutic care.
- 3. Does the offeror agree to serve as the primary link to emergency services, if emergency services are required?
  - Yes, Gateway will serve as the primary link for emergency services, if required.
- 4. Does the offeror agree to provide, within 1 business day from receipt of referral, email confirmation that a referral has been received?
  - Yes, Gateway will provide confirmation of receipt of referral within 1 business day.

- 5. Within 2 business days of the Contractor's confirmation that a referral has been received, does the offeror agree to schedule an Intake Meeting with the client?
  - Yes, Gateway will schedule an intake meeting with the client within 2 business days of the confirmation of receipt of referral issuance.
- 6. Intake Meetings shall be held according to licensing and Medicaid requirements and shall occur for all referred clients. The Contractor shall gather information to address the client's immediate needs and confirm the level of service authorized by the CSB is appropriate for the client. Within 1 business day of the Intake Meeting being held, does the offeror agree to provide email confirmation of the client's anticipated service start date (for Highly Intensive Services, provide anticipated transition period dates)?
  - Yes, Gateway will provide, within 1 business day, of the intake meeting an email confirmation regarding anticipated start date and, for Highly Intensive Services, a transition period statement.
- 7. If, as a result of the Intake Meeting, the Contractor determines that the services are not appropriate or that the referred client presents an excessive risk to the Contractor, does the offeror agree to document the determination in writing and request a Treatment Team Meeting with the County/NVRPO? Treatment Team Meetings will be scheduled by the County/NVRPO and will include County/NVRPO representatives and the Contractor's Clinical Supervisor or Assistant Clinical Director.
  - Yes, Gateway will document the determination of lack of fit for any individual who poses excessive risk and seek a treatment team meeting to discuss possible mitigation of the risk to work towards placement.
- 8. Does the offeror agree to submit a recommendation to NVRPO/County in writing for a change in level of care within 30 days of determining a change is needed?
  - Yes, Gateway will provide recommendations for changes in level of care to NVRPO and Fairfax County in writing within 30 days of determining the recommendation is needed.
- 9. Does the offeror agree that the terms "Individual Service Plan (ISP)" and "Person Centered Plan" are synonymous?
  - Yes, Gateway agrees that Individual Service Plan and Person Centered Plan are synonymous.
- 10. Does the offeror agree to develop ISPs according to licensing requirements for each client and within 30 days of the service start date?
  - Yes, each consumer will be encouraged to participate heavily in the development of their ISP including identifying their goals, reviewing their progress, and providing staff with an understanding of their needs. A preliminary plan will be in place upon admission with a full plan in place within 30 days of admission.
- 11. Does the offeror agree to conduct ISP reviews and updates every 6 months? The first ISP update shall occur 6 months after the service start date and occur at regular six month intervals thereafter.

- ISP reviews will be conducted quarterly as is required by the Department of Behavioral Health and Developmental Services licensing. Each year, the consumer will be encouraged to participate in the writing of a new ISP.
- 12. Does the offeror agree to include client signatures on all ISPs and updates?
  - Yes, Gateway will encourage consumers and, where appropriate, authorized representatives/guardians to sign the initial ISP and every quarterly review. Any refusal will be documented in the consumer's clinical record.
- 13. When clinically indicated and/or desired, does the offeror agree to develop Crisis Plans and Wellness Recovery Action Plans ™ (WRAP Plans) according to WRAP guidelines (<a href="http://mentalhealthrecovery.com/">http://mentalhealthrecovery.com/</a> )? The Contractor shall send all Crisis Plans and WRAP Plans to the County/NVRPO within 2 business days of development.
  - Yes, we agree to develop Crisis Plans and Wellness Recovery Action Plans according to WRAP guidelines. Gateway will provide these plans within two days of development to Fairfax County and/or the NVRPO.
- 14. Does the offeror agree to conduct Adverse Incident Reporting according to licensing requirements and provide copies of all reports to County/NVRPO within 24 hours of report being completed? Does the offeror agree to notify County/NVRPO of all clinical emergencies requiring external resources within 1 business day?
  - Yes, Gateway agrees to provide Adverse Incident Reporting to all required parties within 24 hours of the report begin completed including licensing, the Office of Human Rights, Fairfax County, and the NVRPO. All clinical emergencies requiring external resources shall be provided, in writing, to Fairfax County and NVRPO within 1 business day.
- 15. Does the offeror agree that it is the offeror's responsibility to ensure all its staff are qualified and trained according to licensing standards? The offeror acknowledges that neither the County nor the Region intend to provide any training to the offeror's staff.
  - Yes, Gateway assumes all responsibility to ensure all staff are trained according to the Department of Behavioral Health and Developmental Services licensing standards.
- 16. Does the offeror agree to work with the County/NVRPO to expand services as needed?
  - Yes, Gateway agrees to work with Fairfax County and the NVRPO to expand services as needed.
- 17. Does the offeror agree to provide clinical data quarterly by the 15th day of the month following the quarter for each client served? The data shall include:
  - a. Client Name:
  - b. Date of Birth;
  - c. Gender;
  - d. Service Start Date:
  - e. CSB of Origin;
  - f. Diagnosis;
  - g. Medications;

- h. Current Benefits Status:
- i. Presentation:
- j. Stated Goal(s) on ISP;
- k. Adherence to Treatment:
- Significant Incidents;
- m. Progress;
- n. Justification for continued service or recommendations for transitions with projected timeline;
- o. Pending changes in income or benefit eligibility.
  - Yes, Gateway agrees to provide quarterly summaries with the above noted items for each consumer served.
- 18. For clients referred by the County, does the offeror agree to provide clinical data reports to case managers quarterly?
  - Yes, Gateway agrees to provide clinical data to case managers quarterly.
- 19. For clients referred by the Region, does the offeror agree to provide the clinical data to the Regional Projects Office quarterly?
  - Yes, Gateway agrees to provide clinical data to NVRPO guarterly.
- 20. Does the offeror agree to ensure clients have access to all prescribed medications and exhaust all available options including PAP, generics and samples? Access shall include coordinating coverage of the cost of the medications with the CSB when medications are not covered by insurance.
  - Yes, Gateway agrees to exhaust all available medication resources and coordinate with CSB when medications are not covered by insurance.
- 21. Does the offeror agree to measure and report annually on July 15th the following Performance Accountability Metrics?
  - a. % of clients that use coping skills and behavioral strategies to manage psychiatric symptoms, and/or behavioral challenges;
  - b. % of clients that demonstrate ability to complete basic independent living tasks;
  - c. % of clients that are employed, volunteer, engage in structured day-time activities, and/or take classes in formal education (e.g. GED, degree coursework, professional development, etc.);
  - d. % of clients that avoid psychiatric hospitalization:
  - e. % of clients with co-existing medical conditions that access health care and follow up with recommendations of health care providers;
  - f. % of clients that worked to improve their physical health and fitness either (losing weight, exercise program enrollment, etc.).
    - Yes, Gateway agrees to provide Performance Accountability Metrics every July 15th beginning in 2018.
- 22. Does the offeror agree to ensure Performance Accountability Metrics are evidenced in clinical data reported quarterly and in the ISPs?
  - Yes, we agree to ensure Performance Accountability Metrics are evidenced in clinical data reported quarterly and the ISPs.

- 23. Does the offeror agree to provide data monthly to NVRPO/County for State Performance Contract reporting? The data shall be provided by the 5th day of the month or the next business day. The data shall include service hours or bed days as defined in the DBHDS Core Taxonomy.
  - Yes, Gateway agrees to provide the monthly data requested to NVRPO and Fairfax County by the 5<sup>th</sup> of each month.
- 24. Does the offeror agree to meet with County/NVRPO quarterly to include the Contractor's site team leaders and clinical operations director?
  - Yes, Gateway agrees to meet with Fairfax County and NVRPO quarterly with site team leads and Clinical Operations director.

# Budget Form for Highly Intensive <u>Residential Services</u>

Provide one budget for each service level proposed

#### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	32 hours/week	Salary	\$80,000.00
Team Leader (2)	40 hours per week	Salary	\$100,000.00
Recovery Support Specialist (14 FTE)	40 hours per week per FTE	\$20.00/hour	\$588,000.00
Peer Specialist (1)	40 hours per week	Salary	\$41,600.00
Nurse (1)	40 hours per week	Salary	\$52,000.00
Psychiatrist (1)	As Scheduled Monthly	Salary	\$16,000.00
TOTAL PERSONNEL COSTS			\$877,600.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage	*Note: 2018 and beyond will in	crease to \$62,400.00	\$31,200.00
Space Utilities/Maintenance			\$12,000.00
Program Costs			\$16,000.00
Financial Servcies	RANGE BUILDING BUILDING		\$0.00
Consultants			\$1,000.00
Insurance			\$3,600.00
Equipment Purchase/Lease			\$3,000.00
Supplies			\$8,000.00
Food			\$32,000.00
Telecommunications			\$7,200.00
Printing/Copying			\$1,200.00
Postage			\$1,200.00
Training			\$1,000.00
Vehicle Fuel			\$3,840.00
Vehicle Maintenance		12/12/2	\$2,400.00
Software Purchase/License			\$600.00
Other (Please specify)			\$
			\$
TOTAL OTHER DIRECT			\$124,240.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8%	8%	\$877,600.00	\$70,208.00
Fringe Benefits 15%	15%		
Administrative Expenses 15%	15%		
TOTAL INDIRECT COSTS			\$382,401.20
TOTAL EXPENSES (A+B+C)			\$1,384,241.20

REVENUE CATEGORIES: Use the categories below as appropriate		ESTIMATED REVENUE/YEAR
Service Contract Payments		\$0.00
Fund Raising/Donations	*Note: This will be a new activity for Gateway in Northern Virginia	\$10,000.00
Client Fees	*Note: Estimating All Consumers have SSI at \$735.00	\$112,896.00
Client Benefits		\$0.00
Medicaid/Medicare		\$0.00
Federal/State		\$0.00
Other (Please specify)		\$0.00

RFP2000002064 Appendix B

# **Budget Form for Supervised Residential Services**

Provide one budget for each service level proposed

#### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	10 hours/week	Salary	\$0.00
Team Leader (2)	40 hours per week	Salary	\$110,000.00
Recovery Support Specialist (24 FTE)	40 hours per week per FTE	\$18.00/hour	\$898,560.00
On Call Overnight Fee	Dependent Upon Acuity	Salary	\$40,000.00
TOTAL PERSONNEL COSTS			\$1,048,560.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage			\$182,000.00
Space Utilities/Maintenance	The second se		\$84,000.00
Program Costs			\$18,000.00
Financial Servcies			\$0.00
Consultants			\$0.00
Insurance			\$5,600.00
Equipment Purchase/Lease		Off Water Cold	\$0.00
Supplies	LATER OF BEING A		\$10,000.00
Food			\$80,000.00
Telecommunications			\$25,200.00
Printing/Copying		before the second	\$0.00
Postage			\$1,500.00
Training			\$7,000.00
Vehicle Fuel			\$12,000.00
Vehicle Maintenance			\$8,400.00
Software Purchase/License			\$4,200.00
Other (Please specify)			\$
TOTAL OTHER DIRECT			\$437,900.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8%	8%	1048560	\$83,884.80
Fringe Benefits 15%	15%	1048560	\$157,284.00
Administrative Expenses 15%	15%	\$1,727,628.80	\$259,144.32
TOTAL INDIRECT COSTS			\$500,313.12
TOTAL EXPENSES (A+B+C)			\$1,986,773.12

REVENUE CATEGORIES: Use the		LECTURATED DESIGNATION AND
categories below as appropriate		ESTIMATED REVENUE/YEAR
Service Contract Payments		\$0.00
Fund Raising/Donations	*Note: This will be a new activity for Gateway in Northern Virginia	\$10,000.00
Client Fees	*Note: Estimating All Consumers have SSI at \$735.00	\$289,296.00
Client Benefits		\$0.00
Medicaid/Medicare	*Note: Dependent Upon Acuity & Need for Mental Health Skills Building	\$72,800.00
Federal/State		\$0.00
Other (Please specify)		\$0.00
		\$0.00



# **Budget Form for Supportive Residential Services**

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS: Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director	2 hours/week	Salary	0.00
QMHP-A (1)	40 hours per week	20/hour	42,000.00
TOTAL PERSONNEL COSTS			\$42,000.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			ESTIMATED COST/YEAR
Rent/Mortgage			\$0.00
Space Utilities/Maintenance			\$0.00
Program Costs		Land Committee of the C	\$0.00
Financial Servcies			\$0.00
Consultants			\$0.00
Insurance		1 1962	\$0.00
Equipment Purchase/Lease			\$800.00
Supplies			\$0.00
Food			\$0.00
Telecommunications			\$0.00
Printing/Copying			\$0.00
Postage			\$0.00
Training			\$0.00
Vehicle Fuel			\$1,800.00
Vehicle Maintenance			\$1,800.00
Software Purchase/License			\$0.00
Other (Please specify)			\$
			\$
TOTAL OTHER DIRECT		Company of the con-	\$4,400.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes 8%	8%	42000	3360
Fringe Benefits 15%	15%	42000	6300
Administrative Expenses 15%	15%	56060	8409
TOTAL INDIRECT COSTS			18069
TOTAL EXPENSES (A+B+C)		Approximate the first	\$64,469.00

REVENUE CATEGORIES: Use the categories below as appropriate	ESTIMATED REVENUE/YEA
Service Contract Payments	
Fund Raising/Donations	
Client Fees	
Client Benefits	
Medicaid/Medicare	
Federal/State	
Other (Please specify)	

TOTAL REVENUE 0

### Supplemental Budget Form for Highly Intensive Residential Services - Annual Itemized Expenses by Site

	Site(s) to Start Services no later than July 1, 2017		Site(s) to replace 8-bed capacity at Annandale beginning Aug 1, 2018	
	Estimated Annual Cost for Annandale Site	7314 Bath Street, Springfield, VA	Address Unknown (Formerly Annandale)	
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.				
Clinical Operations Director	\$40,000.00	\$40,000.00	\$40,000.00	
Team Leader	\$50,000.00	\$50,000.00	\$50,000.00	
Peer Specialist	\$20,800.00	\$20,800.00	\$20,800.00	
Nurse	\$26,000.00	\$26,000.00	\$26,000.00	
Psychiatrist	\$8,000.00	\$8,000.00	\$8,000.00	
Recovery Support Specialist (7FTE)	\$294,000.00	\$294,000.00	\$294,000.00	
TOTAL PERSONNEL COSTS	\$438,800.00	\$438,800.00	\$438,800.00	
B. DIRECT COSTS: Use the categories below as appropriate and show how direct costs would be allocated across sites				
Rent/Mortgage	\$0*	31,200.00	31,200.00	
Space Utilities/Maintenance	6,000.00		6,000.00	
Program Costs	8,000.00		8,000.00	
Financial Servcies	0.00		0.00	
Consultants	500.00		500.00	
Insurance	1,800.00		1,800.00	
Equipment Purchase/Lease	1,500.00		1,500.00	
Supplies	4,000.00		4,000.00	
Food	16,000.00		16,000.00	
Telecommunications	3,600.00		3,600.00	
Printing/Copying	600.00		600.00	
Postage	600.00		600.00	
Training	0.00	1,000.00	500.00	
Vehicle Fuel	1,920.00	1,920.00	1,920.00	/-
Vehicle Maintenance	1,200.00	1,200.00	1,200.00	
Software Purchase/License	0.00		0.00	
Other (Please specify)				
TOTAL DIRECT COSTS	45,720.00	78,520.00	77,420.00	
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites				
Payroll Taxes 8%	\$35,104.00	\$35,104.00	\$35,104.00	
Fringe Benefits 15%	\$65,820.00	\$65,820.00	\$65,820.00	
Administrative Expenses 15%	\$87,816.00	\$92,736.00	\$92,565.00	
TOTAL INDIRECT COSTS	\$188,740.00	\$193,660.00	\$193,489.00	
TOTAL OPERATING COSTS (A + B + C)	\$673,260.00	\$710,980.00	\$709,709.00	
D. START-UP COSTS:		SA4		
Furnishings	\$5,000.00	\$20,000.00	\$20,000.00	

PROPOSED BED DAY RATE FOR ALL HIGHI	Y INTENSIVE RESIDE	NTIAL SERVICES		\$243.00
TOTAL EXPENSES (Operating + Start-Up)	\$678,260.00	\$794,580.00	\$759,909.00	
TOTAL START-UP COSTS	\$5,000.00	\$83,600.00	\$50,200.00	
Other (Please specify)				
Rental Deposit	\$0.00	\$4,000.00	\$4,000.00	
Copy Machine	\$0.00	\$6,000.00	\$0.00	
Site Modifications	\$0.00	\$1,200.00	\$1,200.00	
Vehicles	\$0.00	\$50,000.00	\$25,000.00	
Three Computers	\$0.00	\$2,400.00	\$0.00	

<sup>\*</sup>See RFP Section 10.2

	8200 Rolling Road Springfield, VA	To Be Identified - Home for 8 Individuals	To Be Identified - Home for 8 Individuals
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.			
Team Leader (1 for all sites)	\$20,000.00	\$20,000.00	\$20,000.00
Recovery Support Specialist 12 FTEs	\$149,760.00	\$149,760.00	\$149,760.00
	\$169,760.00	\$169,760.00	\$169,760.00
TOTAL PERSONNEL COSTS			
B. DIRECT COSTS: Use the categories below as appropriate and show how direct costs would be allocated across sites			
Rent/Mortgage	\$31,200.00	\$31,200.00	\$31,200.00
Space Utilities/Maintenance	\$12,000.00	\$12,000.00	\$12,000.00
Program Costs	\$3,600.00	\$3,600.00	\$3,600.00
Financial Servcies	\$0.00	\$0.00	\$0.00
Consultants	\$0.00	\$0.00	\$0.00
Insurance	\$800.00	\$800.00	\$800.00
Equipment Purchase/Lease	\$0.00	\$0.00	\$0.00
Supplies	\$2,000.00	\$2,000.00	\$2,000.00
Food	\$16,000.00	\$16,000.00	\$16,000.00
Telecommunications	\$3,600.00	\$3,600.00	\$3,600.00
Printing/Copying	\$0.00	\$0.00	\$0.00
Postage	\$300.00	\$300.00	\$300.00
Training	\$1,000.00	\$1,000.00	\$1,000.00
Vehicle Fuel	\$2,400.00	\$2,400.00	\$2,400.00
Vehicle Maintenance	\$1,200.00	\$1,200.00	\$1,200.00
Software Purchase/License Other (Please specify)	\$600.00	\$600.00	\$600.00
TOTAL DIRECT COSTS	\$74,700.00	\$74,700.00	\$74,700.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites			
Payroll Taxes 8%	\$13,580.80	\$13,580.80	\$13,580.80
Fringe Benefits 15%	\$25,464.00	\$25,464.00	\$25,464.00
Administrative Expenses 15%	\$42,525.72	\$42,525.72	\$42,525.72
TOTAL INDIRECT COSTS	\$81,570.52	\$81,570.52	\$81,570.52
TOTAL OPERATING COSTS (A + B + C)	\$326,030.52	\$326,030.52	\$326,030.52
D. START-UP COSTS:	<b>经济发展的</b>	talen en analysis and a	
Furnishings	\$20,000.00	\$20,000.00	\$20,000.00
Site Modifications	\$0.00	\$0.00	\$0.00
Rental & Utility Deposit	\$3,000.00	\$3,000.00	\$3,000.00
Vehicles	\$40,000.00	\$40,000.00	\$40,000.00
TOTAL START-UP COSTS	\$63,000.00	\$63,000.00	\$63,000.00
TOTAL EXPENSES (Operating + Start-Up)	\$389,030.52	\$389,030.52	\$389,030.52

Supplemental Budget Form for Supervised Residential Services - Annual Itemized Expenses by Site

	8072 Powderbrook Lane, Springfield, VA to accommodate 4 individuals	7460 Lonestar Road, Lorton, VA to accommodate 4 individuals	7591 Aspenpark Road, Lorton, VA to accommodate 4 individuals	To Be Identified - Home for 5 Individuals
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.				
Team Leader (1 for all sites)	\$15,000.00	\$15,000.00	\$15,000.00	\$15,000.00
Recovery Support Specialist 12 FTEs	\$112,320.00	\$112,320.00	\$112,320.00	\$112,320.00
On Call Overnight	\$10,000.00	\$10,000.00	\$10,000.00	\$10,000.00
	\$137,320.00	\$137,320.00	\$137,320.00	\$137,320.00
TOTAL PERSONNEL COSTS				
B. DIRECT COSTS: Use the categories below as appropriate and show how direct costs would be allocated across sites				
Rent/Mortgage	\$31,200.00	\$31,200.00	\$31,200.00	\$31,200.00
Space Utilities/Maintenance	\$12,000.00	\$12,000.00	\$12,000.00	\$12,000.00
Program Costs	\$1,800.00	\$1,800.00	\$1,800.00	\$1,800.00
Financial Servcies	\$0.00	\$0.00	\$0.00	\$0.00
Consultants	\$0.00	\$0.00	\$0.00	\$0.00
Insurance	\$800.00	\$800.00	\$800.00	\$800.00
Equipment Purchase/Lease	\$0.00	\$0.00	\$0.00	\$0.00
Supplies	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00
Food	\$8,000.00	\$8,000.00	\$8,000.00	\$8,000.00
Telecommunications	\$3,600.00	\$3,600.00	\$3,600.00	\$3,600.00
Printing/Copying	\$0.00	\$0.00	\$0.00	\$0.00
Postage	\$150.00	\$150.00	\$150.00	\$150.00
Training	\$1,000.00	\$1,000.00	\$1,000.00	\$1,000.00
Vehicle Fuel	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00
Vehicle Maintenance	\$1,200.00	\$1,200.00	\$1,200.00	\$1,200.00
Software Purchase/License	\$600.00	\$600.00	\$600.00	\$600.00
Other (Please specify)				
TOTAL DIRECT COSTS	\$62,550.00	\$62,550.00	\$62,550.00	\$62,550.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites				
Payroll Taxes 8%	\$10,985.60	\$10,985.60	\$10,985.60	\$10,985.60
Fringe Benefits 15%	\$20,598.00	\$20,598.00	\$20,598.00	\$20,598.00
Administrative Expenses 15%	\$34,718.04	\$34,718.04	\$34,718.04	\$34,718.04
TOTAL INDIRECT COSTS	\$66,301.64	\$66,301.64	\$66,301.64	\$66,301.64
TOTAL OPERATING COSTS (A + B + C)	\$266,171.64	\$266,171.64	\$266,171.64	\$266,171.64
D. START-UP COSTS:				
Furnishings	\$10,000.00	\$10,000.00	\$10,000.00	\$12,000.00
Site Modifications	\$0.00	\$0.00	\$0.00	\$0.00
Rental & Utility Deposit	\$3,000.00	\$3,000.00	\$3,000.00	\$3,000.00
Vehicles	\$20,000.00	\$20,000.00	\$20,000.00	\$40,000.00
TOTAL START-UP COSTS	\$33,000.00	\$33,000.00	\$33,000.00	\$55,000.00
TOTAL EXPENSES (Operating + Start-Up)	\$299,171.64	\$299,171.64	\$299,171.64	\$321,171.64
THE PARTY AND PARTY OF THE PART	CONTRACTOR DESCRIPTION AND ADDRESS.	THE PERSON NAMED IN COLUMN 2 IN COLUMN 2	A COMPANY OF THE PARK OF THE P	DESCRIPTION AND APPROPRIATE

RFP2000002064 Appendix B

PROPOSED SERVICE HOUR RATE FOR ALL SUPPORTIVE RESIDENTIAL SERVICES	SUPPORTIVE RESI	DENTIAL SERVICES \$90.00
START-UP COSTS: Specify categories of start-up costs that apply to the Supportive Residential Service Model proposed.	COST	JUSTIFICATION - Provide justification and details for this category of costs
Training for 1 Staff	\$400.00	Medication Administration, CPR, TOVA, First Aid
1 Vehicle	\$20,000.00	
Computer	\$800.00	
Travel (Fuel/Maintenance)	\$3,600.00	
TOTAL START-UP COSTS	\$24,800.00	

### Williams, Linda

From:

Williams, Linda

Sent:

Monday, December 19, 2016 11:46 AM

To:

'lhyatt@gatewayhomes.org'

Subject:

RE: RFP2000002064, Residential Treatment Services - Technical Clarification

**Attachments:** 

Gateway Homes, Inc..doc

Ms. Hyatt,

Attached are clarification questions in regards to the RFP referenced above. Please provide your response by Noon, January 3, 2017.

If you have any questions, please don't hesitate to contact me.

Thank you,

Linda Williams, CPPB
Contract Specialist II
Fairfax County
Dept. of Procurement and Material Management (DPMM)
12000 Government Center Parkway
Suite 427
Fairfax, VA 22035

Office: 703-324-8427 Fax: 703-324-3228



# County of Fairfax, Virginia

To protect and enrich the quality of life for the people, neighborhoods and diverse communities of Fairfax County

### SENT VIA EMAIL ON DECEMBER 19, 2016, TO THE ATTENTION OF LYNDA J. HYATT

Gateway Homes, Inc. 11901 Reedy Branch Rd. Chesterfield, VA 23838

Attention:

Lynda J. Hyatt, Executive & Clinical Director

Reference:

RFP2000002064, Residential Treatment Services

Dear Ms. Hyatt:

The Selection Advisory Committee (SAC) has reviewed your firm's technical proposal regarding the above referenced Request for Proposal, and has the attached list of clarification questions.

Please provide your written response by Noon on January 3, 2017. You may e-mail your response to me at <a href="mailto:linda.williams@fairfaxcounty.gov">linda.williams@fairfaxcounty.gov</a>. If you have any questions, please contact me via email or telephone at 703-324-8427.

Sincerely,

Linda Williams, CPPB Contract Specialist II

- The County is interested in your organization's staffing turnover averages. For staff providing direct consumer support, please provide turnover averages by position for the past three years.
- 2. How does your organization fill staff vacancies? Do you use a contracted staffing agency to fill employee vacancies?
- 3. Please provide your organization's staff retention plan.
- 4. Your proposal included licensed practical nursing (LPN) services rather than licensed registered nursing services for medication management at the Highly Intensive level (See Section 5, Tasks to be Performed, Paragraph 5.1.e., in the RFP). Please describe why LPNs are adequate to perform this function.
- 5. The proposal includes an occupational therapist to help consumers develop an employment plan. Did you mean employment specialist? Please explain what this staff member will do.
- 6. Please explain your management strategy for roommate matching at the Highly Intensive and Supervised levels to avoid potential conflicts. What is your bedroom to client ratio at the Supervised level?
- 7. Have you explored the possibility of negotiating with current providers for use of existing facilities? Please explain.
- 8. Please clarify what skill building services you will provide for consumers who do not use your outpatient support?
- Your proposed staffing plan for Supportive Residential Services is for 4,160 hours (2 FTEs). The RFP requested 1200 units of service per year of Supportive Residential Services. Please explain how the additional 2,960 hours will be utilized.

# Williams, Linda

From:

Lynda Hyatt < lhyatt@gatewayhomes.org >

Sent:

Friday, December 23, 2016 6:07 PM

To:

Williams, Linda

Subject:

Gateway Homes, Inc. - Clarification responses

**Attachments:** 

Gateway Homes, Inc. - Clarification responses.doc

Dear Ms. Williams: Please find attached the responses from Gateway for the 9 clarifications questions asked by the SAC. If any additional information is needed, please do not hesitate to contact me.

Thank you and enjoy your holiday.

Lynda J. Hyatt, Ph.D. Executive & Clinical Director Gateway Homes (804) 767-0292 Ihyatt@gatewayhomes.org



# County of Fairfax, Virginia

To protect and enrich the quality of life for the people, neighborhoods and diverse communities of Fairfax County

### SENT VIA EMAIL ON DECEMBER 19, 2016, TO THE ATTENTION OF LYNDA J. HYATT

Gateway Homes, Inc. 11901 Reedy Branch Rd. Chesterfield, VA 23838

Attention:

Lynda J. Hyatt, Executive & Clinical Director

Reference:

RFP2000002064, Residential Treatment Services

Dear Ms. Hyatt:

The Selection Advisory Committee (SAC) has reviewed your firm's technical proposal regarding the above referenced Request for Proposal, and has the attached list of clarification questions.

Please provide your written response by Noon on January 3, 2017. You may e-mail your response to me at <a href="mailto:linda.williams@fairfaxcounty.gov">linda.williams@fairfaxcounty.gov</a>. If you have any questions, please contact me via email or telephone at 703-324-8427.

Sincerely,

Linda Williams, CPPB Contract Specialist II

12000 Government Center Parkway, Suite 427 Fairfax, VA 22035-0013

Website: www.fairfaxcounty.gov/dpmm

Phone 703-324-3201, TTY: 711, Fax: 703-324-3228

The County is interested in your organization's staffing turnover averages. For staff
providing direct consumer support, please provide turnover averages by position for
the past three years.

Response: The following table represents the turnover by position for staff providing direct support from January 2014 to December 2017.

Ful	I Time Employees		
Supervisors	5	Turnover	0
Peer Specialists	3	Turnover	0
Nursing	1	Turnover	0
Clinicians	10	Turnover	1
Recovery Support Specialists	22	Turnover	4
Total	41	Turnover Total	5
		<b>Turnover Percentage</b>	12%
<u>P</u>	RN Employees		
Nursing	2	Turnover	0
Recovery Support Specialists	39	Turnover	12
Total	41	Turnover Total	12

**Turnover Percentage** 

29%

As you see demonstrated by the numbers above, the retention rate for full time employees is approximately 2.5 times higher than for PRN employees. The reasons given for vacating a position as a full time employee are most often related to career opportunities in a different type of setting. The reasons for PRN vacancies are more related to pragmatic issues such as changes in lifestyle (having children, moving, getting married, becoming ill, etc.), or meeting a personal goal and no longer needing the extra income. Also, at times the PRN employees seem to be less likely to embrace the organizational values of Gateway and cannot reflect these in the performance of their duties therefore requiring removal from the position. When aggregated, the retention percentage for all direct support employees equals 80% over the three year period. Again, these numbers do not include any administrative personnel.

2. How does your organization fill staff vacancies? Do you use a contracted staffing agency to fill employee vacancies?

Response: When a vacancy in staffing is identified, Gateway Homes will solicit interest from internal candidates prior to posting vacancies externally. Promoting from within is valued as part of our retention plan for staffing. If this process does not yield results or if there are no qualified candidates for a position, a position ad is placed with indeed.com. Depending upon the nature of the position, solicitation may be extended to professional sites as well. Candidates are screened by Human Resources to ensure qualifications required for the position are met according to the licensing guidelines established by Department of Behavioral Health and Developmental

Services. Individuals providing direct care must meet the qualifications for a Qualified Mental Health Professional and/or a Qualified Paraprofessional in Mental Health. Once qualifications are screened, interviews with candidates are scheduled. Selection is based upon credentials and qualifications, a match with the team members and the candidate's ability to describe previous work situations which reflect Gateway's values of compassion, collaboration and creativity. Job descriptions are provided during the interview to ensure that the candidate is fully aware of the expectations for the position. If offered a position, the candidate is given a full packet of paperwork to complete and is advised that employment is based upon clearance of background checks and required trainings such as Therapeutic Options of Virginia, CPR, First Aid, Medication Administration, etc. Once a start date is set, orientation and training for the position is completed by the program manager.

Gateway does not use contracted staffing agencies to fill employee vacancies.

### 3. Please provide your organization's staff retention plan.

Response: Gateway emphasizes staff retention. This is reflected in the annual performance appraisal when each employee is asked to list their personal career goals for the next year and to identify how Gateway can assist in reaching these goals. Gateway provides funds for Continuing Education, special training, licensure supervision, or classes that enhance the staff's performance in their current position or provide opportunities for advancement. Gateway strives to treat the staff with the same dignity and respect awarded to the individuals we serve. Gateway recognizes that the choice of employment lies with the staff member and therefore promotes a healthy work environment where expectations are clear. Gateway is committed to retaining employees who are passionate regarding our mission and competent to complete the tasks as defined in their job description.

Should an employee experience difficulty in performance, coaching and extra supervision are offered as a means of correcting any deficits. At times, counseling and support is provided by outside agencies in order to assist a staff member during a difficult period. Gateway will work with an employee who wishes to remain with the organization until it is evident that it is no longer mutually beneficial to do so.

Additionally, Gateway offers a gold package of benefits. This includes paid time off of 16 hours per month up to five years, then 20 hours per month up to 10 years and 24 hours per month after ten years. Ten holidays are scheduled annually. The competitive benefits package includes health insurance, dental insurance, long term disability, a simple IRA with a 3% maximum match from the company, and a pre-tax flexible spending account. Staff in direct care positions begins employment at a base salary of \$18.00 per hour unless a higher salary is warranted based on experience and credentials.

In 2014 Gateway was awarded the Top Workplace Award by the Richmond Times Dispatch, the only non-profit in the small business category to be recognized. This

was due in part to the high retention rate of employees, calculated at 85% over a 5 year period.

4. Your proposal included licensed practical nursing (LPN) services rather than licensed registered nursing services for medication management at the Highly Intensive level (See Section 5, Tasks to be Performed, Paragraph 5.1.e., in the RFP). Please describe why LPNs are adequate to perform this function.

Response: The psychiatrist is responsible for medication management and works with the LPN to ensure all medication orders are kept up to date. The psychiatrist meets personally with the LPN during site visits to discuss any concerns or answer questions in addition to providing on call coverage for impromptu situations. Over the past six years an LPN has served at the Annandale ICRT as the nurse. This individual is able to manage the individual's medical needs and accompanies them to all appointments. Also, the LPN is able to administer intramuscular injections as prescribed and monitor the Clozaril registry, which are the vital aspects of the LPN's position. The LPN completes vital checks every month and has been able to attend to all medical needs of the individuals in the program. An LPN is accepted by the Department of Behavioral Health as the nursing qualifications for licensing purposes. Additionally, the LPN has the ability to consult with the nurse practitioner in Chesterfield program.

5. The proposal includes an occupational therapist to help consumers develop an employment plan. Did you mean employment specialist? Please explain what this staff member will do.

Response: The Occupational Therapist (OT) is responsible for the functional assessment and analysis of the individual's ability to obtain a self identified goal working toward recovery which may include employment, volunteering, academic pursuits, etc. The OT develops a plan which includes small steps in successive approximation to reaching a larger goal and includes not only the individual's capabilities, but the match between the individual, the goal and the environment in which the functions will be performed. The OT is licensed by the Board of Medicine and is trained in understanding diagnostic criteria. The OT will support the individual in developing skills related to the pursuit of structured activities and will advocate for the individual with external sources if requested to do so.

Gateway was able to hire an OT in April, 2016, for the Chesterfield program through funding awarded by a foundation. The OT has had a considerable impact upon the success of individuals obtaining work, volunteer positions or returning to school. Additionally, the OT has been able to identify specific skills that can be improved through cooperation with the staff providing Mental Health Skills Building that increases the likelihood of the individual becoming employable.

Although the employment specialist at the Department of Aging and Rehabilitation Services have also been helpful, they rule out a number of the individuals Gateway serves who wish to work based upon them not being "work ready." The OT is professionally trained to assist the individual in development of the skills necessary to

become work ready and to seek an employment environment that matches their skills and aptitude.

6. Please explain your management strategy for roommate matching at the Highly Intensive and Supervised levels to avoid potential conflicts. What is your bedroom to client ratio at the Supervised level?

Response: All individuals are matched with same sex roommates. Gateway is sensitive to the needs of those individuals who do not identify as solely male or female and is willing to engage in discussion and support those individuals in feeling comfortable in shared spaces. At times roommate matching at the Highly Intensive level of care is managed by the location of the vacant bed, being a male or female bed. When bed selection is totally open, i.e., not confounded by the sex of the preexisting resident occupying the room, roommate matching relies upon two individual's willingness to room together. Otherwise, selection begins by soliciting feedback from the potential residents regarding their preferences in a roommate. A period of transition time is encouraged to give the individuals time to acclimate to each other, learn each other's likes and dislikes, and to engage in staff support to manage any perceived conflicts.

At the Supervised level of care, staff encourages individuals to engage in meeting each other prior to admission and to focus on likes and dislikes involving completion of activities of daily living or habits. Staff will encourage these conversations and assist in providing the support and/or mediation to enhance the chances of a successful partnership as roommates. As the situation arises, staff is open to discussing room changes or alternative roommates if preferable.

At the Supervised level we prefer to have single or double only bedrooms but no more than two individuals will share a room.

7. Have you explored the possibility of negotiating with current providers for use of existing facilities? Please explain.

Response: Prior to submission of the proposal Gateway researched the rental fees for housing located in the Fairfax area that would accommodate 8 individuals and meet DBHDS guidelines. Gateway was not aware that negotiation with the current owners was an option and therefore, has not pursued this possibility. Gateway is very open to this possibility if warranted and will readily pursue negotiations at the appropriate time.

8. Please clarify what skill building services you will provide for consumers who do not use your outpatient support?

Response: Mental Health Skills Building Services (MHSS) are provided to any residents who need this service and desire to receive it from Gateway as the provider regardless of their involvement in outpatient support. MHSS include skills that need to be developed to enable the individual to live more independently and to reach their identified goals of recovery. Typical skill development includes the following:

planning nutritious meals, buy groceries on a budget, budgeting income, paying bills, researching structured activities, learning to utilize community resources, travel training, medication education, medical appointments and follow up, developing and responding to social cues, assessing emergency situations and resources, managing conflict and being assertive.

Of course these skills differ in intensity dependent upon the client's presentation and needs. The QMHP's that provide MHSS work collaboratively with the individual to develop their treatment plan addressing the identified skills to be achieved during the quarter. The QMHP is cognizant of the individual's preferences and strives to deliver services that are pragmatic and beneficial to the individual's progress.

9. Your proposed staffing plan for Supportive Residential Services is for 4,160 hours (2 FTEs). The RFP requested 1200 units of service per year of Supportive Residential Services. Please explain how the additional 2,960 hours will be utilized.

Response: The inclusion of 2 FTE's was based on the following assumptions:

- 1200 units of service per year are not necessarily equal to 1200 hours of services since one unit of service can be designated between 1.0 and 2.99 hours. Given this reality, an average of 2 hours per unit of service was used as a guideline. This would equate to 2400 hours of service annually for the 10 individuals in supportive living.
- 2. 2400 hours of service annually for 10 individuals would equal 20 hours per month per individual or approximately 5 hours per week for 50 weeks per year.
- 3. At 5 hours per week per individual a caseload of 5 individuals would mean that the QMHP has 25 hours of direct contact weekly leaving 15 hours of time for documentation, travel, supervision and any other services that may not qualify for MHSS but are needed by the individual receiving services.
- 4. Since the caseload is 10 individuals, 2 FTEs were proposed.

If in fact the individuals currently receiving MHSS have lower intensity needs, then the previous assumptions may not be accurate. Gateway is very willing to reduce the FTE's to one with the assumption that a maximum of 2.5 hours of MHSS per week per individual would be provided.

# FAIRFAX-FALLS CHURCH COMMUNITY SERVICES BOARD and HEALTH PLANNING REGION II RFP2000002064 Residential Treatment Services

# TECHNICAL PROPOSAL

# **Original**



Gateway Homes, Inc. 11901 Reedy Branch Road Chesterfield, Virginia 23838

First Organized in 1983 Incorporated in 1983

Federal Identification Number: 541264177 State Identification Number: 00093101

County Identification Number; VS0000155490



### **BOARD OF DIRECTORS**

Kevin A. White, Chairman Kaufman & Canoles, PC Christine G. Daniels, CTP Wells Fargo Bank Ronald O. Forbes, MD Central State Hospital Laura Givens Virginia Dental Association Alexander Hamilton, IV CB Richard Ellis L. Thompson Hanes Sands Anderson PC Rebecca Ingram, MD Maple Grove Medical Kathleen Markowitz Artist / Writer - M.S. Gerontology K. Wesley Martin Altria Client Services Claiborne Mason Virginia Homes for Boy & Girls Brenda McDowell Consultant, Travel & Tourism Lars Messerschmidt, LCSW Hanover Community Services Ken Lowe Mercer Michael Nichols Program Coordinator Angel L. Perez Walmart Florence Z. Segal Professor Emerita Co-Founder H. Barrow Turner, III Caprin Asset Management E. Otto N. Williams, Jr. Davenport & Company, LLC

### **COUNCIL OF ADVOCATES**

Kia J. Bentley, PH.D. VCU School of Social Work Victor Branch Bank of America Steven M. Edmonds, Esq. NewMarket Corporation Tripp Perrin **Lindl Corporation** E. Bryson Powell Midlothian Enterprises, Inc. Mira Signer NAMI Virginia Wallace Stettinius Retired, Cadmus Communications Laurie Weeda Church of the Epiphany

### **EXECUTIVE & CLINICAL DIRECTOR**

Lynda J. Hyatt, PH.D.

To Whom it May Concern:

I attest that this UBS copy of the proposal RFP 2000002064 Residential Treatment Services is a true copy of the original.

### **Technical Proposal**

Notary Signature:

Notary Registration Number: 7215805

Expiration Date of Notary: 01-31-2020

Gateway Homes, Inc. 11901 Reedy Branch Road Chesterfield, VA 23838

FIN: 54-1264177 SIN: 00093101 CIN: VS0000155490





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# DEPARTMENT OF PROCUREMENT AND MATERIAL MANAGEMENT

12000 GOVERNMENT CENTER PARKWAY, SUITE 427 FAIRFAX, VIRGINIA 22035-0013

CONTRACT SPECIALIST:

**TITLE: Residential Treatment Services** 

# VIRGINIA

ISSUE DATE:

DEPARTMENT:

September 23, 2016

Fairfax-Falls Church

TELEPHONE: (703) 324-3201 FAX: (703) 324-3228 TTY: 1-800-828-1140

Proposals - In accordance with the following and in compliance with all terms and conditions, unless otherwindersigned offers and agrees, if the proposal is accepted, to furnish items or services for which prices are quo or furnished to designated points within the time specified. It is understood and agreed that with respect to conditions accepted by Fairfax County the items or services offered and accompanying attachments shall constitute.  Note: Fairfax County does not discriminate against faith-based organizations in accordance with the Code of Value	oted, delivered all terms and tute a contract.  Virginia, § 2.2-ny other basis
A343.1 or against a bidder or offeror because of race, religion, color, sex, national origin, age, disability, or an prohibited by state law relating to discrimination in employment in the performance of its procurement activity.  NAME AND ADDRESS OF FIRM:  Telephone/Fax No.:  (804)767-0293  E-Mail Address: huatta gatew	ny other basis
Gateway Homes Inc E-Mail Address: hyatta gatew	
	x foot 15 to
110010 0 0 101	nulames.
11901 Reedy Branch Rd Federal Employer Identification No or 54-126	1177 .
Chesterfield, VA. Federal Social Security No. (Sole Proprietor)	
Prompt Payment Discount:% for payment v	withindays/n
State Corporation Commission (SCC) Identification No.	4-2
By signing this proposal, Offeror certifies, acknowledges, understands, and agrees to be be conditions set forth in the General Conditions and Instructions to Bidders as described in Appel Certification Regarding Ethics in Public Contracting set forth in Appendix B, and by any oth certifications set forth in Appendix B.	endix A, the
BUSINESS CLASSIFICATION - Described in Appendix B - CHECK ONE:   LARGE (Y) MY SMALL (E	B)
$\square$ MINORITY-OWNED SMALL (X) $\square$ MINORITY OWNED LARGE (V) $\square$ WOMEN-OWNED SMALL (C)	
☐ WOMEN OWNED LARGE (A) ☐ NON PROFIT (9)	
CHECK ONE: ☐ INDIVIDUAL ☐ PARTNERSHIP ☐ CORPORATION State in which Incorporated: VA.	
Vendor Legally Authorized Signature  State III Which Incorporated.  11   16   16  Date	

REQUEST FOR PROPOSAL NUMBER:

November 22, 2016 @ 10:00 a m

RFP2000002064

DUE DATE/TIME:

AN EQUAL OPPORTUNITY PURCHASING ORGANIZATION

Sealed proposals subject to terms and conditions of this Request for Proposal will be received by the Fairfax County Purchasing Agent at 12000 Government Center Parkway, Suite 427, Fairfax, Virginia 22035-0013 until the date/time specified above.

YNDAJ. HYAT Executive allivical Director

Print Name and Title

E



# County of Fairfax, Virginia

# ADDENDUM

DATE: October 19, 2016

### ADDENDUM NO. 1

TO:

ALL PROSPECTIVE OFFERORS

REFERENCE:

RFP2000002064

FOR:

Residential Treatment Services

DUE DATE/TIME:

November 22, 2016 @ 10:00 a.m.

The referenced Request for Proposal (RFP) is amended as follows:

1. The last day to submit questions is November 9, 2016 by 3:00 P.M.

2. Paragraph 1.4.b, SCOPE OF SERVICES, is changed to read as follows:

<u>Supervised Residential Services</u> – Defined in the Core Taxonomy as overnight care with supervision and services (e.g. supervised apartments, domiciliary care). Supervised Residential Services include housing combined with services. The minimum service capacity needed by both HPR II and the Fairfax-Falls Church CSB is service for 41 -50 adults.

Paragraph 1.8.b, SCOPE OF SERVICES, is changed to read as follows:

Housing for Supervised Residential – All of the forty-one to fifty (41-50) beds needed for this service beginning no later than July 1, 2017, shall be at sites secured by the offeror and located centrally within the boundaries of HPR II or within Fairfax County. Up to three beds with on-site overnight supervision may be located outside of Fairfax County but within the boundaries of HPR II.

4. Section 5, TASKS TO BE PERFORMED, Paragraph 5.1.f, Highly Intensive Residential Services, first sentence is changed to read as follows:

Provide case coordination with CSB Discharge Planner and NVRPO Clinical Supervisor as appropriate.

Department of Procurement & Material Management

12000 Government Center Parkway, Suite 427 Fairfax, VA 22035-0013

Website:

Phone 703-324-3201, TTY: 711, Fax: 703-324-3228

Section 5, TASKS TO BE PERFORMED, Paragraph 5.2.c, Supervised Residential Services, is changed to read as follows:

Provide staffing that supports overnight care, varying clinical acuity and milieu management. On-site overnight supervision is needed for a minimum of 19 individuals beginning July 1, 2017. Overnight supervision that is drop-in or on-call is needed for a minimum of 22 individuals beginning July 1, 2017. Adjust staff support, as required, to address the clinical acuity of individuals served.

Section 5, TASKS TO BE PERFORMED, Paragraph 5.2.f, Supervised Residential Services, is changed to read as follows:

Ensure nutritional meals and nutritional snacks are available daily and encourage client participation in the development of menus and meals.

 Section 5, TASKS TO BE PERFORMED, Paragraph 5.2.g, Supervised Residential Services, is changed to read as follows:

Ensure the housing facilities are safe, clean, sanitary, well maintained and appropriate to the needs of the clients. Oversee cleanliness of the common areas, client bedrooms and bathrooms, and client clothing and bedding. Encourage the client's full participation in the care of the home, personal space and clothing.

 See Attachment 1 for the answers to some of the questions received at the pre-proposal conference held on October 4, 2016 and after the pre-proposal conference. We are currently working on Addendum No. 2 that will be issued shortly addressing the rest of the questions.

All other terms and conditions remain the same.

Sinda Williams

Linda Williams, CPPB Contract Specialist II

THIS ADDENDUM IS ACKNOWLEDGED AND IS CONSIDERED A PART OF THE SUBJECT REQUEST FOR PROPOSAL:

rateway Homes, Inc

Name of Firm

(Date)

A SIGNED COPY OF THIS ADDENDUM MUST BE INCLUDED IN THE TECHNICAL PROPOSAL OR RETURNED PRIOR TO DUE DATE/TIME.

Note: SIGNATURE ON THIS ADDENDUM DOES NOT SUBSTITUTE FOR YOUR SIGNATURE ON THE ORIGINAL PROPOSAL DOCUMENT. THE ORIGINAL PROPOSAL DOCUMENT MUST BE SIGNED.



# County of Fairfax, Virginia

### ADDENDUM

DATE: October 28, 2016

### ADDENDUM NO. 2

TO:

ALL PROSPECTIVE OFFERORS

REFERENCE:

RFP2000002064

FOR:

Residential Treatment Services

DUE DATE/TIME:

November 22, 2016 @ 10:00 a.m.

The referenced Request for Proposal (RFP) is amended as follows:

 See Attachment 1 for the answers to questions received at the pre-proposal conference held on October 4, 2016 and after the pre-proposal conference.

All other terms and conditions remain the same.

Sinda Williams

Linda Williams, CPPB Contract Specialist II

THIS ADDENDUM IS ACKNOWLEDGED AND IS CONSIDERED A PART OF THE SUBJECT REQUEST FOR PROPOSAL:

GATEWAY Homes, Inc

Synda Jylyatt

11/16/16 (Date)

A SIGNED COPY OF THIS ADDENDUM MUST BE INCLUDED IN THE TECHNICAL PROPOSAL OR RETURNED PRIOR TO DUE DATE/TIME.

Note: SIGNATURE ON THIS ADDENDUM DOES NOT SUBSTITUTE FOR YOUR SIGNATURE ON THE ORIGINAL PROPOSAL DOCUMENT. THE ORIGINAL PROPOSAL DOCUMENT MUST BE SIGNED.

Department of Procurement & Material Management

12000 Government Center Parkway, Suite 427 Fairfax, VA 22035-0013

Website:

Phone 703-324-3201, TTY: 711, Fax: 703-324-3228



# County of Fairfax, Virginia

# ADDENDUM

DATE: November 15, 2016

### ADDENDUM NO. 3

TO:

ALL PROSPECTIVE OFFERORS

REFERENCE:

RFP2000002064

FOR:

Residential Treatment Services

DUE DATE/TIME:

November 22, 2016 @ 10:00 a.m.

The referenced Request for Proposal (RFP) is amended as follows:

1. See Attachment 1 for answers to questions recently submitted.

All other terms and conditions remain the same.

Sinda Williams

Linda Williams, CPPB Contract Specialist II

THIS ADDENDUM IS ACKNOWLEDGED AND IS CONSIDERED A PART OF THE SUBJECT REQUEST FOR PROPOSAL:

GATEWAY Homes, Inc

Synda J'Hust! 11

A SIGNED COPY OF THIS ADDENDUM MUST BE INCLUDED IN THE TECHNICAL PROPOSAL OR RETURNED PRIOR TO DUE DATE/TIME.

Note: SIGNATURE ON THIS ADDENDUM DOES NOT SUBSTITUTE FOR YOUR SIGNATURE ON THE ORIGINAL PROPOSAL DOCUMENT. THE ORIGINAL PROPOSAL DOCUMENT MUST BE SIGNED.

12000 Government Center Parkway, Suite 427 Fairfax, VA 22035-0013

(Date)

Website: www.fairfaxcounty.gov/dpmm Phone 703-324-3201, TTY: 711, Fax: 703-324-3228

# **OFFEROR DATA SHEET**

NAME OF OFFEROR: GATEWAY Homes Inc.
ADDRESS: 11901 Reedy Branch Road
Chesterfield, VA. 23838
DUNS NUMBER: 187628698
E-MAIL ADDRESS: 1 heatt 2 gatewayhomes.org
Name and e-mail addresses of both service and fiscal representatives (Key Personnel) who would handle this account.
Service Representative: Lynda J. Huatt Telephone Number: (804) 767-0292 E-Mail Address: Thyatt 8 gatewayhomes.org
Fiscal Representative: Cella Broadus Telephone Number: () E-Mail Address: Chroadus agatewayhomes.pro
yment Address, if different from above:
same as above

# Certification Regarding Ethics in Public Contracting

In submitting this bid or proposal, and signing below, Bidder/Offeror certifies the following in connection with a bid, proposal, or contract:

Check one:	
$\boxtimes$	<ol> <li>I have not given any payment, loan, subscription, advance, deposit of money, services or anything of more than nominal or minimal value to any public employee or official have official responsibility for a procurement transaction.</li> </ol>
	<ol> <li>I have given a payment, loan, subscription, advance, deposit of money, services or anything of more than nominal or minimal value to a public employee or official have official responsibility for a procurement transaction, but I received consideration in substantially equal or greater value in exchange.</li> </ol>
If 2 is selected	l, please complete the following:
Recipient:	
Date of Gift:	
Description of	the gift and its value:
Description of	the consideration received in exchange and its value:
Printed Name Signature/Da Company Na	
Company Ad	dress: 11901 Reedy Branch Rd.
City/State/Zip	: Chesterfield, VA. 23838

This certification supplements but does not replace the requirements set forth in paragraph 64 (OFFICIALS NOT TO BENEFIT) of the General Conditions and Instructions to Bidders included in this solicitation.

# VIRGINIA STATE CORPORATION COMMISSION (SCC) REGISTRATION INFORMATION

Th	e bidder:
ان ک	s a corporation or other business entity with the following SCC identification number:
	is not a corporation, limited liability company, limited partnership, registered limited bility partnership, or business trust <b>-OR-</b>
pa inv ord co as	s an out-of-state business entity that does not regularly and continuously maintain as it of its ordinary and customary business any employees, agents, offices, facilities, or rentories in Virginia (not counting any employees or agents in Virginia who merely solicites that require acceptance outside Virginia before they become contracts, and not unting any incidental presence of the bidder in Virginia that is needed in order to semble, maintain, and repair goods in accordance with the contracts by which such ods were sold and shipped into Virginia from bidder's out-of-state location) -OR-
co of	is an out-of-state business entity that is including with this bid/proposal an opinion of gal counsel which accurately and completely discloses the undersigned bidder's current ntacts with Virginia and describes why whose contacts do not constitute the transaction business in Virginia within the meaning of § 13.1-757 or other similar provisions in Titles .1 or 50 of the Code of Virginia.

Please check the following box if you have not checked any of the foregoing options but currently have pending before the SCC an application for authority to transact business in the Commonwealth of Virginia and wish to be considered for a waiver to allow you to

submit the SCC identification number after the due date for bids:

### **BUSINESS, PROFESSIONAL AND OCCUPATIONAL LICENSE**

All firms located or operating in Fairfax County must obtain a Business, Professional and Occupational License (BPOL) as required by Chapter 4, Article 7, of the Code of the County of Fairfax, Virginia. In order for the Department of Tax Administration to determine your BPOL requirement prior to contract award, it is necessary for you to provide the following information:

	quirement prior to communication	,,	, on to protime		
•	If you currently have a Fai proposal.	rfax County business	license, please	submit a copy w	ith your
•	Do you have an office in:	Virginia Fairfax County	r Yes □ Yes	□ No 暨No	
•	Date business began/will be	gin work in Fairfax Co	unty		
	detailed description of the bus cated outside of Fairfax Count		A STATE OF THE RESERVE AND ADDRESS OF THE PROPERTY OF		
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Complete and return this form or a copy of your current Fairfax County Business License with your proposal.

### CERTIFICATION REGARDING DEBARMENT OR SUSPENSION

In compliance with contracts and grants agreements applicable under the U.S. Federal Awards Program, the following certification is required by all offerors submitting a proposal in response to this Request for Proposal:

- 1. The Offeror certifies, to the best of its knowledge and belief, that neither the Offeror nor its Principals are suspended, debarred, proposed for debarment, or declared ineligible for the award of contracts from the United States federal government procurement or nonprocurement programs, or are listed in the List of Parties Excluded from Federal Procurement and Nonprocurement Programs issued by the General Services Administration.
- 2. "Principals," for the purposes of this certification, means officers, directors, owners, partners, and persons having primary management or supervisory responsibilities within a business entity (e.g., general manager, plant manager, head of a subsidiary, division, or business segment, and similar positions).
- 3. The Offeror shall provide immediate written notice to the Fairfax County Purchasing Agent if. at any time prior to award, the Offeror learns that this certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- 4. This certification is a material representation of fact upon which reliance will be placed when making the award. If it is later determined that the Offeror rendered an erroneous certification. in addition to other remedies available to Fairfax County government, the Fairfax County Purchasing Agent may terminate the contract resulting from this solicitation for default.

**Printed Name of** 

Representative:

Signature/Date:

Company Name: GATEWAY Homos

Address: 11901 Reedy Brand

City/State/Zip: Chesterfiel

SSN or TIN No: 54-126417



# COUNTY OF FAIRFAX DEPARTMENT OF PURCHASING & SUPPLY MANAGEMENT SMALL AND MINORITY BUSINESS ENTERPRISE PROGRAM

12000 Government Center Parkway, Suite 427 Fairfax, Virginia 22035-0013

Fax: 703-324-3228

# SUBCONTRACTOR (S) NOTIFICATION FORM

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Prime Contractors Name: GAteway Homes, Inc

Prime Contractor's Classification: SMAII bustaes s

You are required to provide the County with names, addresses, anticipated dollar amount and small/minority classification of each first-tier subcontractor (ref. paragraph 30, Special Provisions). Please complete this form and return it with your submission.

Please check here if you are not using a subcontractor:

		4		
VENDOR	CLASSIFICATION			
ANTICIPATED DOLLAR	AMOUNT			
ZIP CODE				
STATE				
CITY				
STREET ADDRESS				
SUBCONTRACTOR(S)	NAME			

Complete and return this form with your proposal.

## Certification of Financial Solvency for Non-Profit Organizations

In compliance with Fairfax County contracting protocols, the following certification is required by all offerors submitting a proposal, and all individuals and organizations awarded a contract:

- 1. The Board Chair certifies, to the best of his/her knowledge and belief, that the applicant organization is financially solvent, and will remain so during the life of any contract awarded. The Board Chair will notify the county representative in writing of substantial solvency issues such as depletion of cash reserve accounts, use of cash reserves to meet payroll obligations, inability to meet obligations for accounts payable, evidence of deteriorating accounts receivable collection, evidence of delinquency in payment of IRS or payroll taxes, evidence of fraud or mismanagement, co-mingling of accounts, and/or use of grant funds for non-grant purposes.
- 2. The Executive Director certifies, to the best of his/her knowledge and belief, that the applicant organization is financially solvent, and will remain so during the life of any contract awarded. The Executive Director will notify the county representative in writing within 10 days of substantial solvency issues as outlined in #1 above.
- 3. This certification is a material representation of fact upon which reliance will be placed when making the award. If it is later determined that the offeror/contractor rendered an erroneous certification, or if at any time during the course of the contract there are indications that the financial solvency of the contractor affects its ability to complete the terms of the contract, in addition to other remedies available to Fairfax County, the county may terminate the contract for default.

Printed Name of Board Chair: Kevin A. White
Signature/Date: 7 Ce. 20 / 11/16/16
Printed Name of Executive Director: Lynda J. Hyatt  Signature/Date: Sunda J. Hyatt  11/16/16
Signature/Date: Olynda, J. Hyoth / 11/16/16
Company Name: GAteway Homes, Inc.
Address: 11901 Reedy Branch Road
Company Name: GAteway Homes, Inc.  Address: 11901 Reedy Branch Road  City/State/Zip: Chesterfield, VA 23838
SSN or TIN: 54-1264177



# County of Fairfax, Virginia

# Fairfax-Falls Church Community Services Board Qualified Service Organization Agreement

This Qualified Service Organization Agreement ("Agreement"), effective as of \_\_\_\_\_\_, 2016 ("Effective Date") is made by and between the Fairfax-Falls Church Community Services Board (CSB), and \_\_\_\_\_\_\_ Hong (Contractor).

Contractor: (1) acknowledges that in receiving, storing, processing, or otherwise dealing with any information from Fairfax County and the CSB, he is fully bound by the provisions of the Federal regulations governing Confidentiality of Alcohol and Drug Abuse Client Records, 42 C.F.R. Part 2; and (2) undertakes to resist in judicial proceedings any effort to obtain access to information pertaining to clients otherwise than as expressly provided for in the Federal Confidentiality Regulations, 42 C.F.R. Part 2.

IN WITNESS WHEREOF, the parties have caused this Agreement to be executed by their authorized representatives, effective upon the date first set forth above.

Ву:
Name: Tisha Deeghan
Title: Executive Director
Date:
Contractor:
By: GAteway Homes, Inc
Name: Lynda J. Hyatt  Title: Executive a Clinical Director
Title: Executive a Chivical Director
Date: \\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\\

Fairfax-Falls Church Community Services Board:

**TECHNICAL PROPOSAL:** 

**Highly Intensive Residential Services** 

### Statement of Qualification

Organizational and Staff Experience: Offerors must describe their qualifications and
experience to perform the level of service proposed. Include information relative to
implementing recovery model practices in the SMI population and experience as a
partner in a system of care. Include experience in crisis intervention services to reduce
hospitalizations. Qualified offerors must demonstrate at least five (5) years of experience
providing integrated care and implementing recovery model practices in the SMI
population.

Response: Gateway Homes, Inc. has been providing residential treatment services to adults with serious mental illness for the past 33 years. Of the 110 individuals served annually through the Chesterfield program, approximately 40 percent have a legal status of Not Guilty by Reason of Insanity (NGRI). More specifically, since July 2011, Gateway has operated an ICRT in Annandale, Virginia serving eight individuals discharged directly from Northern Virginia Mental Health Institute in partnership with the Northern Virginia Regional Projects Office.

Gateway Homes, Inc. originally incorporated as a non-profit organization in December, 1983. Gateway was founded by two families who had adult children with mental illness and did not want their children to live the remainder of their lives in a state hospital. The mission of Gateway Homes is to provide transitional residential treatment to adults diagnosed with mental illness who are striving to live independently. The vision of Gateway is to make recovery a reality for adults who are seeking independence.

The main campus of Gateway Homes is located on 40 acres in Chesterfield, Virginia. The campus houses 16 individuals in a Supported Living Center providing supervision 24 hours per day seven days per week. Three buildings exist for the Supportive Apartment Program with a total of 14 units housing 25 individuals as follows: one efficiency apartment, four single apartments and ten two bedroom apartments. Staffing for the apartments is available 14 hours per day seven days per week. Additional services are available as individuals' transition to the community and chose an apartment option usually with a roommate due to budgetary considerations. Gateway continues to provide supportive services including access to all activities, the outpatient clinic and the vocational program. Participation in all or part of these services is entirely optional depending upon the desires of the individual. Currently Gateway is serving 41 individuals in housing on campus and an additional 17 in the community setting. Of the 41 individuals on campus 40 percent have a legal status NGRI, are on 48 hour passes or conditional release and require additional reporting to the NGRI coordinators and ultimately to the court. Gateway also provides psychosocial rehabilitation services to six individuals from Central State Hospital who are on eight hour passes and participate in activities on campus two days per week.

In July 2011, Gateway Homes, Inc. entered into a contract with Health Planning Region II to provide staffing and services for an eight bed Intensive Care Residential Treatment (ICRT) Facility in Annandale, Virginia. This contract expires June 30<sup>th</sup>, 2017 and this proposal will include our rebidding for that program. Fairfax-Falls Church Community Services Board is the fiscal agent for this contract. The individuals are admitted directly to the ICRT from Northern

Virginia Mental Health Institute and present with many challenging behaviors and needs as they leave the hospital after varying periods of institutionalization. During the past five years Gateway has been able to transition five of these residents to less restrictive environments. Currently there are two additional residents who are waiting for placement in a lesser restrictive setting having met their goals as indentified in their individualized treatment plan. This facility provides significant crisis intervention skills that reduce the burden to local emergency services and Merrifield center by providing on site crisis assessment and intervention. Gateway feels it is important to offer understanding and compassion for this particularly challenging level of care and makes every effort to avoid hospitalization. In five years, only one person was unable to return to the program after having twice threatened to kill a staff person and returned to Northern Virginia Mental Health Institute. Several consumers have benefited from in house crisis intervention and avoided arrest, hospitalization, and/or removal as a result of goal directed behavior.

Gateway Homes, Inc. has also partnered with Fairfax Falls Church Community Services Board through a Memorandum of Agreement. Gateway Homes, Inc., as a non-profit organization was able to purchase property in Lorton, Virginia which was used to provide housing to individuals who are indigent and diagnosed with a serious mental illness but receive mental health services through Fairfax-Falls Church Community Services Board. This program was closed in September of 2016 and the home is currently available for our use.

Most recently, Gateway partnered with the Department of Behavioral Health and Development Services (DBHDS) and Health Planning Region V (HPR V) to open an Intensive Community-Based Residential Treatment (ICRT) home and a Transitional Supportive Living home in the Williamsburg area. Both facilities are developed to serve the individuals discharged from Eastern State Hospital, both civil and forensic.

Gateway Homes, Inc. is totally committed to serve the population of individuals who have been institutionalized in state hospitals, either civil or forensic, and have varying and challenging behaviors associated with their mental illnesses. Gateway is committed to working with individuals who have not been successful in other placements.

 Licensure and Certifications: Offerors must include verification of eligibility and/or application for appropriate licensure at time of proposal submission or the service level proposed (see Section 6.1) and all other applicable certifications or accreditation of the organization.

Response: Gateway currently holds licenses issued by the Department of Behavioral Health and Developmental Services as follows: Supervised Living Services, Outpatient Clinical Services, Group Home, Mental Health Skills Building and Psychosocial Rehabilitation. These licenses all expire in November 2017. Dr. Hyatt holds the following credentials: Licensed Clinical Psychologist, Licensed Assisted Living Facility Administrator and Perceptor, Certified Sex Offender Treatment Provider, Certified Forensic Evaluator for Adults and Juveniles.

Once sites have been located and obtained, Gateway will engage in a licensing modification request for each location as is required by DBHDS.

3. <u>References</u>: Offerors must provide at least three references for similar or related programs and services performed and include organization name, description of the work performed, organization address, and names of contact persons with telephone numbers and email addresses at the organization. Only one reference may be from Fairfax County.

Response: Please find attached three letters of reference.

4. <u>Personnel</u>: Offerors must identify all full-time and part-time staff, proposed consultants and subcontractors who may be assigned to the service level proposed. Information is required which will show the qualifications of the work group assigned to the service proposed and recent relevant experience. Special mention shall be made of direct supervisors and key personnel, and approximate percentage of the total time each will be available to the level of service proposed. The technical areas, character and extent of participation by any subcontractor or consultant activity must be indicated and the anticipated sources identified.

### Response:

- Lynda Hyatt, Ph.D. will be responsible for executive oversight of the program. She currently serves as Gateway's Executive and Clinical Director. Dr. Hyatt is a licensed clinical psychologist with 25 years of experience working with community mental health. She is a forensically trained psychologist and is intimately acquainted with the forensic population and the NGRI process. Initial time commitments will equal 1/3 of her time per week with a decrease to 1/5 per week after the first 4 6 months depending upon the progress of the project and the need for immediate oversight.
- Catherine Powell, MSW, LMHP-S will be responsible for operational oversight of all programs directly related to this proposal. She has been the facility director for the ICRT in Annandale for five years and has 8 years of community mental health experience. She specializes in person centered care and utilizes a recovery-focused approach. She is currently under licensure supervision with an expected completion of October, 2017. Initial time commitments will equal 100% of her time per week overseeing the day to day operations of all facilities directly related to this proposal.
- Sridhar Yaratha, M.D. will be responsible for medication management and consultation. He is a forensically trained psychiatrist.
- Evelyn Larbi, LPN currently serves as the nurse at the ICRT and is responsible for the coordination of all medical treatment as well as the liaison to medical professionals in contact with the consumers.
- Molly Bowles, BS currently serves as the Director of Admissions and Administration and is responsible for human resources for the staff of the Annandale ICRT.
- Mitchell Lofton, QMHP-A currently serves as a counselor/case manager at the Annandale ICRT.

- Keith Jordan currently serves as the assistant to the facility director and the property manager.
- Florence Fungwe, QMHP-A currently serves as a counselor/case manager at the Annandale ICRT.
- Omairo Vasquez, QMHP-A currently serves as a counselor/case manager at the Annandale ICRT
- Ashley Webly, QMHP-A currently serves as a one to one aide for an individual requiring line of site supervision and support.
- Patrick Ajavon, QPPMH currently serves as a specialist and has been with this
  program through multiple vendors, over 17 years.
- Nak Chong currently serves at the Peer Specialist at the Annandale ICRT.
- Resumes of staff and proposed consultants are required indicating education, background, recent relevant experience for the service proposed. Current telephone numbers and email addresses must be included.

Response: Please find attached the resumes for all staff for the program.

### Technical Approach for the Service Level Proposed

Scope of Work: The offeror must provide a detailed scope of work that includes a
discussion of the tasks and requirements listed in Sections 5 (as appropriate) and Sections
6-7.

Response: For the purposes of the Highly Intensive Residential Services, Gateway proposes to operate an Intensive Community-Based Residential Treatment program serving an initial maximum of 16 individuals and providing supervision 24 hours per day, seven days per week to 8 individuals in two separate homes who are transitioning from Northern Virginia Mental Health Institute to the community. Consumers will be provided with wrap-around case management and mental health supports with a goal of transitioning individuals in care to a less restrictive environment in a consumer-paced and consumer-directed way. Consumers are encouraged to have a high level of involvement in treatment choices and engage in the process of recovery, as they define it.

- Upon consumer identification, the Clinical Operations Director and facility Team Lead will
  participate in admission and discharge planning meetings with the identified consumer, the
  identified discharge planner and the consumer's treatment team at Northern Virginia
  Mental Health Institute to coordinate transition of care. Coordination will be
  communicated to the Northern Virginia Regional Projects Office Clinical Supervisor
  regularly and, at a minimum during a monthly face to face meeting. Additionally, the
  Clinical Operations Director will provide to the Northern Virginia Regional Projects Office
  Clinical Supervisor a utilization report to indicate the number of bed days provided.
- Upon admission, the consumer will be provided an in-depth assessment of their historical treatment and a comprehensive review of documentation which will be incorporated to identify challenges with previous unsuccessful placements. The consumer will be charged with identifying their recovery goal which will be utilized to develop a Person Centered

Plan (PCP) to work towards their goal. This document will drive the services provided. Should a consumer identify a goal that may appear unattainable, staff is trained in supporting the consumer to identify steps in reaching the goal and beginning with the most basic of those, typically, managing mental health symptoms effectively and learning social cues.

### Staffing:

- O Clinical Operations Director: The homes will receive administrative support from a master's level, licensed-eligible and/or licensed, mental health professional who manages the operations of all services within the scope of this proposal. This individual will ensure that adherence to the ICRT Program Admissions Process as identified in Appendix D.
- Team Leader: Each facility will be provided oversight by, at a minimum, a Qualified Mental Health Professional, who will complete quarterly reports for each consumer in the facility they manage, which will then be provided to the Health Planning Region for dissemination to the Regional Aftercare Managers.
- O Recovery Support Specialists: Daily, the consumer will be supervised by two staff, 24-hours per day, who qualify as Qualified Mental Health Professionals (QMHP) and/or Qualified Paraprofessionals in Mental Health (QPPMH). All staff will be required to meet the education and experience necessary to adhere to license requirements from the Department of Behavioral Health and Developmental Services (DBHDS).

### · Staff Training, Resources and Evaluation

- Staff will be provided with extensive orientation/training and annual retraining for Therapeutic Options of Virginia (TOVA), CPR/AED, Medication Administration and Human Rights. All staff will be required to remain current in all trainings. In addition to these trainings, staff will be provided emergency management and crisis intervention training annually and at hiring to ensure a safe environment and consistency in managing crisis. Staff is also offered enrichment trainings to continue to develop professionally.
- Staff will be provided access to facility vehicles that they may use to transport consumers to appointments in the community, enrichment activities, one to one outings, and shopping outings. Staff's driving records will be monitored to ensure they are safe drivers and in compliance with Gateway's driving policy.
- Staff will be evaluated annually and offered frequent supervision to communicate best practices and team build regarding interventions with consumers.
- Consumers will be assigned a case manger who works full time at the facility, and engages
  with this individual to ensure PCP adherence, and provides feedback to all other staff
  regarding the consumer's needs and/or items of note. These individuals, along with an
  outpatient services team, deliver the comprehensive services.
  - The outpatient services team consists of a Psychiatrist who will visit each facility
    every six to eight weeks after the initial intake assessment and provide medication
    management. The Psychiatrist will also be available for on call emergencies and
    consultations.
  - Also, on this team, will be a Licensed Practical Nurse (LPN) who manages the
    physical medications, ensures medication administration documentation is accurate,
    ensures intra-muscular long-acting anti-psychotic medications are administered on

schedule, manages the Clozaril registry, provides access and coordination for routine and physician-ordered lab draws, and manages the physical health and dental conditions, including primary care physician contact for every consumer.

 Consumers will also able to work with a Occupational Therapist on the team to develop an employment plan.

Another team member will be a Licensed Clinical Psychologist who is trained as a behavioral specialist and is available on an as needed basis to support staff with the development of support plans.

- The final member of this team will be a Peer Specialist. This individual is in addition to the two scheduled staff (not in coverage) will provide peer support 20 hours per week, supports individuals during medication management meetings if they so choose, supports consumers who require community one to one support during outings, and works to support individuals who are transitioning to the home to develop rapport and a community with peers in the home.
- Consumers will be offered support with developing appropriate, safe, and hygienic independent living skills. These skills include activities of daily living, medication education/monitoring, meal preparation/planning, budget development, personal environment management, travel training on mass transit, health management development, and socially-appropriate behavioral training. All staff is trained to provide mental health skills building to the consumer in accordance with their PCP. These sessions occur on a one to one basis daily and may include, as appropriate and indicated, substance abuse treatment support and community based symptom management.
- Additionally, consumers will be offered 10 12 groups per week where they work together on developing independence. These groups are developed with the consumer's feedback and input about topic of interest and change quarterly.
- The consumers will also be offered community-based activities, both individual and group. Weekly, consumers are encouraged to participate in a shopping outing using their personal funds budgeted with a staff person. Also, during weekends, consumers are offered the opportunity to have a recreational outing on both Saturday and Sunday. The consumers will be offered many opportunities to practice and continue to develop independent living skills while in the community to move continually towards the consumer's identified recovery goals.
- Staff will coordinate the use of outside community supports, if the consumer chooses, and
  may include travel training with ENDependence, Inc., day programming with the
  Consumer Wellness Center of Falls Church, and/or programs within their catchment area,
  when appropriate and available. Staff provides one to one support on all outings for those
  who require this need. Such support would be for individuals who require one to one
  support while in the community for either symptom management support, physical support,
  or behavioral/social support.
- Gateway will provide vehicles for staff's use to transport consumers to all necessary activities, appointments and therapeutic engagements.
- Staff will coordinate with the consumer's in the completion of custodial and housekeeping
  activities to ensure a clean, sanitary and well maintained environment. Each consumer will
  be offered an assigned day to complete laundry and be provided support to ensure clothing,
  linens, and towels are kept hygienic; however, should an incident occur where laundry
  completion is needed, they will be offered alternative times to complete laundry.

- Finally, consumers will be provided nutritional meals three times per day with snacks between meals. These meals will have consumer input and feedback to ensure incorporation of the consumer's preferred and/or medically prescribed diet and cultural preferences. Each team lead will hold a current food handler's certification to ensure awareness of safe food practices. Additionally, all staff will be provided training on food safety and health and hygiene practices to ensure a healthy environment.
- 2. Preliminary Work Plan: The offeror must present a description of the phases or segments into which the proposed work can logically be divided and performed including start-up, operating and close-out phases for each service proposed. The narrative should address each applicable task required in Section 5 and the licensing and other requirements in Section 6. Discussion should be keyed to appropriate paragraph numbers in this RFP and should include detailed descriptions of activities that are to occur, significant milestones, and anticipated deliverables. In presenting the Work Plan the offeror must present a detailed description of the start-up and close-out activities including transition activities that will occur, anticipated deliverables and timelines. The offeror's transition plan for the start-up period from the date of award to June 30, 2017 shall include a description of securing and furnishing housing sites, inspections, hiring background checks and training, managing the transition of client data and establishing other infrastructure as necessary (i.e. information technology, subcontractors, etc.). The offeror shall include discussion of proposed closeout activities for the end of the contract term.

### Response:

- Close-out of existing contract for the Annandale ICRT ending June 30<sup>th</sup>, 2017.
  - Should Gateway not be awarded a contract to continue services at the end of the
    existing contract period, Gateway plans to initiate a therapeutic shift of services,
    including:
    - Meeting with the chosen vendor for the program and establishing a plan of transition within two weeks of contract award.
    - Offering consumer's recovery-focused education on transitioning from one provider to another to ensure continued movement towards recovery and offer an opportunity to meet their new service providers.
    - Gateway would host an open house for the new providers and encourage their involvement in weekly Community Meetings in the weeks leading up to transition.
    - Should the provider wish to work in tandem over a short period to ensure consistency in care, Gateway would be willing to offer a period of transition; however, this will depend upon the provider's wishes.
    - Gateway would provide records to the service provider as per their requests and provide a discharge summary with medical letter for each individual transitioning including any upcoming appointments and/or regularly scheduled appointments/labs.
    - Gateway's full intention would be to preserve the therapeutic nature of the program, continue the focus on recovery, and to encourage the consumers to develop adaptability skills to adjust to different providers.
- Start-Up (Period from award of contract through June 30<sup>th</sup>, 2017)

- Should Gateway be awarded the contract for one or both of the Highly Intensive Residential Services, the following start up activities would ensue:
  - Consumer Related Start Up Items
    - Gateway will reach out to the current service provider and seek a
      meeting to discuss a transition of care. A plan will be developed with
      input from the existing service provider, Gateway, and the consumers
      who will transition.
      - O The Clinical Operations Director will take a lead in the transition of client data including, but not limited to psychiatric assessment, individualized service plans with reviews, medication evaluations, and progress notes. This process will ensure a therapeutic transition of care.
      - The Clinical Operations Director and Team Leader will also meet with each consumer to be transferred and develop a Preliminary Person Centered Treatment Plan including the consumer's goal statements and their ideas of how to approach each goal.
      - O Upon completion of their training, the staff who will work in this facility will begin, with the approval of the current vendor, visiting the consumers and developing rapport with them, identifying goal work, seeking out recovery-focused goals, and with the permission of the consumers, speaking with family members to inform them of the change in vendors.
  - Staffing Related Start Up Items
    - Once the contract is awarded, Gateway will advertise for staff and plan to hire a team leader, plus 7 Full Time Equivalent staff.
    - Human Resources will hire and onboard the appropriate, qualified individuals and they will begin a thorough two week training process.
    - Upon completion of training, all staff will be included in the transition of care, engaging clients, building rapport and helping them move into the new facility.
      - Training will include licensing training, human rights training, food handling, driver's training, emergency procedure training, documentation training, TOVA training, medication administration training, and education concerning programming development and implementation.
  - Facility Related Start Up Items
    - As a preliminary plan to begin the programs, Gateway will review selective available properties that will accommodate 8 individuals for the needed housing unit. Within the first two weeks, appropriate, affordable rental housing will be identified within Fairfax County and negotiations will ensue with the leasing agent and/or owner.
    - Once a lease has been completed, Gateway will obtain the required occupancy certifications to submit to DBHDS for license modification.
    - Gateway will submit a licensing modification application to include the second home.

- Gateway hopes to have a home secured within two months of contract award.
  - While DBHDS licensing is reviewing the proposed modification, the following activities will be completed: Affiliation with the Local Human Rights Committee
  - Locate, purchase, and install all appropriate furniture and home furnishings.
  - Install fire extinguishers, AED, medication carts, and all other DBHDS required items to ensure a safe, calming, and licensing-approved environment.
  - Prepare the homes for the arrival of consumers on July 1<sup>st</sup>, 2017.

- Operating
  - The day to day activities within the home would be structured.
    - Programming Schedule
      - Each day the consumers will be offered a variety of choices for activities. A programming schedule will be developed with the consumer's input to reflect their choices and needs. Some possible activities may include:
        - o Participation in community-based drop in centers.
        - Participation in a Pre-Vocational program to develop employment skills.
        - In addition to these options, consumers will be offered individualized mental health skills building throughout the day in accordance with their Person Centered Plan.
        - Also, groups and activities will be scheduled every day of the week with the consumer's input.
          - There will be several psycho educational groups incorporating items from the consumer's plans and input from the consumers.
          - There will be a minimum of three outings each week.
          - There will be seasonally-appropriate additional outings.
          - There will be a minimum of one meal outing per month.
          - There will be a super secret outing once per month to develop adaptability and trust.
    - Facility and Daily Living Support
      - Each day, staff will be responsible for monitoring the environment and ensuring a safe and hygienic home. Skill education will be offered to consumers on keeping their personal space and common areas clean and safe, as well.
        - During the initial quarter, a safety groups will be scheduled to communicate safety practices and develop safety skills for each consumer that wishes to participate.

- Staff will also be responsible for preparing three meals that are
  described on a menu approved by a nutritionist daily and for providing
  two nutritious snacks per day, as well. Staff will be required to use
  hygienic food preparation methods and to educate consumers who
  wish to participate and develop their cooking skills to do so, as well.
  - During the initial quarter, a healthy cooking group will be scheduled to offer hygienic food preparation education to all consumers who wish to participate.

#### Close-out

- Should Gateway not be awarded a contract to continue services at the end of the contract period, Gateway plans to initiate a therapeutic shift of services, including:
  - Meeting with the chosen vendor for the program and establishing a plan of transition within two weeks of contract award.
  - Offering consumer's recovery-focused education on transitioning from one provider to another to ensure continued movement towards recovery and offer an opportunity to meet their new service providers.
  - Gateway would host an open house for the new providers and encourage their involvement in weekly Community Meetings in the weeks leading up to transition.
  - Should the provider wish to work in tandem over a short period to ensure consistency in care, Gateway would be willing to offer a period of transition; however, this will depend upon the provider's wishes.
  - Gateway would provide records to the service provider as per their requests and provide a discharge summary with medical letter for each individual transitioning including any upcoming appointments and/or regularly scheduled appointments/labs.
  - Gateway's full intention would be to preserve the therapeutic nature of the program, continue the focus on recovery, and to encourage the consumers to develop adaptability skills to adjust to different providers.
- 3. Treatment of the Issues: In this section, the offeror may also comment if deemed appropriate, on any aspect of the Request for Proposal, including suggestions on possible alternative approaches to the scope, tasks and other requirements presented in Sections 1, 5 and 6 ("Scope of Services," "Tasks to be Performed" and "Licensing and Other Requirements") and may propose alternative approaches. In addition, the offeror may comment on the offeror's current capacity, anticipated future service capacity needs during the contract term and the offeror's requirements for adding capacity.

Response: Gateway will be open and willing to increase capacity over the contract period. We suggest that each capacity increase for this level of care will encompass an 8 bed single family dwelling group home and would increase the budget by the amount noted in the cost proposal. There will be a startup cost associated which is also noted in the cost proposal.

4. Residential Sites: If Highly Intensive or Supervised services are proposed, include detailed descriptions of the residential sites proposed for each service including floor plans, maps and pictures, if available. (Detailed descriptions of the Annandale site that will be provided by HPR II for Highly Intensive services until July 2018 are not required.) Sites do not need to be secured by the offeror at the time of proposal submission but shall be secured no later than July 1, 2017 for the start of services. Include discussion of tenancy agreements, as appropriate, to accommodate individuals who are living with serious and persistent mental illness. For Highly Intensive services specifically, the offeror shall include the use of the eight-bed site located in Annandale, Virginia under a current lease secured by Fairfax County until July 31, 2018 and propose additional housing site(s) to fulfill the total minimum capacity of sixteen requested. Offerors of Highly Intensive services shall also describe plans to secure the minimum housing capacity requested when the Annandale site lease expires in July 2018.

Response: As a preliminary plan to begin the program, Gateway will review selective available properties that will accommodate 8 individuals in each housing unit. The homes will adhere to DBHDS requirements for room sizes and ratios of bedrooms to bathrooms. Gateway will coordinate with Fairfax-Falls Church Community Services Board and the Northern Virginia Regional Projects Office as indicated to ensure involvement in selection. Within the first month, appropriate, affordable rental housing will be identified in Fairfax County and negotiations will ensue with the leasing agent and/or owner. Upon successful retention of property, Gateway will assume responsibility in obtaining all necessary inspections and make application to DBHDS for licensing modification to include the new address. As to the Annandale site, Gateway will begin seeking alternative housing five months prior to July 31, 2018 to ensure appropriate housing is secured and the license transferred in the appropriate way and time period. Each consumer and guardian, if present, will be offered a fee agreement that will identify how their rent will be utilized. Each consumer will pay 50% of their Social Security income towards the food prepared in the home. An additional 30% of the consumer's Social Security income will be paid for occupancy fees such as the use of utilities; however, no consumer's remaining funds will go below \$100.

5. <u>Outcomes</u>: The offeror must include discussion of their performance accountability process and provide performance and accountability measures to be used for each of the services proposed (see Paragraph 6.13).

Response: Gateway used evidence based practices to support consumers in their movements towards recovery. Gateway routinely seeks feedback about programming and seeks to include the consumers' interests and ideas. To ensure these practices continue Gateway will implement a Program Evaulation that assesses:

- · Services and the Quantity of Services Provided
  - Consumers will be engaged to identify their goal for activity and group participation. Attendance will be logged in groups and activities and documented in the progress notes.
  - o A documentation review will indicate the consumer's adherence to their goal.
- Quality of Service Delivery and Client Responses to Services

- Annually, consumers will be offered the opportunity to participate in a Quality
  Assurance activity. Each participant will be interviewed and provided an
  anonymous survey regarding the services they are receiving. The interviews and
  surveys will be specialized to the individual's level of comprehension.
- Feedback from these interviews and surveys will support staff in developing continued interventions and activites.
- Changes in Client Circumstances after Receiving Services Are clients better off and how?
  - O Gateway documents client outcomes based on the level of care to which they were discharged. For example, over the past five years of service at the Annandale ICRT, Gateway has supported five individuals in moving on to less restrictive environments. One person was admitted to a nursing facility upon discharge due to medical need. The final person discharged did return to Northern Virginia Mental Health Institute following a severe safety concern.
- 6. <u>Policies and Procedures</u>: The offeror must include their policies and procedures for the specific service proposed. A Table of Contents from the Policy and Procedures Manual for the service is acceptable, at a minimum. See Paragraph 6.9 and Appendix E for a policy and procedures checklist.

Response: Please see the attached Policy and Procedures Manual

7. Staffing Plan: A staffing plan is required which describes the Offeror's proposed staff distribution to accomplish the service proposed, including staff to client ratios described in detail for the service. The staffing plan should indicate a chart that partitions the time commitment of each professional staff member across the proposed services/sites and a timeline for each facility proposed for Highly Intensive and Supervised services. It is mandatory that this section identify the key personnel who are to work on each service level proposed and at each site, their relationship to the contracting organization, and amount of time to be devoted to the service/site. This includes Consultants and subcontractors as well as regular employees of the offeror, if relevant. In addition, the staffing plan should identify the minimum and preferred qualifications for all staff positions. The offeror shall identify any staffed positions and/or services that are proposed to be contracted out and identify the subcontractors. The county must approve all future subcontractors in writing prior to the provision of services.

Response: At the highly intensive residential service level of care, the staffing ratio will be 4 consumers to 1 staff; however, should a consumer require one to one support while in the community additional staff will be on call for outings or outings will be scheduled when additional staff is scheduled to be on site. Two staff will be scheduled 24-hours per day, each in 8 hour shifts. Gateway does not plan or intend to subcontract staff. Please see the attached staffing schedules for the Annandale ICRT and the (currently) Arlington ICRT.

 Both ICRTs will be supervised by the Clinical Operations Director who, at a minimum, will be a master's level, licensed or licensed eligible professional who will split their time fractionally across all programs awarded as a result of this bid.

- Each ICRT would have a Team Leader who, at a minimum, will possess the education
  and experience required as a Qualified Mental Health Professional for Adults, whose
  time commitment will be 100% for their respective facility. This individual will serve in
  an on-call capacity for after hour's emergencies, as well. The preferred qualification for
  this position is a master's level graduate with three years of experience managing
  programs and staff.
- Each Recovery Support Specialist will be a Qualified Mental Health Professional or a Qualified Para Professional in Mental Health. Each full time Recovery Support Specialist will commit 100% of their time to their respective facility.
- Each PRN Recovery Support Specialist will be a Qualified Mental Helath Professional or a Qualified Para Professional in Mental Health. The PRN Recovery Support Specialists will commit 100% of their time commitment to their assigned facility; however, in times of dire coverage needs, a PRN Recovery Support Specialist may work a shift in the other ICRT facility.
- Both ICRTs will share an LPN nurse and a Certified Peer Specialist who will commit 50% of their time (20 hours per week) at each facility.
- An occupational therapist and a behavioral specialist will be available on an as needed basis for consultation and or development of plans that assist the individual in reaching goals.
- 8. <u>Contingency Planning</u>: Offeror should demonstrate an awareness of difficulties in the provision of services proposed, and a plan for surmounting them.

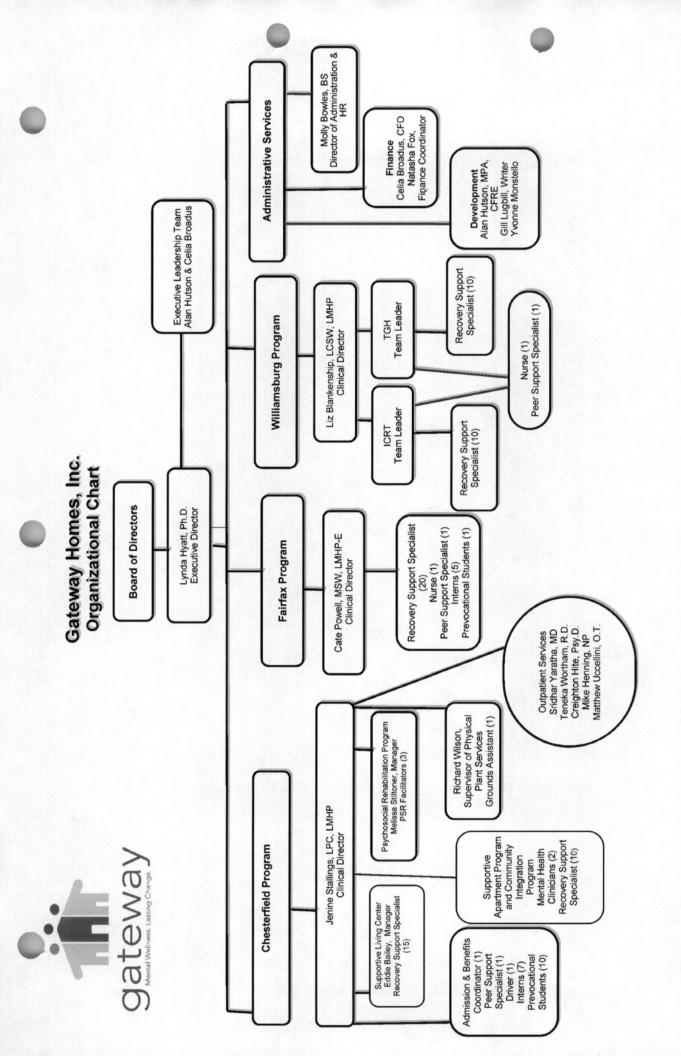
Response: Gateway anticipates the following <u>possible</u> impediments that are outside the control of the Offeror:

- 1. A possible delay in Identification of one house that is suitable for 8 individuals the ICRT that will require a housing arrangement at start of contract.
- 2. Although modifications to licensing for Group Home will be sought immediately after identification of the locations of the ICRT, the length of time for process of approval is outside the control of Gateway and is dependent on the licensing division of DBHDS.
- 3. Immediately upon identification of location, Gateway will proceed with seeking to add a location to the existing affiliation with the Local Human Rights Committee in order to establish the relationship that is necessary to meet state requirements.
- 4. A possible delay in new admissions may occur due to the process for identifying candidates and initiating visits in preparation for admission.

# **Technical Proposal**

Highly Intensive Residential Services Tab 2

Section 1: Organizational Chart



# **Technical Proposal**

Highly Intensive Residential Services Tab 2

**Section 2: Licensure Documentation** 

# Commonwealth of Virginia

Department of Behavioral Health and Developmental Services

Pursuant to the provisions of Title 37.2, Code of Virginia and The Rules and Regulations of the DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES

A License is hereby granted to

GATEWAY HOMES INC. 11901 REEDY BRANCH RD CHESTERFIELD, VA 23838

to maintain and operate

SEE ADDENDUM FOR LISTING OF LICENSED SERVICES

LICENSE AS: A PROVIDER OF MENTAL HEALTH SERVICES STIPULATIONS:

This TRIENNIAL license is for the period beginning SEPTEMBER 08, 2016 through NOVEMBER 30, 2017 subject however to revocation for justifiable cause.

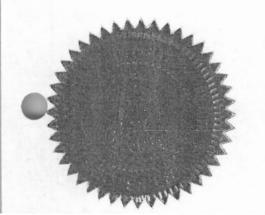
License Number: 673

Ву

JACK BARBER, M.D.
INTERIM COMMISSIONER

CLEOPATRA BOOKER, PSY.D.

DIRECTOR, OFFICE OF LICENSING



#### GATEWAY HOMES INC.

#### Licensed Services

 Licensed As: A mental health and substance abuse residential group home service for adults.
 Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-01-003	Triennial	12/01/2014	11/30/2017

Locations:

1 Annandale Group Home

4024 Hirst Drive

Annandale, VA 22003

Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 07/01/2011

2. Licensed As: A mental health supervised living service for adults. Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-01-012	Triennial	09/07/2016	11/30/2017

Locations:

1 Supervised Living Apartments

Jean Machenburg Dr. Chesterfield, VA 23838

Bed Capacity: 25 Child/Adol. Beds: 0

Effective Date: 12/16/2013

2 Supervised Living Center 11901 Reedy Branch Rd

Chesterfield, VA 23838

Bed Capacity: 16 Child/Adol. Beds: 0

Effective Date: 12/16/2013

3 The Hamilton Center

4933 Westmoreland Frive

Williamsburg, VA 23188

Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 09/07/2016

4 The Williams Center

101 Woodmere Drive

Williamsburg, VA 23185

Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 09/07/2016

3. Licensed As: A mental health day support psychosocial rehabilitation service for adults.

#### Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-02-011	Triennial	12/01/2014	11/30/2017

### **GATEWAY HOMES INC.**

Locations:

1 Chesterfield

11901 Gateway Farm Rd Chesterfield County Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

4. Licensed As: A mental health community support service for adults with serious mental illness.

Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date	
673-03-001	Triennial	12/01/2014	11/30/2017	

Locations:

Chesterfield MHCS

11901 Reedy Branch Rd Chesterfield County Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

5. Licensed As: A mental health outpatient service for adults.
Stipulations: The provider shall comply with the regulations of the Boards of Health Professions and the Board of Medicine

Service License Number	Type of License	Effective Date	Expiration Date
673-07-003	Triennial	06/16/2015	11/30/2017

Locations:

1 Outpatient Services

11811 Reedy Branch Rd. Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

Effective Date: 12/16/2013

# **Technical Proposal**

Highly Intensive Residential Services Tab 2

**Section 3: Letters of Reference** 



# COMMONWEALTH of VIRGINIA

JACK BARBER, M.D. INTERIM COMMISSIONER DEPARTMENT OF

BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES

Post Office Box 1797

Richmond, Virginia 23218-1797

November 14, 2016

Lynda Hyatt, Ph.D. Gateway Homes 11901 Reedy Branch Road Chesterfield, VA 23838

Re: Letter of Recommendation

Dear Dr. Hyatt,

It is my pleasure to write this letter of support for Gateway Homes' application to provide a variety of behavioral health services in Health Planning Region II (HPR II). As you know Gateway Homes has a long history of working with the Department of Behavioral Health & Developmental Services (DBHDS) in providing specialized behavioral health services to individuals in our state facilities in an effort to provide comprehensive services to individuals in the least restrictive environment possible. The partnership with Gateway Homes has included special projects in HPR IV and HPR V with the most recent project totally \$1.2 million annual for Gateway to provide both Intensive Community Residential Treatment (ICRT) and Transitional Residential services to facilitate the discharge of individuals at Eastern State Hospital.

It has been my experience that Gateway Homes is always very responsive to the needs of both the system and of the individuals we serve. I have found the Gateway staff extremely professional and skilled at working with even the most challenging clients. Gateway has had success in serving individuals who many felt were destined to remain institutionalized. Gateway staff are extremely positive in their interactions with clients and give a sense of hope to those who often have become hopeless. Gateway has been willing to work with clients who act out when other facilities likely would have expelled the individual from the program. That being said, my experience has been that staff at Gateway Homes are skilled in risk assessment and risk management and are extremely responsive in managing community risk. Gateway Homes has also been flexible to taking on new challenges and creative in problem solving. Gateway Homes has always been fiscally responsible and willing to provide the services needed by the client, even when doing so was pro bono for Gateway.

While much of my work with Gateway Homes has focused on forensic clients, I am keenly aware of the success Gateway Homes has also had with "civil" patients. Through my 10+ year relationship with Gateway I have personally seen great success storied and II have no doubt Gateway Homes can replicate that success if awarded this new project. I have the upmost

Telephone (804) 786-3921 Fax (804) 371-6638 www.dbhds.virginia.gov respect and confidence in you and your program and can recommend Gateway unequivocally for the project.

Should Health Planning Region II need any further information from me, please let them know I can be reached at (804) 786-2615.

Sincerely,

Michael Schaefer, Ph.D., ABPP

Assistant Commissioner - Forensic Services



# COMMONWEALTH of VIRGINIA

Tammy Peacock, Ph.D. Facility Director

# DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES Northern Virginia Mental Health Institute

3302 Gallows Road Falls Church, VA 22042 Phone: 703-207-7100 Fax: 703-207-7160

November 10, 2016

#### To Whom It May Concern:

It is my pleasure to serve as a reference for Gateway Homes. Gateway Homes is known throughout the state as a reliable partner for serving individuals with serious mental illness, co-occurring disorders, and individuals who require close monitoring or possibly one to one supervision at all times. Not only do they serve the most challenging population, they do it well. They have demonstrated their ability to move even some of the most challenging individuals to less restrictive environments over time. They have a strong belief in supporting individuals to live in the least restrictive and most integrated setting possible.

It would be an asset to any community to have additional programs such as the existing Gateway Homes. If you have any questions, please feel free to contact me.

Sincerely,

Tammy Peacock, PhD.

Director



RBHA.ORG 804-819-4000 107 SOUTH FIFTH STREET | RICHMOND, VA 23219

November 16, 2016

Linda Hyatt, PhD, Director Gateway Homes, Inc. P O Box 460 Chesterfield, VA 23832

Dear Dr. Hyatt,

As the fiscal agent writing on behalf of the Region IV consortium, I am pleased to submit this letter of support for Gateway Homes as you seek additional funding for your valuable residential and supportive services for adults with serious mental illness. Region IV has enjoyed a long and valuable relationship with your organization, most notably in the areas of transitioning individuals from the state psychiatric facilities into the community and providing the necessary wrap-around services for individuals with a forensic status.

As of today, Region IV has 10 individuals —with either a civil or a Not Guilty by Reason of Insanity (NGRI) status — residing and/or receiving residential services with Gateway Homes, who are also receiving funding through the statewide Discharge Assistance Program (DAP). The value of the DAP plans for the 10 individuals being served currently rests at \$250,378.

Gateway has done much to prioritize these individuals by placing them in services as soon as possible and working to ensure a safe, secure community-based environment for them to recover.

Again, I support your organization as you seek additional funds to maintain and improve the already valuable services offered. I am glad to be available for questions that may arise through your funding process.

Warmly,

John P. Lindstrom, Ph.D., LCP

Chief Executive Officer

Richmond Behavioral Health Authority, Fiscal Agent for Health Planning Region IV

# **Technical Proposal**

Highly Intensive Residential Services Tab 2

**Section 4: Resumes of Staff** 

# LYNDA J. HYATT, Ph.D.

Licensed Clinical Psychologist 9613 Kimages Road. Charles City, Virginia 23030 Home (804) 829-9843 Cell (804) 767-0292

E-mail: <a href="mailto:lhyatt@gatewayhomes.org">lhyatt@gatewayhomes.org</a> or <a href="mailto:lyndahyatt@live.com">lyndahyatt@live.com</a>

#### **EDUCATION**

#### GEORGIA STATE UNIVERSITY - Atlanta, Georgia

Doctorate of Philosophy, Counseling and Psychological Services with a Cognate In Organizational Development August, 1991, GPA 3.9/4.0

Master of Education, Community Mental Health Counseling with Concentration in Family Systems - August, 1982, GPA 3.9/4.0

#### PROFESSIONAL EXPERIENCE

#### 2/13 to present

#### **EXECUTIVE & CLINICAL DIRECTOR**

#### GATEWAY HOMES OF GREATER RICHMOND Chesterfield, VA

- \*Financial oversight for agency with \$3.5 million budget
- \*Management of 38 acre campus with four separate facilities and census of 70 individuals including a second site in Fairfax
- \*Oversight of Human Resources and staff of 54 employees
- \*Delivery and oversight of public and community relations including development
- \*Supervision of the clinical program and services
- \*Implementation of licensing regulations for Department of Behavioral Health and Developmental Services and maintenance of Standards for Medicaid and HUD.
- \*Responsible to the President of the Board of Directors

#### 6/4/07 to 2/13

#### CLINICAL DIRECTOR

#### GATEWAY HOMES OF GREATER RICHMOND Chesterfield, VA

- \*Responsible for the daily operations of a residential transitional treatment facility currently serving 70 persons with serious mental illness in Chesterfield and Fairfax
- \*Supervision of all clinical staff
- \*Implementation of the admission process and subsequent selection of residents
- \*Monitoring of resident's movement within the program
- \*Implementation of licensure requirements for Department of Mental Health, Department of Social Services, Department of Medical Assistance Services and Housing and Urban Development
- \*Public education on the topic of mental illness to interested constituents
- \*Interface with the Board of Directors and various donor groups
- \*Funding presentations describing the campus and programming for residents at Gateway

# REGION IV REINVESTMENT – Richmond, VA SUPERVISOR, REGION IV JAIL TEAM

6/1/04 to 6/1/07

- \*Design and development of a regional project to reduce census and expenditures to state forensic hospital resulting in reduction of \$5.8 million in three years.
- \*Presentations to legislative committees and conference memberships detailing strategic design, development and outcome measures.
- \*Testimony to state courts regarding competency/sanity issues for defendants.
- \*Training to officers, mental health staff and other para-professionals in mental illness, therapeutic communication, and behavioral interventions.
- \*Representation on state and local policy planning groups

### CENTRAL STATE HOSPITAL - Petersburg, VA

#### **Pretrial Forensic Coordinator**

3/03 - 6/1/04

- \*Reviewed existing treatment modalities for pretrial detainees and made strategic recommendations for more effective, focused and comprehensive services.
- \*Developed a new admission process to reduce hospital referrals for admission by 86%.
- \* Served as the primary liaison and consultant to treatment teams, clinicians, and the Forensic Evaluation Team to ensure integration of treatment and evaluations services.
- \*Prepared court ordered forensic evaluations, functions as liaison to the courts and provided expert testimony as needed.
- \*Chair of the Internal Forensic Review Panel responsible conditional release decisions.

#### 8/01 - 3/03

# LIBERTY HEALTHCARE FORENSIC UNIT - Hopewell, VA

#### **Associate Director**

- \*Responsible for the daily operations of 35-bed in-patient psychiatric unit for court ordered pretrial male defendants.
- \*Provided direct supervision of 55 clinical and nursing staff, the forensic coordinator and forensic counselor supervisor.
- \*Implemented newly designed performance evaluation system which resulted in increased retention of employees from 52% to 82%.
- \*Assisted the executive director in implementing unit compliance with policy and procedures required by state licensure and accreditation agencies.
- \*Assisted with oversight of \$5 million budget to maintain fiduciary responsibilities. Increased profits from expected 12% to 22% by project closing date.
- \*Provided training to new staff on mental illness, mental retardation, behavioral management, legal classifications and therapeutic communication.
- \*Prepared court ordered evaluations for competency to stand trial, mental state at the time of the offense, and presentence evaluations; provides expert testimony.
- \*Conducted competency education groups for patients and advised treatment teams of patient's progress toward competency/restoration.

#### 11/97 - 8/01

### Forensic Coordinator/Licensed Clinical Psychologist

- \*Ensured that forensic admissions, transfers and discharges were made in accordance with appropriate policies, court orders and legal standards.
- \*Consulted with the treatment teams and other appropriate staff regarding management

decisions for forensic patients.

- \*Prepared weekly and monthly statistical and status reports for administration.
- \*Conducted psychological assessments and prepared written reports for adult male patients admitted to a pretrial, short term, acute care forensic unit.
- \* Functioned in role of primary therapist in providing therapeutic services to patients assigned to designated treatment team.
- \* Participated as an active treatment team member in development of comprehensive treatment plans and reviews for patients.
- \* Facilitated therapeutic groups for patients and recorded program participation.
- \*Conducted training for new employees on topics of behavioral management, mental illness and therapeutic communications.
- \*Prepared court ordered evaluations for competency to stand trial and mental state at the time of the offense; provided expert testimony to court system as requested.
- \*Conducted evaluations for sex offenders to provide risk assessment and sentencing recommendations to the court.
- \*Supervised the psychological assistant and student interns.

#### 2/97 - 9/97

# PHILHAVEN BEHAVIORAL HEALTHCARE SERVICES Lebanon, PA Mobile Therapist/Staff Psychologist

- \* Established and maintained therapeutic interactions with children and adolescents with psychiatric disorders within the community, school and family.
- \* Utilized a strengths-based approach in the provision of child -centered, family focused individual and family psychotherapy.
- \* Effectively utilized leadership/teaching/counseling techniques to gain cooperation and to motivate clients.
- \* Formulated, implemented and updated treatment plans. Designed interventions to meet the client's therapeutic needs.
- \* Supervised the therapeutic support staff assigned to the individual clients.
- \* Conducted psychological evaluations and prepared reports to indicate the client's need for continuation of services.

#### 2/96 - 9/96

# WISCONSIN RESOURCE CENTER FOR CIVILLY COMMITTED SEX OFFENDERS Neenah, Wisconsin

#### Senior Psychologist

- \*Member of the committee responsible for the development and implementation of the treatment program for civilly committed sex offenders in Wisconsin.
- \*Conducted psychological evaluations for patients committed for sex offender treatment.
- \*Developed individualized care plans for patients with high management status.
- \* Provided psychological recommendations during team staffing of patients.
- \* Provided psychological treatment including both group and individual psychotherapy.
- \* Provided psychological training to institutional staff.
- \* Participated in the involuntary commitment process.
- \* Provided court reports and expert testimony at probable cause, final commitment, and reexamination hearings.

8/93 - 12/95

#### UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

#### **Assistant Clinical Professor, Department of Human Services**

- \*Taught graduate courses in DSM-IV classification, professional ethics, crisis intervention, women's issues, family therapy, practicum and internship supervision.
- \* Advised approximately 26 students per semester.
- \* Presented selected topics at state and regional conferences.
- \*Wrote proposals for grants and conducted research.

5/93 - 12/95

#### PSYCHOLOGICAL ASSOCIATES Rock Hill, South Carolina

Therapist (part-time private practice)

- \*Provided psychotherapy for clients seeking services.
- \*Qualified as expert witness in both adult and child abuse cases for York County.
- \*Provided contract services to Employee Assistance Programs in SC. and NC.

1/92 - 8/93

## YORK COUNTY SEXUAL ASSAULT RESOURCE CENTER Rock Hill, SC

#### **Director of Victim Services**

- \*Counseled victims of sexual assault and incest.
- \*Provided pre and post trial services for sexual assault offenders.
- \*Presented public relations and educational programs for the community.
- \*Provided advocacy for victims within the medical and legal systems.
- \*Facilitated groups for victims of sexual assault and domestic violence.
- \*Managed and supervised 30 volunteer advocates and conducted three volunteer training programs per year.

9/82 - 7/91

### LIFE COLLEGE Marietta, Georgia

### Director of Counseling/Associate Academic Dean

- \* Provided personal, academic and career counseling for students.
- \* Supervised professional and administrative staff.
- \* Initiated the following programs: job location and development; tutorial networking; support services for disabled students; foreign assistance; support groups; state board networking.
- \* Chaired the following committees: Academic Review, Institutional Effectiveness, Institutional Self-study, Division Chairs, and Admissions.
- \* Appointed administrator of faculty selection and evaluation process.
- \* Designed academic policies to enhance institutional awareness of student's needs.

#### **ACHIEVEMENTS**

#### Research

- \* Faculty research grant UNC Charlotte, "The Effects of Childhood Victimization on the Coping Resources of Female Adults", 1995
- \* Pilot Study for York County Sexual Assault Resource Center, "An Investigation of the Stereotypes of Middle School Students Involving Rape", 1992
- \* "Personality Traits of Chiropractic Students as Predictors of Academic Success", Dissertation, 1991

#### HONORS

- \*Appointed (2015) by the Secretary of Health and Human Resources, Dr. William Hazel to the Behavioral Health and Justice Center Advisory Committee.
- \*Appointed (2014) by the Commissioner of the Department of Behavioral Health and Developmental Services to the Behavioral Health Transformation Team for Virginia..
- \*Selected (2008) by the Virginia State Office of Forensic Services as a facilitator for the Cross Systems Mapping Initiative merging mental health and criminal justice services throughout the state.
- \*Appointed (2007) by the Commissioner of Department of Behavioral Health and Developmental Services to the Virginia State Forensic Review Panel.
- \*Gubernatorial appointment (1994) in South Carolina to the Training and Community Development Advisory Board for the Office of Victim Assistance. This board was formulated under The Victims of Crime Act to establish standardized guidelines and training agenda for agencies serving victims.

# LICENSES &

**CERTIFICATIONS \*** Licensed Clinical Psychologist

- \*Certified Sex Offender Treatment Provider
- \*Licensed Assisted Living Facility Administrator and Preceptor
- \*Certified in Therapeutic Options of Virginia, CPR, First Aid, Medication Education & Driver's Safety

# PROFESSIONAL ORGANIZATIONS

- \*American Psychological Association & Virginia Psychological Association
- \*APA Division of American Psychology-Law Society
- \*Virginia Association of Clinical Psychologists
- \* President of American Residential Treatment Association

#### Catherine Ann Powell, MSW, Supervisee in Social Work

15629 Easthaven Court, Bowie, Maryland, 20716

hone: 317.417.0639

Email: catepowell@yahoo.com

Skills

- Leadership History
- Case Management History
- Compassionate and Empathic Social Worker
- Organized and Exemplary Customer Service
- Computer: Microsoft Office including: Word, Excel, and Outlook. Comprehensive use of Google Chrome, Internet Explorer, and other internet navigation programs. Proficient with Lauris Online, Alpha CM, and AVATAR online charting as well.

Experience

Gateway Homes, Inc. - Fairfax Program, Annandale, Virginia

2011 - Present

Assistant Clinical Director

Responsible for managing the day to day functions of a 24-hour intensive communitybased residential treatment program providing wrap around services for eight consumers with serious and persistent mental illness diagnoses.

- Oversee a staff of 20 individuals providing direct care to the consumers, including maintaining staff scheduling, auditing staff-completed documentation, developing case management skills in full-time staff, completing annual reviews of employment, addressing employee improvement needs appropriately, and maintaining communication to ensure consistency of care.
- Responsible for developing programming, overseeing treatment planning creation and reviews, completing quarterly reports for funder.
- Ensure all documentation is accurate, appropriate, and completed in a timely manner as indicated by licensing and according to policy.
- Provide mental health skill building services to consumers developing awareness, coping with their mental illness, and making measurable strides towards increased independence.
- Maintain communication with community partners and government partners to ensure consistency of care and seek feedback and guidance, when appropriate.
- Remain on call to all staff for crisis situations at the facility.
- Developed and maintains an internship program with students from NOVA Community College. Ensure students receive education concerning working in the field.

St. Elizabeths Hospital, Washington, D.C.

2014 - 2015

#### Social Work Intern

Responsible for completing educational and practical tasks related to learning plan objectives in conjunction with a 600 hour internship.

- Participated in Rounds, Community Meetings, Individual Recovery Plan Meetings, and Community Outings with individuals in care. Worked within a team environment.
- Facilitated weekly discharge planning and mock trial groups for competency training.
- Created an Experiential Competency Manual to develop competency education for group facilitators and to benefit individuals in care with forensic needs.
- Integrated fully into the activities on two units within the hospital, one focused on behavioral interventions and management for long term individuals in care and the other was an assessment unit for women under a court order for forensic
- Completed documentation including social work initial assessments, group progress notes, independent therapeutic notes, monthly and weekly social work updates, and discharge plans.

Stopover, Inc., Indianapolis, Indiana 2009 - 2011 Non-Residential Counselor Responsible for providing home-based, short-term individual, family, and group crisis counseling to program clients 11 - 17 years of age. Advocated for most appropriate parenting for young person and provided parenting support to parents with mental health diagnoses, parents experiencing poverty, and homelessness. Advocated for young person in school setting via individualized education plan assessment, case conference, and at expulsion examination. Attended juvenile disposition hearings and spoke to court concerning family's attendance and progress in counseling. Provided thorough bio-psycho-social assessment for young person and family at outset of counseling relationship. Referred families for community support services and advocated for their receipt of service. Answered Crisis Line and provided immediate crisis intervention to callers. Originated and maintain client files and necessary databases in a concise, timely Attended ongoing training sessions and conferences. ASI Sign Systems, Indianapolis, Indiana 1999 - 2009 Multiple Positions Held Customer Service Representative Served as a liaison to communicate customer needs and desires to staff. Managed sign programs for Major Hospitals and Universities in downtown area. Ordered international product and created artwork for international production. Graphics/Layout Department Supervisor Supervised a staff of four in interpreting work orders and creating sign layouts. Created digital artwork for production purposes. Graphic Artist Interpreted work orders and created sign layouts. George Mason University, Fairfax, Virginia May, 2015 School of Social Work, Fairfax, Virginia Degree Conferred - Masters of Social Work, Clinical Concentration Advanced Standing Program 2009 Indiana University - Purdue University, Indianapolis, Indiana School of Social Work, Indianapolis, Indiana Degree Conferred - Bachelor of Social Work

Education

Achievements:

Graduation with Distinction for Academic Placement in Top Ten Percent of Class

Award for Service to Undergraduate Program, Spring, 2009 Alumni Association Representative for School of Social Work Student Association

Phi Alpha Honor Society Membership, Spring, 2008

Alpha Sigma Lambda Honor Society Membership, Spring, 2008

#### **High School Diploma**

1998

New Albany High School, New Albany, Indiana

References

Furnished upon request.

## Sridhar Yaratha, M.D.

8726 Springwater Drive Richmond, VA 23228 Phone: 919-949-5161 Email: syaratha@yahoo.com

#### **Employment History**

April, 2006 - Present

Central State Hospital, Petersburg, Virginia

Forensic Psychiatrist

Attending Physician for Men's Long Term Forensic Unit. Coverage for Women's Forensic Acute Admissions Unit,

Men's Forensic Acute Admission Units and Civil Commitment Units

Nov 2004 - Jul 2005

Southwestern Virginia Mental Health Institute, Marion, Virginia

Psychiatrist for Geriatrics Unit

'Also provide coverage for Adult, Adolescent, and Long-Term Units.

Routinely testified in civil commitment court proceedings

Jul 2004 - Oct 2004

QTC Medical Management, Virginia Beach, Virginia

Contract Psychiatric Work

Performed evaluations of Armed Forces Personnel

Aug 2001 - Dec 2003

Vera French Community Mental Health Center, Davenport, Iowa

Staff Psychiatrist

Outpatient Geriatric and Adult Psychiatry

Assisted with the Day Treatment/Partial Hospitalization Program

Occasional Home Visits to elderly patients

Nov 1999 – July 2001

Psycare, Inc., South Charleston, West Virginia Staff Psychiatrist at Thomas Memorial Hospital

Forensic evaluations at the South Central Regional Jail

Psychiatric care of inmates at Mount Olive Correctional Complex

### **Hospital Affiliations**

Mar 2006 - Present

Central State Hospital, Petersburg, Virginia

Staff Psychiatrist

Women's Forensics Acute Admissions Unit

Also provide coverage for Male Forensics and Adult Civil Units Routinely testify in forensic and civil commitment court proceedings

Nov 2004 – Jul 2005

Southwestern Virginia Mental Health Institute, Marion, Virginia

Physician for Geriatrics Unit

Also provide coverage for Adult, Adolescent, and Long-Term Units.

Routinely testified in civil commitment court proceedings

Aug 2001 - Dec 2003

Genesis Medical Center, Davenport, Iowa

Staff Psychiatrist

Adult Inpatient and Substance Abuse Units, Consultation/Liaison Services,

ECT Program, and coverage of the Adolescent Unit. Routinely testified in civil commitment court proceedings

Nov 1999 - Jul 2001

Thomas Memorial Hospital, South Charleston, West Virginia

Staff Psychiatrist

Coverage of Geriatric and Adult Inpatient Units

Licensure

Virginia # 0101236397

Residency

Aug 1996 - July 2001

Internal Medicine / Psychiatry Residency

West Virginia University, Charleston Area Medical Center

Charleston, West Virginia.

Awards and Honors

Esther McMahon Award - Psychiatry Resident of the Year, 2001

Resident of the Year Award (Pfizer), 2001

Chief Resident of Internal Medicine / Psychiatry (1999 - 2001/2 years)

Co-Chief Resident of Psychiatry (1999 - 2001/2 years)

Resident Representative to Hospital Ethics Committee (1997 - 2001/4 years)

1999 Teaching Award in Psychiatry Top Quarter of Medical School Class

State Appointments

Forensic Review Panel Member Commonwealth of Virginia August 2007 - Present

**Hospital Appointments** 

Central State Hospital, Petersburg, Virginia President of Medical Staff 2006 - Present Vice-President of Medical Staff 2006-2007 Recovery Committee Chair

Genesis Medical Center, Davenport, Iowa

**Ethics Committee** 

Psychiatric Service Committee Neuroscience Service Committee Med-Rehab Service Committee.

Charleston Area Medical Center, Charleston, West Virginia Hospital Ethics Committee – Resident Representative

#### Seminars / Lectures

"Sell v. United States; A discussion on Competency", Lecture to Psychology Department, Central State Hospital, Petersburg, VA, March 20, 2008.

"ECT and Forensic Evaluation", Lecture to Psychology Department, Central State Hospital, Petersburg, VA, May 24, 2007.

"Schizophrenia", Mental Health In-service, Central State Hospital, Petersburg, VA, May 23, 2007.

"Overview of Sleep Disorders", Lecture to Psychology Department, Central State Hospital, Petersburg, VA, October 5, 2006.

"Dementia Overview", Seminar on Older Persons, Abingdon, VA, June 18, 2005.

"Elderly Depression", Seminar on Older Persons, Abingdon, VA, June 18, 2005.

"Antipsychotic Medications", CME lecture to Quad City Physicians, Illini Hospital, East Moline, IL, December 4, 2003.

"Womens' Mood Disorders", WQPT Television Show- Public Television Special on Women's Mood Disorders across their lifespan, Moline, IL, October 2003.

"Depression in the Elderly", Primary Care Conference, Napa Valley, CA, October, 2003.

"A Women's Heart", WQPT Television Show-Public Television Special on Women's Issues in Depression and Heart Disease, Moline, IL, July 2003.

"Overview of Depression and Bipolar disorder", Manor Care NH staff, May 9, 2003.

"Social Anxiety", CME lecture to Quad City physicians, May 1, 2003.

"Personality Disorders", lecture to Genesis Nursing Staff, April 23 - 24, 2003.

"Helping Families Memorialize", Mississippi Valley Funeral Directors Association, April 17, 2003.

"Geriatric Depression", Primary Care Conference, Copper Mountain, CO, March, 2003.

"Generalized Anxiety Disorder", CME lecture to Quad City physicians, January 28, 2003.

"Pregnancy and Depression", CME at Illini Hospital, November 14, 2002.

"Depression in Primary Care", Primary Care Conference, Copper Mountain, CO, March 2002.

"Antipsychotic Use in Primary Care", Primary Care Conference, Copper Mountain, CO, March 2002.

"Depression During Pregnancy and Postpartum Psychosis", 5th Annual Snowshoe Mountain Retreat, Snowshoe Mountain, WV, September 15, 2001; presented to local physicians also in CME talks.

"Depression in Primary Care", Dewitt CME Series, September 18, 2001.

"Psychiatric Considerations in HIV/ AIDS Patients", Internal Medicine / Psychiatry Grand Rounds, April 2001.

"Advances in ECT", Psychiatry Grand Rounds, April 2001.

"Lithium: It's Use and Overuse", Internal Medicine Grand Rounds, October, 2000.

"Cushings Syndrome – A case report", Internal Medicine Grand Rounds, September, 2000.

"Violent Patients - Management in the Inpatient and ER Setting",

Internal Medicine / Psychiatry Grand Rounds, September 2000.

"Mental Status Exam", Psychiatry Grand Rounds, July 2000.

"Depression in Primary Care", Internal Medicine and Psychiatry Grand Rounds, January 2000 - May 2001

"PTSD", Psychiatry Grand Rounds, January 2000.

"Hepatitis C and Mood Disorders", Psychiatry Grand Rounds, Fall 1999.

Medical Student Lectures: "Schizophrenia", "Bipolar Disorder", "HIV and

Psychiatric Disorders", "Sleep Disorders", 1999 - 2001

Interdisciplinary Care of the Geriatric Patient with a Complicated MI, May 14, 1999

"Sleep Disorders", Psychiatry Grand Rounds, May 1997 - May 2001.

#### Research / Publications

"Schizophrenia", Mental Health Publication for Kanawha Valley, January 2001.

"Risperidone and Neuroleptic Malignant Syndrome", Research Day, Charleston Area Medical Center, Spring 1999.

"Risperidone and Neuroleptic Malignant Syndrome"; Annual Internal Medicine/Psychiatry Conference, Orlando, FL, November 1998.

"Two Cases of Guillain-Barre Syndrome", Research Day, Charleston Area Medical Center, Spring 1998.

"Patient Adherence", Research Day, Charleston Area Medical Center, Spring 1997.

Meistrich, M. et. al. Impact of cyclophosphamide and long term reduction in sperm count in men treated with combination chemotherapy for ewing and soft tissue sarcomas Cancer, December 1992.

#### Education

Medical School

Aug 1991 - Dec 1995

Spartan Health Sciences University

School of Medicine, Vieux Fort, St. Lucia

Doctorate of Medicine.

Undergraduate

Aug 1987 - May 1991

Austin College, Sherman, Texas Bachelors of Arts in Psychology.

**Professional Associations** 

American Medical Association American Psychiatric Association Association for Convulsive Therapy American Geriatrics Society.

Personal

U.S. Citizen, Married with one daughter.

Interests

Classical music, Impressionistic and Surrealistic art, Football, College Basketball, Baseball, Renaissance Art, Poetry, Rafting, Biking, Travel, Rock and Roll.

#### Lynda Hyatt

From: Sent:

To:

Evelyn Larbi [evekus@yahoo.com] Wednesday, November 16, 2016 3:01 PM

Lynda Hyatt Ph.D. - Execuitve and Clinical Director of Gateway Homes Inc.; Catherine Powell;

Molly Bowles

Subject:

RESUME

# **EVELYN ANSAH LARBI**

♦26 Hot springs Way ♦ Stafford, VA 22554
♦703-386-6585 ♦evekus@yahoo.com

# **EDUCATION**

# Northern Virginia Community College, Fairfax, VA

Associate Degree in General Studies—May 2013
 School of Practical Nursing, TC Williams High School, Alexandria, VA

License in Practical Nursing—May 2010

#### **SUMMARY OF QUALIFICATIONS**

- Ability to work independently and as part of a team
- Ability to work in a time-sensitive environment
- Ability to Handle multiple priorities
- Strong organizational abilities
- Demonstration of good judgment, problem solving and decision making skills
- Competent in organizational and time management skills
- Exceptional written and oral communication skills
- Proficient in the use of Electronic MAR
- ❖ Proficient and strong computer skills Microsoft Office (Windows, (Word, PowerPoint, Excel, and Outlook) with the ability to learn new applications

## **EXPERIENCE**

# Sunrise Assisted Living, Fort Belvoir, VA Lead Care Manager (LPN), March 2011-Present

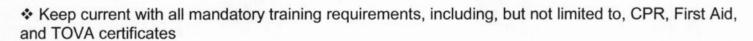
- Administer and monitor routine medication
- Provide direct resident care and supervision of resident care
- Supervise work of both licensed and non-licensed team members in the Assisted Living operations.

- Work closely with family members and consulting with community physician(s) to ensure residents' needs are being attended to in a personalized way.
- Demonstrate knowledge of nursing practices, techniques and methods as applied to skilled nursing and resident care.
- Undertake Residents Assessment Instruments and working with team members to develop personalized Care Plans (ISP's) for residents.
- Update Residents ISP's as and when level of Care changes according to organization's policy
- Maintain files in accordance with licensing guidelines and company expectations including daily Treatment and Progress notes
- Complete documentation in accordance with company guidelines

# Gateway Homes Inc., Fairfax, VA

Licensed Practical Nurse (LPN) —August 2011-Present

- Support the mission, vision and values of Gateway Homes
- Administer and monitor routine medications
- Order medication from pharmacy, check medications against Doctor's orders, stock the medication cart, and keeping with nursing and pharmacy standards and practices
- Ensuring that lab work is completed as ordered in a timely manner
- Meet with agency psychiatrist during medication management and review to provide feedback regarding resident symptoms presentation and progress
- Transcribe all Doctor's orders
- Ensure new orders are transcribed in the MAR.
- \* Assess resident's medical needs and schedule medical appointments as needed
- Maintain a schedule of IM medications and administer per schedule
- Ensure appropriate documentation on each client is done.
- Educate clients on the importance of adhering to their medication regimen.
- Assist residents with scheduling needed medical appointments, including annual physical examinations.
- Ensure monthly blood pressures and weights are recorded on each resident or as ordered by the Doctor
- Review all MARs on a weekly basis and provide the Program Manager with a result of the review
- Complete required documentation, including, but not limited to, shift reports, progress notes, and serious incident reports
- Perform other duties as requested by the Program Manager or immediate supervisor
- Assist the Program Manager and co-workers by being a proactive and engaged member of the team



Reports directly to the Fairfax Program Manager

#### KEITH E. JORDAN

3412 Curtis Drive, Apt. 601 Suitland, MD 20746 240-640-5299

#### SPECIALIZED TRAINING:

- CPR/First Aid Certification
- History of Mental Health & Human Growth/Development
- Basic Nutrition
- Consumer Rights/Abuse & Neglect
- Work place Safety Training
- Incident Report Writing
- Workplace Diversity Training
- Therapeutic Options of Virginia Certified Trainer for Gateway Homes, Inc.

#### SPECIALIZED SKILLS:

- Property and Facilities Management
- Microsoft Word, Excel & PowerPoint; WordPerfect 6.0 & XP
- PeopleSoft Facility Center & Facility Center 8-I Time & Attendance

#### AWARDS/ACHIEVEMENTS:

Smithsonian Institution PRIDE AWARD
 Received a cash award for outstanding performance in interacting with and assisting museum visitors and staff.

EDUCATION: Frank W. Ballou High School

Washington, DC 20032

General Education Diploma

June 1990

#### WORK EXPERIENCE:

Gateway Homes, Inc.

4024 Hirst Drive, Annandale, VA 22003

7/2011 - Present

#### Residential and Administrative Support

- Serve as the Property/Facilities Manager for two Northern Virginia locations and ensure appropriate HUD-compliant documentation and home operations.
- Completes monthly inspections to ensure homes are in appropriate working condition and conducive for therapeutic process.
- Manage outside contracting project for facility needs.
- Oversee the Pre-Vocational Program with the support of the Assistant Clinical Director.
- Oversee the Internship Program with the support of the Assistant Clinical Director.
- Provide Therapeutic Options of Virginia behavior management and crisis intervention training to all Gateway Homes staff.
- Engage program participants in completing activities of daily living.
- Support program participants in the development of mental health skills and independent building skills.

#### Service Source

#### 6295 Edsall Road, Alexandria, VA 22312

8/2009 - 4/2011

#### Skills Trainer

- Perform therapeutic recreation in the treatment of mentally and developmentally challenged adults.
- Coordinate and participate in Interdisciplinary Team process meetings.
- Report statistical data on the progress of assigned individuals in compliance with internal and external regulations
- Develop and prepare Individual Support Plans.
- Coordinate and communicate training for employees to provide appropriate social/behavioral/vocational skills.
- Plan and prepare lessons, transport and supervise participants on field trips, teach life skills, health and safety classes
- Devise a curriculum to assist individuals understand and develop skills to live a more productive life.
- Communicate oral and written lesson plans to assist individuals with society re-integration.
- Communicate participant progress and observe and relay development progress and challenges to nurse staff.
- Interact and assist participants with cognitive and physical rehabilitation.
- Instituted Departing Procedure to assist with access and flow during participant arrival and departure.

# Individual Development Inc.

6401 New Hampshire Avenue, Hyattsville, MD

5/2009 - 10/2009

#### **Active Treatment Specialist**

- Assist and support individuals with disabilities in improving their daily living skills and enhancing their quality of life.
- Provide a healthy environment encouraging personal growth and development.
- Read and be aware of clients' Individual Support Plans (ISP) to foster vocational skills, social and leisure skills while
  offering positive reinforcement and annotating advancements in clients' charts.

### **US Office of Special Counsel**

#### 1730 M Street, NW, Washington, DC

#### Procurement and Property Technician GS-1106-07/4

• I possessed in-depth knowledge of and skill in procurement regulations, policies and procedures.

 I investigated payment discrepancies with contracts, which required reviewing reconstruction of contract files that may have contained line items, destinations, invoices and modifications.

 I served as the link between the contractor and the contract officer, relaying and receiving sufficient contract related information from contractors and vendors to identify problems and to determine the need for referral to the Contract Officer, Budget Analyst or COTR.

 Daily communication and interaction with various perspective vendors, contractors, Business Office officials and members of the Special Counsel.

 Preparing and assembling contract IPAC letters and inter-agency agreement files where the assembly process included verifying vendor suitability by accessing information on two Federal government databases which are the Central Contractor Registration (CCR) and the Excluded Parties List System (EPLS).

 Updated, organized and maintained all procurement files related to contract information using Excel spreadsheets, and printing and copying to maintain tangible contract files.

Maintained property inventory, involving tracking property and disposal of property and maintenance of property records

 Established and assisted others with procedures for processing supply transactions; receive research and resolve vendor and contractor complaints.

#### **Smithsonian Institution**

#### 1100 Independence Avenue, SW, Washington, DC

4/2003 - 7/2008

Art's & Industries Building: Office of Facility Management Management Support Assistant GS-0303-07/3

Assisted staff with administrative duties including:

Preparing and processing travel vouchers.

Scheduling, tracking, and processing training.

Processing payroll documents.

Procurement procedures including:

Preparing and processing purchase orders, petty cash processing and tracking.

 Procure goods and services against the operations budget and assist in tracking expenditures against the operations budget.

 Maintain accurate and detailed files of financial activity for the OFM using Far Sight and ERP systems and Travel Manager.

Provide information regarding small purchases and purchase orders to the Zone Manager.

· Facilities and events management including:

 Preparing work tickets for building maintenance teams, receive, assess, and process time and attendance for various staff members using facility.

Responsible for the inventory and purchase of office and shop specific supplies and equipment.

Maintained an automated system that tracks SI property and inventories supplies and the use of supplies.

 Established and maintained file systems, both hard copy files and automated files, for tracking, storage, reference, and/or retrieval.

#### Florence Fungwe

4043 Sapling Way Triangle, VA 22172 (Cell) –(703) 589- 0760 (Home) 703 -221 -7578

#### Education

### **Oakland University**

Rochester, Michigan

Post Bachelor of Science Degree in Occupational Safety and Health: Earned a minor, with 29 credit hours. December 2006.

### **Central Michigan University**

Mount Pleasant, Michigan

Bachelor of Science in Public Administration, with a minor in community development; August 2001

#### Wayne County Community College

Detroit: MI

Associate of General Science, August 1998

#### **Summary of Qualifications**

I have about 10 years of experience working with persons with Serious Mental illness, intellectual or other developmental disabilities. I have a clear understanding of Medicaid and Medicaid Waivers.

Knowledge of principles, practice, methods, and techniques related to treatment of individuals with intellectual disabilities and other developmental disabilities including, mental health and substances abuse.

I have acquired knowledge of program services, and knowledge of case management principles.

Ability to work in a time- sensitive environment

Strong organizational abilities

Exceptional written and oral communication skills

Ability to work independently and as part of a team

Proficient and strong computer skills in PC systems (word, PowerPoint)

## Gateway Homes Inc. Annandale Fairfax, VA

Residential Counselor/ Case Manager: Qualified Mental Health Professional-Adult—(QMHP) January 2012 to present.

- Provide mental Health support services and behavioral, case management to individuals
  with serious, persistent mental illness in accordance with their Individualized Service
  Plans.
- Maintain files in accordance with licensing guidelines and company expectations including daily Mental Health Treatment notes.
- Complete documentation in accordance with Medicaid guidelines.

- Administered and monitor psychotropic and routine medications.
- · Provide direct skills teachings at individual level and within a group setting.
- Advocate for individuals in a variety of settings including accessing community programs and health care provider services.
- Provide transportation to recreational activities to promote community re-entry.
- Coordinate and linked individuals to needed community services to ensure quality and continuum of cares

#### HartWood Foundation Inc.

Direct Support Specialist-January 2008-Present

- Performs professional work in the evaluation, treatment and counseling of clients in a intellectual disability facility.
- · Participate in the implementing and review of individual service plan.
- Conduct or lead recreational, instructional or social skills groups.
- Participate in staff and house meeting.
- Provide liaison with assigned client's physicians and therapist.
- Provide and coordinate client's transportation to appointments, meetings and field trips
- Medication administration and monitoring with proper medical supervision
- Link clients to appropriate community resources.
- Provide continuous review and evaluation of client's progress towards establishing goals
- Represent the program in the community.
- Provide assistance to individuals with intellectual disability in all aspects of their daily living activities, with emphasis placed, on community integration.
- · Assist individuals with intellectual disabilities with their financial management.
- Coordinate and implement their entire individual service plan.
- Medication monitoring and administration.
- · Advocacy for consumers rights and needs.
- Ensure safety needs and proper food preparations are met.

### **Alexandria City Schools**

Substitute Teacher—September 2007-June 2014

- Use instructional materials to teach student.
- Maintained a physical environment that supports a variety of curricula, and teach students who are mentally challenged.
- Manages student with different personalities.
- Encouraged students on school performance and the use of time wisely.
- Encouraged students to interact positively with other students and people around them.

Office Manager:

- Dependable Health care Services: Canton MI. August, 2001- April 2007
- Conduct home visits of prospective individuals determine eligibility for program and services
- Managed Personnel Resources and client services with compliance to organization requirement.
- Managed and provided supervision to up to twenty employees.
- Collaborated with health services professionals and provided services tailored to the needs of the clients as it relates to their individual service plan.

#### Safety Related Experience

- CPR/First Aid Certification
- Incident Report Writing Training
- Medication Administration Training
- Map Training/Tova Training
- Diabetes Training and Behavior Support Strategies
- Case Management 101
- First Aids for Adults with mental illness, Certificate

#### OMAIRO VASQUEZ

5433 Safe Harbor Court - Fairfax, VA 22032 - (703) 220-6004 - omairov@hotmail.com

#### SUMMARY OF QUALIFICATIONS:

- \* Bilingual in English and Spanish.
- \* Neurodevelopment Techniques.
- \* Pre-fabricated Splinting and Adaptive Equipment.
- \* Medication Training Certification VA, MD, and DC.
- \* First Aid and CPR.
- \*Therapeutic Options Training TOVA.
- \* Developed medical teamwork skills having dealt with a diversity of professionals, and staff members.
- \* Self-motivated, able to set effective priorities to achieve immediate and long term goals.
- \* Adapt easily to new concepts and responsibilities.

#### **EDUCATION:**

AA, Social Science/Psychology, July 2015. Northern Virginia Community College. Bachelor, Occupational Therapy, July 1991. Universidad Central de Venezuela,

#### **EXPERIENCE**

Residential Counselor (Clinical Program)

June 2016 to present

Gateway Homes, Fairfax, VA

- \*Assists the program manager in maintaining standards and regulations that are required by the program.
- \*Participates in clinical meetings.
- \*Provides mental health support and psychosocial rehabilitation to residents as specified by their ISP.
- \*Completes required written documentation: shift reports, daily progress notes, serious incident reports, mental health support notes, family contacts, and professional contacts.
- \*Participates in group development, facilitation and documentation.
- \*Involves residents in community activities as appropriate.
- \*Administers and monitors medication as prescribed; ensure appropriate documentation;; educate, monitor and coach residents.

Residential Specialist (Clinical Program)

October 2015- June 2016

Gateway Homes, Fairfax, VA

- \* Completes required documentation: shift reports, serious incident reports, fire drill documentation.
- \*Provides therapeutic supervision including monitoring, mentoring and interacting with residents.

\*Assists residents with activities of ADL.

\*Monitors the physical environment of the facility and its equipment; takes appropriate measures to correct any identified safety hazard.

\*Provide transportation as assigned by program manager.

PSR (Psychosocial Rehabilitation) Volunteer August- October 2015 Gateway Homes, Fairfax, VA

\* Observe and monitor resident's needs during psychosocial rehabilitative group activities.

\* Support staff in facilitating psychosocial rehabilitative group outings and activities.

\* Utilizing structured professional judgment as an evidenced based practice.

Coordinated Psychology Internship Gateway Homes, Annandale, VA

June-August 2015

- \* Observed and participated in reviews of quarterly service plans with counselors and consumers.
- \* Participated in case management task with the program supervisor.
- \* Observed about medications management meetings between the consumer and their psychiatrist to treat serious illness and their side effects.
- \* Participated in quarterly all staff meeting of the program.
- \* Created weekly log reports, and final paper to the supervisor.
- \* Created and applied exercise group program for the consumers.

Restaurant Manager Charbroil Grill, Woodbridge, VA. August 2000-Present

- \* Managed all areas of the restaurant and make final decisions on matters of importance to guest service.
- \* Adhered to company standards and service levels to increase sales and minimize costs, including food, beverage, supply, utility and labor costs.
- \* Responsible for ensuring that all financial (invoices, reporting) and personnel/payroll related administrative duties are completed accurately, on time and in accordance with company policies and procedures.

Occupational Therapist Health Care Today, Manassas VA. July 1996-June 2000

- \* Meet the geriatric-patient's goals and needs and provided care by assessing and interpreting evaluations and test results; determined occupational therapy treatment plans in consultation with physicians or by prescription.
- \* Helped geriatric-patient develop physical, mental functioning or adjust to disabilities by implementing programs involving manual arts and crafts, practice in functional, and

homemaking skills, activities of daily living, and sensor motor, and social activities; directing aides, technicians, and assistants.

\* Planned administrative tasks (writing reports, making telephone calls, maintaining records and case notes).

\* Meet with doctors, family members and other professionals and keeping them updated.

\* Completed discharge planning by consulting with physicians, nurses, social workers, and other health care workers; contributing to geriatric care conferences.

\* Monitored the therapeutic plan following discharge by designing and instructing patients, families, and caregivers in home exercise programs; recommending and providing assistive equipment; recommending outpatient or home health follow-up programs.

\* Modified therapeutic activities to improve memory, social and emotional factors affecting patients.

# Occupational Therapist

Fabruary 1992-May 1996

Centro de Atencion Infantil Guayana, Venezuela

- \* Conducted evaluations which include both standardized testing and structured clinical observations of children with fine motor delays, handwriting issues autistic spectrum disorders, ADD, behavioral/Social Issues, followed by scoring and clinical interpretation.
- \* Completed parent conference and a detailed assessment report after evaluation.
- \* Determined areas of concern, identify goals, and develop treatment plans for clients.
- \* Documented results concisely and accurately of client's evaluation, treatment, followup and termination of services.

Occupational Therapist IVSS Uyapar Hospital, Puerto Ordaz, Venezuela

October 1991-June 1996

\* Promoted development of fine motor skills, sensory motor skills, and visual motor skills to pediatric patients with neurological disorders, upper extremity shoulder, arm and hand,

# Ashley B. Webley 13429 Millwood Drive ♦ Woodbridge ♦VA♦ 22191♦703.298.7514♦ashleygrad09@gmail.com

# SUMMARY OF QUALIFICATIONS

With a Master in Human Science with a concentration in Gerontology and a Bachelor of Social Work, Ms. Webley brings the ability to hanage multiple projects simultaneously and bring them to completion on schedule. She possesses excellent communication and organizational skills with a high energy level and aptitude and interest for learning. She has experience with individual assessments and group facilitation, extensive experience with in-take and follow-up interviews and motivational interviewing skills. Her good judgment and adaptability skills ensure successful deliveries and client satisfaction. Her Supervisory skills with experience leading crossfunctional teams, implementing program-wide process improvements, while providing innovative solutions to better serve the team and clients. A proven leader, focused on motivating and building highly effective teams.

# EDUCATION, CERTIFICATIONS, TOOLS, & SKILLS

Master of Human Science, Concentration in Gerontology Bachelor of Social Work Hood College, 2013 Shepherd University, 2009

Microsoft Word Microsoft Excel Microsoft Power Point

Microsoft Access Microsoft SharePoint Electronic Medical Record

# PROFESSIONAL EXPERIENCE

Gateway home Inc., Annandale, VA, Counselor

January 2016 - Present

- Provide one to one care to an individual with serious mental illness in an Intensive, Community-based, residential treatment program.
- Keep current with all mandatory training requirements including CPR, First Aid, TOVA, and Driver's Education & Safety
- Assist residents with meal planning, grocery shopping and meal preparation
- Assist residents in obtaining appropriate documentation such as birth certificates, picture ID, SS cards, etc.
- Assist residents with activities of daily living including bathing, eating, and other needs arise.
- Assist the Program Supervisor in maintaining standards and regulations that are required by the program.
- Provide transportation as deemed necessary

Waystation, Frederick, MD

December 2011 - September 2015

# Supervisor

January 2013-December 2015

- Provide after-hours support, problem-solving around staffing, and coverage as needed
- Ensure regular team activities occur, i.e. house meetings, grocery shopping's, medication monitoring. Responsible for deployment of team facilitators.
- · Promote effective relationships among clients, families, and service providers.
- Generate and analyze program utilization information and incorporate conclusions into program planning process. Ensure members' needs are being met
- Provide bottom line responsibility for timely and accurate documentation for the team, i.e. daily progress notes and monthly summary notes. Review and track monthly notes, assist staff with learning program and writing notes as needed.

# Resource Coordinator

July 2012- January 2013

- Provide and/or coordinate the following services for and with assigned individuals: assessment, planning, linking, monitoring, advocacy and care both internal to Way Station's program and through external social service agencies.
- Maintain current, accurate and complete documentation related to all services and functions, e.g. entitlements, enrollment requirements and linkages to internal and external services.
- Request authorization for services through Value Options online. Follow up with CSA as needed.
- Facilitate the development and implementation of individual plans of assigned members to meet the member's needs, interests and
  goals and coordinate communication and activity amongst staff working together with assigned members. Complete IRPS on
  scheduled date and finalize before their expiration. Write transition/closure pending, discharge plan, coordinate discharge.

# Awake overnight Facilitator April 2011-december 2011/Day Facilitator

December 2011-July 2012

- Support members in maintaining cleanliness of houses, including having supplies on hand and preparing for all housing inspections.
- Facilitate the development and implementation of individual plans of assigned members to meet the member's needs, interests and
  goals and coordinate communication and activity amongst staff working together with assigned members.

Assess for the potential of crisis and assist in implementing crisis intervention actions as appropriate.

- Instruct, schedule, and facilitate (do side by side with the member) household tasks with residents, e.g. household budgeting, shopping, indoor and outdoor chores, cooking and other daily living activities.
- Provide and/or coordinate the following services for and with assigned individuals: assessment, planning, linking, monitoring, advocacy and care both internal to Way Station's program and through external social service agencies.

Mitchell Lofton 8626 Pioneer Dr Severn, Md 21144

2023270713, darkblue.ml@gmail.com

# Qualifications

- · Over 9 years of experience working in human services field
- Residential Supervisor, Case Manager, Counselor, Mental Health, Adults and Juveniles
- · Certified in Adult and child First Aid

# Experience

6/15 | Present | Residential Counselor | Gateway Homes Inc,

# Annandale, VA

- · Administer and monitor medication as prescribed
- Provide mental health support and psychosocial rehabilitation as specified by their ISP
- · Involve residents in community activities as appropriate

10/11 | 7/14 Youth Counselor | The Children's Guild

# Baltimore, MD

- Medication distribution and monitoring,
- · Town meetings and life skills group,
- Culture care excursions, food preparation, health and school advocacy,

2/10 | 10/11 | Assistant Supervisor | Green Chimneys

# Brewster, NY

- Managed on going recruitment, retention, training and orientation of Youth Counselors
- Supervised staff and performed annual performance appraisals
- Scheduled staff in order to assure mandated coverage

# Education

Bachelor of Art | 2004 | Lehman College, NY | Major: Communications

# NAK P. CHONG

7200 Kyles Landing Court • Springfield, VA • 703-599-6952 • nakpchong@fairfaxcounty.gov

# **EDUCATION and CERTIFICATION**

- General Studies, Northern Virginia Community College, Annandale, VA
- Diploma, Robert E. Lee High School, Springfield, VA
- Peer Specialist Certification
- Consumer Empowerment and Leadership Training Certification
- Wellness Recovery Action Plan (WRAP) Facilitator Certification
- First Aid Course Certification
- Medication Training Certification
- American Heartsaver AED Certification
- Wellness Seminar Certification
- Adult Partial Hospitalization Program, Intensive Recovery Treatment Certification

# WORK EXPERIENCE

Assistant Residential Counselor (Certified Peer Specialist)

Oct 2010 to present Cornerstones (ADS)

- Provide assistance to individuals experiencing co-occurring substance abuse with mental health challenges, through one on one and small group interactions
- Provide supervision, observation, monitoring, and skill training to residents
- · Facilitate wellness and recovery based WRAP groups and meetings
- Assist individuals in articulating their goals for recovery through groups, meetings, and individual counseling
- Provide different coping techniques that help clients with co-occurring disorders
- Help clients to identify and monitor their progress
- Maintain client records and progress notes in the electronic health record system that reflects client status
- Dispense and monitor client medications
- · Encourage clients to self-advocate in regards to their recovery and treatment
- Provide transportation for residents in leisure and treatment oriented activities
- Act as a mediator for residents in times of conflict Provide insight and feedback to staff on resident progress
- Assist in maintaining resident whereabouts and activities
- Attend outside peer specialists groups and meetings
- Maintain network with other peer support specialists

 Provide relief for monitoring front desk and telephones, directing calls to appropriate staff, taking messages and directing visitors to appropriate locations

## WRAP Facilitator

# Dec 2010 to present Fairfax County CSB

- Facilitate WRAP workshops at designated locations
- Assist WRAP participants in completing and continuing there WRAP
- Provide suggestions and different techniques to update their WRAP using knowledge learned in training as well as information given in facilitation manual
- Use projection slides as well as large information display posters to present the core principles and stages of WRAP
- Explain the use and importance of the different stages and plans of WRAP and how to put them into action
- Participate in a monthly WRAP facilitators meeting where different topics and information concerning WRAP are discussed by WRAP facilitators and coordinators

### Census Enumerator

# April – June 2010 United States Census Bureau, Alexandria, VA

- Collecting decennial static of population and housing, as well as social and economic data to be used by Federal government.
- Working independently, traveled to over 200 homes interviewing residence and completing census question based on assigned area workload
- Provided timely updates on status of assigned area cases
- Conducted a auditing on census when information from first census was unsuccessful
- · Timely submitted all business expense related to travel and hours worked
- Successfully collected additional census data on cases labeled Uncooperative Residence

# Census Enumerator, Quality Control

# April -July 2009 United States Census Bureau, Alexandria, VA

- Traveled to more than 500 homes in assigned areas to obtain information from residents for the 2010 census.
- Checked areas in Springfield, Lorton, Burke and Kingstown, VA.
- Operated a hand held computer to obtain address, review and uploaded information.
- Provided daily electronic updates.
- Help other Enumerators, on call, when they needed help.
- Conducted a auditing on census when information from first census was invalid

Furniture Mover

June 2005-July 2007 Craig Van Lines, Fairfax, VA

June 2002-July 2004 Interstate Van Lines, Annandale, VA

June 1995-June 1999 The Right Move, Stuart Moving, Boulder, CO

- Moved furniture to and from residential and commercial buildings.
- Lifted, sorted, Loaded and Unloaded heavy furniture's of different sizes.
- Drove trucks to and from locations.
- Trained new employees as needed
- Wrote inventory sheets for the furniture.
- Provided insurance information and options to customers, and ensured customers had valid contract that best fit their need.

# Package Handler

Nov 2001 - Jan 2002 UPS

- Separated packages by service type and destination, in accordance with procedures.
- Ensured packages had valid address, research the address when not valid and made corrections as needed using computers.
- Loaded and unloaded containers and company vehicles in a safe and efficient manner.
- Ensured cargo is properly secured and tied down.
- Audited size and weight of packages to ensure conformance with service requested.
- Followed safety procedures in handling packages.

# Desk Clerk

June 1992-June 1994 Fort Myer, General Officers Quarters, Arlington, VA

- Checked in and greeted U.S. generals and government official
- Provided necessary information and answered questions related to business area
- Provided special assistance to disable veterans when needed
- Took reservations and checked general officers in and out of the quarters
- Obtained information from the officers and entered data into the computer
- Date stamped, sorted, and racked incoming mail and messages.
- Answered inquiries pertaining to guest services and registered guests;
- Kept records of room availability and guests' accounts.
- Computed bill, collected payment, and makes change for guests.
- Determined eligibility of the guest and confirmed reservations.

# Resume

# Molly W. Bowles 5700 Trinity Church Road Church Road, VA 23833

Contact phone numbers: 804-720-74833; 804-712-4133

Career Objective: To obtain work that is engaging, challenging, and rewarding. To be able to contribute my best towards the growth and organization of the company through management, leadership, and organizational skills.

### **EDUCATION SUMMARY:**

High School: Brunswick Academy, Lawrenceville, VA; honors graduate 1998 College: Southside Virginia Community College, Alberta, VA; AAS in 2002;

Radford University; Radford, VA

Old Dominion University, Norfolk, VA; BS in Psychology and Criminal Justice in 2014

### SKILLS AND TRAINING:

Critical Incident Stress Management certified; Medication Training Certificate- 40 hour course; CPR/AED and First Aid- expires in 2017; TOVA certified since 2003; Proficient in Microsoft Office suite; Experience with Legacy and PeopleSoft systems; Experience with PMIS and CIPPS payroll systems; Experience with Paychex Flex system; experience with ALPHA-CM online client medical database.

# PROFESSIONAL EXEPERIENCE:

Current Employer: Gateway Homes, Inc., Chesterfield, VA

Dates of Employment: May 2008 to current

Supervisor: Lynda J. Hyatt, Ph.D., Executive Director Current Job Title: Director of Administration and HR

Duties: Manage the Human Resource Office; Manage the Administrative Office; Screen applications; Set up employee records; Coordinate intake and financial arrangements for clients; including DAP contracts; Manages the Critical Incident Training on campus; Assist in the daily operations of campus; functions as a member of the clinical meeting weekly; offers creative input to program development and problem solving; interfaces with employees and outside agencies often; attends Board of Directors meetings and functions as secretary; Upholds all regulations that are required of the program for DBHDS, Health Department, Fire and Emergency, and Human Rights; Manages Employee's benefits; Management all insurance policies such as General Liability, Professional Liability, Worker's Comp, etc.

Richmond Behavioral Health Authority; Richmond, VA

Dates of Employment: July 2005 to May 2008

Supervisor Arnold Woodruff, Region IV Project Manager

Job Title: Administrative Coordinator

<sup>\*</sup>Notary Public since 2010

<sup>\*</sup>Licensed as an Administrator for Adult Living Facility since 2010

Duties: Keep statistical records for team; kept up correspondence with attorneys, judges, and any other outside parties; maintained database for clients; managed office; ordered office supplies; communicated with Central State Hospital for court orders, list of active clients and updated them on client's progress; prepared reports for each Community Services Boards in Region IV monthly; prepared reports for the Region IV Consortium; maintained and tracked all Jail Diversion Services data; set up files and maintained them on clients.

Central State Hospital; Petersburg, VA

Dates of employment: February 2003 to July 2005

Supervisor: Spence Timberlake, MSW, Admission Coordinator of Forensic Unit Job Title: Administrative Assistant to the Forensic Director and Coordinator Duties: Assisted Coordinator and Director with admissions and other assigned projects; maintained and tracked Forensic Court Orders database for hospital and tracked data in Excel sheets with forensic admissions; ran reports monthly and upon request for Department of Mental Health and other parties; maintained client's admission files and worked to get needed documents in for admission; worked closely with attorneys, judges and jails to get client's admitted; scheduled admissions; served on Internal Forensic Privilege Committee as the secretary and sent out reports to Central Office; typed correspondence to FRP panel; worked with Evaluation Team on coordinating outpatient evaluations.

Southside Virginia Community College; Alberta, VA Dates of Employment: January 2002 to February 2003 Supervisor: Brent Richey, Director of Financial Aid

Job Title: Financial Aid Worker

Duties: Tracked funding sources for students; helped students fill out FAFSA forms for financial aid; updated database with client information helped manage office; covered for military aid coordinator when out of office; worked on other offsite campuses; SVCC and telnet sites; performed office duties as needed; typed file answered phone assisted students and any other duties as needed.

### COMMUNITY INVOLVEMENT:

Choir Director at Bethany United Methodist Church; Member of Children's Youth Ministries; Member of Council of Advocate of Petersburg District; Member of Administrative Counsel at BUMC; Past Member of IAAP; Participate in local Volunteer projects such as NAMI events; Heart Walk through Wal-mart Distribution Center and Bon Securs; Local Dinwiddie County Relay for Life; Kyle Petty's Victory Junction team for Autism

### PROFESSIONAL REFERENCES:

Shelia Brown, LCSW, D-19; 804-862-8011; ext 3030 Elizabeth Blankenship, LCSW, Gateway Homes; 804-357-0345 Beth Williams; Warren Whitney; 804-301-8009 Ben Winters; Winters Oliver Insurance Agency; 804-746-5178 ext 112

# **Technical Proposal**

Highly Intensive Residential Services Tab 2

**Section 5: Job Descriptions** 

# Gateway Homes, Inc. Executive and Clinical Director Job Description

Job Title: Executive and Clinical Director Program/Department: Administration

Supervisor: Gateway Board

Date: October 1, 2015

# **Position Summary:**

This position reports to the Board for Gateway Homes Inc. This position manages the following organizational functions: gives direction and leadership towards the achievement of Gateway Homes' philosophy, mission, strategy and its annual goals and objectives, provides leadership for the clinical program and associated services, implements the strategic goals and objectives of Gateway Homes, and with the Chairman of the Board, enable the board to fulfill its governance function. This position is exempt from the Fair Labor Standards Act.

# **Duties and Responsibilities:**

- Board administration and support: supports operations and administration of the board by advising and informing board members, interfacing between board and staff and providing documentation to support the Board's evaluation of the Executive Director:
- Financial, tax, risk and facilities management: recommends annual budget for Board approval and prudently manages Gateway Homes' resources within those budget guidelines according current laws and regulations;
- Human resources management: effectively manages the human resources of Gateway
  Homes according to authorized personnel policies and procedures that fully conform to
  current laws and regulations:
- *Public relations*: assures Gateway Homes and its mission, programs and services are consistently presented in a strong, positive image to relevant stakeholders;
- Fundraising: oversees fundraising planning and implementation including overseeing staff in identifying resource requirements, researching funding sources, establishing strategies to approach funders, submitting proposals and administrating fundraising records and documentation;
- Clinical programming and services: provides leadership as a licensed clinical
  psychologist for the clinical staff to ensure maintenance of quality control and utilization
  of best practice techniques in the delivery of services
- Community relations: maintains robust relationships with community mental health organizations and agencies universities and colleges and other professionals in the community.

# Minimum Knowledge, Skills, and Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related
  physical conditions and multiple treatment modalities for persons with serious mental illness;
- Knowledge of first-aid, behavioral management, personal and environmental hygiene;
- Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;

- Ability to engage, lead, and supervise staff in the design and implementation of rehabilitative activities, supportive counseling services, and 24 hour residential care;
- Ability to maintain effective working relationships with clients and other employees;
- Ability to provide leadership to Board, staff and community regarding the strategic management of the organization;
- Demonstrated history of positive interface and collaboration with other community resources;
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes;
- · Ability to manage financial resources of the organization;
- Ability to engage in effective development strategies for the organization.

# Required Experience or Professional Qualifications:

- Advanced degree in Behavioral Health and Management;
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to
  administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code
  of Virginia, as amended;
- Valid Driver's License and clean driving record;
- Trained in CPR, First Aid, and TOVA;

Lvnda J. Hyatt, Ph.D.

- Experience working with outside Mental Health Agencies and Forensics;
- · Experience in the Non-profit field preferred;
- At least five years of full-time experience in the care of persons with serious mental illness and supervisory experience;
- · Ability to work independently and to work effectively with the Board;
- · Capacity to work with mentally ill adults and their families;
- · Demonstrated initiative to problem solve and offer creative solutions;
- · Demonstrated ability to work as a team member;
- Demonstrated ability to manage organizational budget and finances.

Gateway Homes dated October 1, 2015.	

Date

I have received and reviewed a copy of the job description for Executive and Clinical Director at

# Gateway Homes, Inc. Clinical Operations Director Job Description

Job Title: Clinical Operations Director

**Program/Department**: Clinical **Supervisor**: Executive Director

Date: October 1, 2016

# **Position Summary**:

This position is responsible for management of the program. The position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Executive Director.

# **Duties and Responsibilities:**

- Supports the mission, vision and values of Gateway Homes, Inc.,
- Maintains standards of clinical care and compliance with all regulations applicable to the Program including licensing and human rights standards,
- Completes assessments for Prior Authorizations for Medicaid;
- · Provides clinical oversight of the day-to-day operations by ensuring
  - Mental health support services are consistent with the ISPs and program schedule of activities,
  - Psychiatric and medical needs are identified and appropriate follow-up care is arranged,
  - Case management needs are addressed,
  - o Schedules supervision of staff.
  - Interfacing with other professionals and family members
- Completes or assigns qualified staff to
  - o Comprehensive admission paperwork including all required assessments and ISPs,
  - o Quarterly ISP reviews,
  - Other written documentation including but not limited to shift reports, daily progress notes, serious incident reports, mental health support notes, and family and professional contacts.
- Provides mental health support, and involves residents in community activities as specified in the individual services plan,
- · Maintains a professional relationship with mental health agencies;
- Keeps current with all mandatory training requirements.

# Minimum Knowledge, Skills, And Abilities:

- Knowledge of the concepts of evidenced based practices and related physical conditions and multiple treatment modalities for persons with serious mental illness;
- Knowledge of the Principles of Recovery;
- · Knowledge of first-aid, behavioral management, personal and environmental hygiene;

- Ability to provide supportive counseling and rehabilitation services in a residential setting;
- Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;
- Ability to engage, lead, and supervise staff in the design and implementation of rehabilitative activities, supportive counseling services, and 24 hour residential care;
- Ability to maintain effective working relationships with clients and other employees.
- Ability to collaborate professionally with other agencies.

# Required Experience or professional qualifications:

- Must have a Professional License in counseling, social work or psychology.
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended.
- Must have 2 years experience working with SMI adults.
- Must have supervisory experience.

I have received and reviewed a copy of the job of Gateway Homes dated October 1, 2016.	description for a Clinical Operations Director at
Employee's Signature	Date

# Gateway Homes, Inc. Psychiatrist Job Description

Title: Psychiatrist

Department: Administration

Supervisor: Executive and Clinical Director

Date: October 1, 2015

# Summary:

This is an administrative position subject to the personnel policies of Gateway Homes and the direct supervision of the Executive and Clinical Director. The purpose of the position is to provide psychiatric services to Gateway Homes. This position is a contracted position with Gateway Homes.

# **Essential Duties and Responsibilities:**

- Provides direct care psychiatric services once each week to residents scheduled at Chesterfield Campus and every other month to residents in Fairfax;
- Available by pager or telephone for emergency psychiatric consultation, medication order clarification, medication order renewal, and consultation with inpatient treatment providers as needed,
- Provides psychiatric services to Gateway residents, including initial psychiatric
  evaluations: ongoing medication management and review; telephone consultation with
  Gateway staff for medication order clarification or renewal and during psychiatric
  emergencies; on-site consultation with Gateway staff for purpose of service coordination,
  treatment planning and case formulation; and completion of documents or other
  correspondence required (e.g., completion of forms for agencies such as Social Security
  Administration and payors such as Medicaid).
- Maintains appropriate records relating to all provided services (such records shall be and will remain the property of Gateway).
- Completes documentation required for licensing and reimbursement.

# Minimum Qualifications:

- · Licensed in the Commonwealth of Virginia as Psychiatrist
- Licensed by the DEA to administer controlled substances.

I have read and received a copy of the job description for Psychiatrist dated October 1. 2015.

Signature Date

# Gateway Homes, Inc. Staff Nurse Job Description

Title: Staff Nurse

**Department**: Group Home **Supervisor**: Program Manager

Date: October 1, 2016

# Summary:

The Staff Nurse is responsible for oversight of the nursing, medication and medical needs of the residents in a group home. This position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes. This position reports to the Program Manager.

# **Essential Duties and Responsibilities:**

- Orders medication from pharmacy, check medications against Doctor's orders, stock the
  medication cart, and maintain the medications in the medications cart in keeping with
  nursing and pharmacy standards and practices,
- Ensures that lab work is completed as ordered,
- Assists with on-site psychiatrist during medication management and review to provide feedback regarding resident symptom presentation and progress,
- Transcribes all Doctor's orders,
- · Assesses resident's medical needs and schedules medical appointments as needed,
- · Maintains a schedule of IM medications and administers as scheduled,
- Administers and monitors medication as prescribed; ensures appropriate documentation, educates, monitors and coaches residents as needed to ensure residents understand the purpose and importance of taking medications as prescribed,
- Assists residents with scheduling needed medical appointments, including annual physical examinations,
- Ensures monthly blood pressures and weights are recorded on each resident or as ordered by the Doctor,
- Reviews all MARs on a weekly basis and provides the Program Manager with a result of the review,
- Completes required documentation, including, but not limited to, shift reports, progress notes, and serious incident reports,
- Performs other duties as requested by the Program Manager or immediate supervisor,
- · Supports the mission, vision and values of Gateway Homes,
- Assists the Program Manager and co-workers by being a proactive and engaged member of the team,
- Keeps current with all mandatory training requirements, including, but not limited to, CPR, First Aid, and TOVA certificates,
- · Adheres to the personnel policies of Gateway Homes, Inc.,
- Reports directly to the Fairfax Program Manager.

# Minimum Knowledge, Skills, and Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of nursing care and practices, first aid, behavioral management, personal and environment hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' medical conditions, behavior, attitude, and physical condition
- · Ability to communicate effectively, both orally and written
- · Ability to maintain effective working relationships with others employees and clients

# Required Experience or professional qualifications:

- Licensed as a practical nurse, or licensed as a registered nurse
- One year of full time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.

I have read and received a copy of the job description for Staff Nurse dated October 1, 2016.

Employee Signature	Date	

# Gateway Homes, Inc. Team Leader Job Description

Job Title: Team Leader Program/Department: Clinical Supervisor: Program Manager

Date: October 1, 2016

# **Position Summary:**

This position is responsible for management of the program for the daily operations. The position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Program Manager.

# **Duties and Responsibilities:**

- · Supports the mission, vision and values of Gateway Homes, Inc.,
- Maintains standards of clinical care and compliance with all regulations applicable to the Program including licensing and human rights standards,
- Provides oversight of the day-to-day operations by ensuring
  - Mental health support services are consistent with the ISPs and program schedule of activities,
  - Psychiatric and medical needs are identified and appropriate follow-up care is arranged,
  - o Case management needs are addressed,
  - Supervision of the team functions effectively to meet the need of the individuals served,
  - o Interfacing with other professionals and family members
- Provides administrative oversight of the day-to-day operations by
  - o Making staff assignments,
  - o Arranging for physical plant and vehicle cleaning and repairs as needed, and
  - Ensuring shopping is completed for food and other supplies.
- · Completes or assigns qualified staff to complete
  - o Initial ISP and Quarterly ISP reviews,
  - Other written documentation including but not limited to shift reports, daily progress notes, serious incident reports, mental health support notes, and family and professional contacts.
- Provides mental health support, and involves residents in community activities as specified in the individual services plan,
- · Keeps current with all mandatory training requirements.

# Minimum Knowledge, Skills, And Abilities:

 Knowledge of the concepts of evidenced based practices and related physical conditions and multiple treatment modalities for persons with serious mental illness;

- Knowledge of the Principles of Recovery;
- · Knowledge of first-aid, behavioral management, personal and environmental hygiene;
- · Ability to complete documentation in a thorough and timely manner;
- · Ability to provide supportive counseling and rehabilitation services in a residential setting;
- Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;
- Ability to engage, lead, and supervise staff in the design and implementation of rehabilitative activities, supportive counseling services, and 24 hour residential care;
- Ability to maintain effective working relationships with clients and other employees.
- Ability to collaborate professionally with other agencies.

# Required Experience or professional qualifications:

- Must have a minimum of a Bachelor's degree in counseling, social work or psychology.
   Masters degree preferred.
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified
  to administer medications in accordance with the requirements of §54.1-3408 et seq. of
  the Code of Virginia, as amended.
- Must have 1 year of experience working with SMI adults.
- Must have supervisory experience.

I have received and redated October 1, 2016	e job description	for a Team Lo	eader at Gatew	ay Homes
Employee's Signature		Date		

# Gateway Homes, Inc. Recovery Support Specialist Job Description

Job Title: Recovery Support Specialist

Program/Department: Clinical Supervisor: Program Manager

Date: October 1, 2015

# Position Summary:

This position is responsible for providing direct care, case management and mental health support to individuals with serious mental illness in a residential setting. The position is non-exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes, Inc. This position reports to the designated Program Manager.

# **Duties and Responsibilities:**

- · Supports the mission, vision and values of Gateway Homes, Inc.,
- Adheres to the personnel policies of Gateway Homes, Inc.,
- Assists the Program Manager in maintaining standards and regulations that are required by the program,
- Supports the Program Manager and co-workers by being a proactive and engaged member of the team.
- Participates in clinical meetings,
- Provides mental health support and psychosocial rehabilitation to residents as specified by their ISP.
- Participates in group development, facilitation and documentation,
- · Involves residents in community activities as appropriate.
- Keeps current with all mandatory training requirements including but not limited to CPR, First Aid, and TOVA.
- Administers and monitors medication as prescribed; ensures appropriate documentation; educates, monitors and coaches residents as needed to ensure residents understand the purpose and importance of taking medications as prescribed,
- Provides therapeutic supervision including monitoring, mentoring, case management and interacting with residents,
- Assists residents with meal preparation, nutritional intake and daily care and living activities,
- Monitors the physical environment of the facility and its equipment; takes appropriate
  measures to correct any identified safety hazard; ensures environment is clean and orderly.
- Provides transportation as assigned by the Program Manager,
- Completes required written documentation including but not limited to shift reports, daily
  progress notes, serious incident reports, mental health support notes, family contacts, and
  professional contacts,

Performs other duties as requested by the Program Manager.

# Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of simple nursing care, first-aid, behavioral management, personal and environmental hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- Ability to engage in the care, training, and rehabilitation of seriously mentally ill clients
- Ability to provide basic personal care and hygiene
- Ability to perform established training, care, and programmatic activities
- · Ability to teach clients eating, bathing, dressing, grooming, and other self-care skills
- Ability to participate with professional staff in the design and implementation of training and programmatic activities
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' behavior, attitude, and physical condition
- Ability to perform simple math and communicate effectively, both orally and in writing
- Ability to maintain effective working relationships with clients and other employees

# Required Experience or professional qualifications:

- Education equivalent to graduation from college with a major in human services and at least 21 years of age. Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended.
- One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.

I have received and reviewed a copy	of the job description for a	Recovery Si	upport Specialist at
Gateway Homes.			

Employee's Signature	Date	

# Gateway Homes, Inc. Peer Support Specialist Job Description

Job Title: Peer Support Specialist Program/Department: Clinical Supervisor: Program Manager

Date: October 1, 2015

# **Position Summary:**

This position is responsible for providing support and guidance to individuals with serious mental illness in a residential setting. The position is non-exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes, Inc. This position reports to the designated Program Manager.

# **Duties and Responsibilities:**

- · Supports the mission, vision and values of Gateway Homes, Inc.,
- Adheres to the personnel policies of Gateway Homes, Inc.,
- Assists the Program Manager in maintaining standards and regulations that are required by the program,
- Supports the Program Manager and co-workers by being a proactive and engaged member of the team.
- · Provides peer support to individuals as deemed appropriate,
- · Involves residents in community activities as appropriate,
- · Keeps current with all mandatory training requirements,
- Provides therapeutic supervision including monitoring, mentoring, facilitating groups, and interacting with residents,
- · Assists residents with meal preparation, nutritional intake and daily care and living activities,
- Educates, monitors and coaches residents as needed to ensure residents understand the purpose and importance of taking medications as prescribed,
- Performs other duties as requested by the Program Manager.

# Minimum Knowledge, Skills, And Abilities:

- Completion of the NAMI peer to peer counseling program:
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes:
- Ability to engage peers in skills development;
- Ability to participate with professional staff in the design and implementation of training and programmatic activities;
- Ability to observe the rights and personal dignity of others;

- Ability to interact therapeutically with peers;
- Ability to maintain effective working relationships with clients and other employees:
- Must be able to stand or sit for entire shift and be able to lift at least 25 lbs.

# Required Experience or professional qualifications:

- Must have high school diploma or equivalent. Training in Peer Counseling offered by NAMI required.
- One year of full-time or equivalent part-time paid or volunteer experience in the mental health field or equivalent experience.

I have received and reviewed a copy of the job description for a Peer Specialist at Gateway

Homes dated October 1, 2015.	
Employee's Signature	Date

# **Technical Proposal**

Highly Intensive Residential Services Tab 2

# Section 6: Policy and Procedures Manual

(see separate binder)

# **Technical Proposal**

Highly Intensive Residential Services Tab 2

Section 7: Staffing Plan

# Staffing Schedule for Gateway Hon (), Inc. - ICRT Program (Annandale)

July 31 - August 6		Monday 31	Tuesday 1	Wednesday 2	Thursday 3	Friday 4	Saturday 5	Sunday 6
17a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
179-04	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #8
8a-4n	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #7
dr ap	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
4n-12a	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
TP-154	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			12pm - 8pm	Arlington ICRT	12pm - 8pm	Arthngton ICRT	12pm - 4pm	
Nurse		8am - 4pm	Arthugton ICRT	8am - 4pm	Artington ICRT	8am - 12pm		
August 7 - 13		Monday 7	Tuesday 8	Wednesday 9	Thursday 10	Friday 11	Saturday 12	Sunday 13
17a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
150.00	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #
8a-4n	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #71
dr ap	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
4n-12a	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
P77-d1	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			12pm - 8pm	Arlington ICRT	12pm - 8pm	Arlington ICIC	12pm - 4pm	
Nurse		8am - 4pm	Actington ICRT	8am - 4pm	Artington CRT	8am - 12pm		
August 14 - 20		Monday 14	Tuesday 15	Wednesday 16	Thursday 17	Friday 18	Saturday 19	Sunday 20
17a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #8
8a-4n	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #7
d. no	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
4n-12a	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
mar d.	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			12pm - 8pm	Arthington ICRT	12pm - 8pm	Arthrigton ICRT	12pm - 4pm	
Nurse		8am - 4pm	Ardington ICRT	8am - 4pm	Arlington ICRT	8am - 12pm		
August 21 - 27								
12a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #8
8a-4n	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #7
di no	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
4n-12a	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
par di	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			12pm - 8pm	Arlington ICRT	12pm - 8pm	Arlington ICRT	12pm - 4pm	
Nurse		Ram - 4nm	Arbnerge CPT	8am - 4nm	Indian constant	00m 17mm		

# Staffing Schedule for Gateway Homes, I - ICRT Program (Currently Arlington)

July 31 - August 6		Monday 31	Tuesday 1	Wednesday 2	Thursday 3	Friday 4	Saturday 5	Sunday 6
172-82	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
174-04	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #8
Qn. An	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #7
04.46	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
4n-12a	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
4h-17q	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			Annandale ICRT	12pm - 8pm	Annandale ICRT	12pm - 8pm	4pm - 8pm	
Nurse		Armandale ICRT	8am - 4pm	Amnandale ICRT	8am - 4pm	12pm - 4pm		
August 7 - 13		Monday 7	Tuesday 8	Wednesday 9	Thursday 10	Friday 11	Saturday 12	Sunday 13
172.82	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
174-04	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #
02.42	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #7
04-46	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
An 172	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
4b-17a	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			Annandale ICRT	12pm - 8pm	Annandale ICRT	12pm - 8pm	4pm - 8pm	
Nurse		Annandale ICRT	8am - 4pm	Annandale ICRT	8am - 4pm	12pm - 4pm		
August 14 - 20		Monday 14	Tuesday 15	Wednesday 16	Thursday 17	Friday 18	Saturday 19	Sunday 20
172-82	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
179-09	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #8
82-An	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #7
od-tp	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
4n.12a	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
14. Tea	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			Annandale ICRT	12pm - 8pm	Annandale ICRT	12pm - 8pm	4pm - 8pm	
Nurse		Annandale ICRT	8am - 4pm	Annandale ICRT	8am - 4pm	12pm - 4pm		
August 21 - 27		Monday 21	Tuesday 22	Wednesday 23	Thursday 24	Friday 26	Saturday 26	Sunday 27
173-83	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #3	PRN RSS #3	PRN RSS #3	PRN RSS #7
150 00	Recovery Specialist	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #4	PRN RSS #4	PRN RSS #4	PRN RSS #8
8a-4n	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS # 5	PRN RSS #7
di no	Recovery Specialist	RSS #1	RSS #1	RSS #1	RSS #1	RSS #1	PRN RSS #6	PRN RSS #8
4n-12a	Recovery Specialist	RSS #2	RSS #2	RSS #2	RSS #2	RSS #2	PRN RSS #5	PRN RSS #5
ner d.	Recovery Specialist	RSS #3	RSS #3	RSS #3	RSS #3	RSS #3	PRN RSS #6	PRN RSS #6
Peer Specialist			Annandale ICRT	12pm - 8pm	Annandale ICRT	12pm - 8pm	4pm - 8pm	
Nurse		Annandale ICRT	8am - 4pm	Annandale ICRT	8am - 4pm	12pm - 4pm		

**TECHNICAL PROPOSAL:** 

**Supervised Residential Services** 

# Statement of Qualification

 Organizational and Staff Experience: Offerors must describe their qualifications and experience to perform the level of service proposed. Include information relative to implementing recovery model practices in the SMI population and experience as a partner in a system of care. Include experience in crisis intervention services to reduce hospitalizations. Qualified offerors must demonstrate at least five (5) years of experience providing integrated care and implementing recovery model practices in the SMI population.

Response: Gateway Homes, Inc. has been providing residential treatment services to adults with serious mental illness for the past 33 years. Of the 110 individuals served annually through the Chesterfield program, approximately 40 percent have a legal status of Not Guilty by Reason of Insanity (NGRI). More specifically, since July 2011, Gateway has operated an ICRT in Annandale, Virginia serving eight individuals discharged directly from Northern Virginia Mental Health Institute in partnership with the Northern Virginia Regional Projects Office.

Gateway Homes, Inc. originally incorporated as a non-profit organization in December, 1983. Gateway was founded by two families who had adult children with mental illness and did not want their children to live the remainder of their lives in a state hospital. The mission of Gateway Homes is to provide transitional residential treatment to adults diagnosed with mental illness who are striving to live independently. The vision of Gateway is to make recovery a reality for adults who are seeking independence.

The main campus of Gateway Homes is located on 40 acres in Chesterfield, Virginia. The campus houses 16 individuals in a Supported Living Center providing supervision 24 hours per day seven days per week. Three buildings exist for the Supportive Apartment Program with a total of 14 units housing 25 individuals as follows: one efficiency apartment, four single apartments and ten two bedroom apartments. Staffing for the apartments is available 14 hours per day seven days per week. Additional services are available as individuals' transition to the community and chose an apartment option usually with a roommate due to budgetary considerations. Gateway continues to provide supportive services including access to all activities, the outpatient clinic and the vocational program. Participation in all or part of these services is entirely optional depending upon the desires of the individual. Currently Gateway is serving 41 individuals in housing on campus and an additional 17 in the community setting. Of the 41 individuals on campus 40 percent have a legal status NGRI, are on 48 hour passes or conditional release and require additional reporting to the NGRI coordinators and ultimately to the court. Gateway also provides psychosocial rehabilitation services to six individuals from Central State Hospital who are on eight hour passes and participate in activities on campus two days per week.

In July 2011, Gateway Homes, Inc. entered into a contract with Health Planning Region II to provide staffing and services for an eight bed Intensive Care Residential Treatment (ICRT) Facility in Annandale, Virginia. This contract expires June 30<sup>th</sup>, 2017 and this proposal will include our rebidding for that program. Fairfax-Falls Church Community Services Board is the fiscal agent for this contract. The individuals are admitted directly to the ICRT from Northern

Virginia Mental Health Institute and present with many challenging behaviors and needs as they leave the hospital after varying periods of institutionalization. During the past five years Gateway has been able to transition five of these residents to less restrictive environments. Currently there are two additional residents who are waiting for placement in a lesser restrictive setting having met their goals as indentified in their individualized treatment plan. This facility provides significant crisis intervention skills that reduce the burden to local emergency services and Merrifield center by providing on site crisis assessment and intervention. Gateway feels it is important to offer understanding and compassion for this particularly challenging level of care and makes every effort to avoid hospitalization. In five years, only one person was unable to return to the program after having twice threatened to kill a staff person and returned to Northern Virginia Mental Health Institute. Several consumers have benefited from in house crisis intervention and avoided arrest, hospitalization, and/or removal as a result of goal directed behavior.

Gateway Homes, Inc. has also partnered with Fairfax Falls Church Community Services Board through a Memorandum of Agreement. Gateway Homes, Inc., as a non-profit organization was able to purchase property in Lorton, Virginia which was used to provide housing to individuals who are indigent and diagnosed with a serious mental illness but receive mental health services through Fairfax-Falls Church Community Services Board. This program was closed in July of 2016 and the home is currently available for our use; however, we have not yet decided upon its next inception.

Most recently, Gateway partnered with the Department of Behavioral Health and Development Services (DBHDS) and Health Planning Region V (HPR V) to open an Intensive Community-Based Residential Treatment (ICRT) home and a Transitional Supportive Living home in the Williamsburg area. Gateway Homes, Inc. is totally committed to serve the population of individuals from Eastern State Hospital who have been institutionalized in state hospitals and have varying and challenging behaviors associated with their mental illnesses. Gateway is committed to working with individuals, civil or forensic or others, who have not been successful in other placements.

 Licensure and Certifications: Offerors must include verification of eligibility and/or application for appropriate licensure at time of proposal submission or the service level proposed (see Section 6.1) and all other applicable certifications or accreditation of the organization.

Response: Gateway currently holds licenses issued by the Department of Behavioral Health and Developmental Services as follows: Supervised Living Services, Outpatient Clinical Services, Group Home, Mental Health Skills Building and Psychosocial Rehabilitation. These licenses all expire in November 2017. Dr. Hyatt holds the following credentials: Licensed Clinical Psychologist, Licensed Assisted Living Facility Administrator and Perceptor, Certified Sex Offender Treatment Provider, Certified Forensic Evaluator for Adults and Juveniles.

Once sites have been located and obtained, Gateway will engage in a licensing modification request for each location as is required by DBHDS.

3. <u>References</u>: Offerors must provide at least three references for similar or related programs and services performed and include organization name, description of the work performed, organization address, and names of contact persons with telephone numbers and email addresses at the organization. Only one reference may be from Fairfax County.

Response: Please find attached three letters of reference.

4. <u>Personnel</u>: Offerors must identify all full-time and part-time staff, proposed consultants and subcontractors who may be assigned to the service level proposed. Information is required which will show the qualifications of the work group assigned to the service proposed and recent relevant experience. Special mention shall be made of direct supervisors and key personnel, and approximate percentage of the total time each will be available to the level of service proposed. The technical areas, character and extent of participation by any subcontractor or consultant activity must be indicated and the anticipated sources identified.

# Response:

- Lynda Hyatt, Ph.D. will be responsible for executive oversight of the program. She currently serves as Gateway's Executive and Clinical Director. Dr. Hyatt is a licensed clinical psychologist with 25 years of experience working with community mental health. She is a forensically trained psychologist and is intimately acquainted with the forensic population and the NGRI process. Initial time commitments will equal 1/3 of her time per week with a decrease to 1/5 per week after the first 4 6 months depending upon the progress of the project and the need for immediate oversight.
- Catherine Powell, MSW, LMHP-S will be responsible for operational oversight of all programs directly related to this proposal. She has been the facility director for the ICRT in Annandale for five years and has 8 years of community mental health experience. She specializes in person centered care and utilizes a recovery-focused approach. She is currently under licensure supervision with an expected completion of October, 2017. Initial time commitments will equal 100% of her time per week overseeing the day to day operations of all facilities directly related to this proposal.
- Sridhar Yaratha, M.D. will be responsible for medication management and consultation. He is a forensically trained psychiatrist.
- Molly Bowles, BS currently serves as the Director of Admissions and Administration and is responsible for human resources for the staff of the Annandale ICRT.
- As this would be an expansion of our current services, Gateway would initiate hiring for the positions needed. All individuals will qualify as per DBHDS standards and will conform to the job description required education and experience as noted in the scope of work section that follows.

Resumes of staff and proposed consultants are required indicating education, background, recent relevant experience for the service proposed. Current telephone numbers and email addresses must be included.

Response: Please find attached the resumes for all staff for the program.

# Technical Approach for the Service Level Proposed

Scope of Work: The offeror must provide a detailed scope of work that includes a
discussion of the tasks and requirements listed in Sections 5 (as appropriate) and Sections
6-7.

Response: Gateway proposes to open congregate living environments, supervised living residences, housing 8 individuals at each facility. Due to the increased capacity reflected in Addendum 1, Gateway would offer to open 5 such group homes serving a total initial capacity of 40 consumers.

In addition to this, and to meet the minimum startup capacity, Gateway does currently have a property that can house 4 individuals and is ready for occupancy and is available for the use of this proposal. The home is in Fairfax County and has been licensed through another vendor in the past. The address of the home is 7591 Aspenpark Road and located in Lorton, Virginia 22079. This home is a townhome end unit. A licensing modification will be sought immediately upon bid award, if awarded, to reflect Supervised Living Services at this address. Mental Health Skills Building Services may also be provided. Please see the Residential Sites section for additional information regarding this property.

As capacity needs increase, Gateway would propose to open a home for 8 individuals at a time and the cost of such openings, annual costs, and start up costs are reflected in the cost proposal.

All facilities related to Supervised Living will provide supervision 24 hours per day, seven days per week to each consumer. Consumers will be provided with wrap-around case management and mental health supports with a goal of transitioning individuals in care to a less restrictive environment in a consumer-paced and consumer-directed way. Consumers are encouraged to have a high level of involvement in treatment choices and engage in the process of recovery, as they define it.

- Upon consumer identification, the Clinical Operations Director and facility Team Lead will
  participate in admission and discharge planning meetings with the identified consumer, the
  identified discharge planner and the consumer's treatment team at Northern Virginia
  Mental Health Institute (or other current service provider) to coordinate transition of care
  with the consumer's full involvement and awareness.
- Coordination will be communicated to the Northern Virginia Regional Projects Office
  Clinical Supervisor regularly for Health Planning Region admission and to the FairfaxFalls Church liaison for any program related to Fairfax-Falls Church CSB. At a minimum,
  the Clinical Operations Director will plan to participate in a monthly face to face meeting
  with these individuals and will include facility team leaders, as appropriate.
- A utilization report to indicate the number of bed days provided for consumers referred will be provided monthly. Additionally, Gateway will provide written quarterly reports and

verbal updates as needed to each Fairfax-Falls Church Community Services Board representative and the Clinical Supervisor for the NVRPO, as indicated.

• Upon admission, the consumer will be provided an in-depth assessment of their historical treatment and a comprehensive review of documentation which will be incorporated to identify challenges with previous unsuccessful placements. The consumer will be charged with identifying their recovery goal which will be utilized to develop a Person Centered Plan (PCP) to work towards their goal. This document will drive the services provided. Should a consumer identify a goal that may appear unattainable, staff is trained in supporting the consumer to identify steps in reaching the goal and beginning with the most basic of those, typically, managing mental health symptoms effectively and learning social cues.

# Staffing:

- Clinical Operations Director: The homes will receive administrative support from a master's level, licensed-eligible and/or licensed mental health professional who manages the operations of all services within the scope of this proposal.
- O Team Leader: Each facility will be provided oversight by, at a minimum, a Qualified Mental Health Professional, who will complete quarterly reports for each consumer in the facility they manage, which will then be provided to the Health Planning Region for dissemination to the Regional Aftercare Managers for those referred by the Northern Virginia Regional Projects Office and to the Fairfax Falls Church Community Services Board personnel.
- O Recovery Support Specialist: Daily, the consumer will be supervised by two staff, 13-hours per day (8am 9pm), who qualify as Qualified Mental Health Professionals (QMHP) and/or Qualified Paraprofessionals in Mental Health (QPPMH). Between the hours of 9pm 8am, there will be a minimum of one staff person awake and on duty. Staff will be on site 7 days per week, 365 days per year. All staff will be required to meet the education and experience necessary to adhere to license requirements from the Department of Behavioral Health and Developmental Services (DBHDS).
- In addition to coverage staff, the consumers will have access to the same outpatient services team all Gateway consumers are able to access as outlined below.

# · Staff Training, Resources and Evaluation

- Staff will be provided with extensive orientation/training and annual retraining for Therapeutic Options of Virginia (TOVA), CPR/AED, Medication Administration and Human Rights. All staff will be required to remain current in all trainings. In addition to these trainings, staff will be provided emergency management and crisis intervention training annually and at hiring to ensure a safe environment and consistency in managing crisis. Staff is also offered enrichment trainings to continue to develop professionally.
- Staff will be provided access to facility vehicles that they may use to transport consumers to appointments in the community, enrichment activities, one to one outings, and shopping outings. Staff's driving records will be monitored to ensure they are safe drivers and in compliance with Gateway's driving policy.
- Staff will be evaluated annually and offered frequent supervision to communicate best practices and team build regarding interventions with consumers.

- Oconsumers will be assigned a case manger who works full time at the facility, and engages with this individual to ensure PCP adherence, and provides feedback to all other staff regarding the consumer's needs and/or items of note. These individuals, along withan outpatient services team, deliver the comprehensive services.
- The outpatient services team consists of a Psychiatrist who will visit the area every six to eight weeks after initial assessment and provide medication management. The Psychiatrist will also be available for on call medication emergencies and consultations.
- O Also, on this team, will be a Licensed Practical Nurse (LPN) who manages the physical medications, ensures medication administration documentation is accurate, ensures intra-muscular long-acting anti-psychotic medications are administered on schedule, manages the Clozaril registry, provides access and coordination for routine and physician-ordered lab draws, and manages the physical health and dental conditions, including primary care physician contact for every consumer.
- Consumers will also able to work with a Occupational Therapist on the team to develop an employment plan, which will be vital to individuals at this level of care and can incorporate employment goals, pre-vocational work, educational goals, volunteer goals, and/or day activity support.
- Another team member will be a Licensed Clinical Psychologist who is trained as a behavioral specialist and is available on an as needed basis to support staff with the development of support plans.
- O The final member of this team will be a Peer Specialist. This individual is in addition to the two scheduled staff (not in coverage) and will provide peer support 20 hours per week at each facility. This individual's main role will be to provide consumers with support to work towards their goals; however, they also support individuals during medication management meetings if they so choose, supports consumers who require community one to one support during outings, and works to support individuals who are transitioning to the home to develop rapport and a community with peers in the home.
- Consumers will be offered support with developing appropriate, safe, and hygienic independent living skills. These skills include activities of daily living, medication education/monitoring, meal preparation/planning, budget development, personal environment management, travel training on mass transit, health management development, and socially-appropriate behavioral training. All staff is trained to provide mental health skills building to the consumer in accordance with their PCP. These sessions occur on a one to one basis daily and may include, as appropriate and indicated, substance abuse treatment support and community based symptom management.
- Additionally, consumers will be offered 5 8 groups per week where they work together on
  developing independence. These groups are developed with the consumer's feedback and
  input about topic of interest and change quarterly. Consumers will be encouraged to
  identify a day activity to become involved in as per their goals. Some may be involved in
  day programming; others may be working or volunteering. Staff will support consumer to
  identify opportunities and work towards participation in those activities.
- The consumers will also be offered community-based activities, both individual and group.
   Weekly, consumers are encouraged to participate in a shopping outing using their personal funds budgeted with a staff person. Also, during weekends, consumers are offered the

opportunity to have a recreational outing on both Saturday and Sunday. The consumers will be offered many opportunities to practice and continue to develop independent living skills while in the community to move continually towards the consumer's identified recovery goals.

- Staff will coordinate the use of outside community supports, if the consumer chooses, and
  may include travel training with ENDependence, Inc., day programming with the
  Consumer Wellness Center of Falls Church, and/or programs within their catchment area,
  when appropriate and available.
- Staff will coordinate with the consumers in the completion of custodial and housekeeping
  activities to ensure a clean, sanitary and well maintained environment. Each consumer will
  be offered an assigned day to complete laundry and be provided support to ensure clothing,
  linens, and towels are kept hygienic; however, should an incident occur where laundry
  completion is needed, they will be offered alternative times to complete laundry.
- Finally, consumers will be provided nutritional meals three times per day with snacks between meals. These meals will have consumer input and feedback to ensure incorporation of the consumer's preferred and/or medically prescribed diet and cultural preferences. Each team lead will hold a current food handler's certification to ensure awareness of safe food practices. Additionally, all staff will be provided training on food safety and health and hygiene practices to ensure a healthy environment. Consumers will prepare meals with staff's supervision and support as part of their continued movement towards independence. During admission and at any time, the consumer is able to identify any dietary restrictions and/or preferences. Reasonable accommodations will be made and will be reflected in food choices available at all times.
- 2. Preliminary Work Plan: The offeror must present a description of the phases or segments into which the proposed work can logically be divided and performed including start-up, operating and close-out phases for each service proposed. The narrative should address each applicable task required in Section 5 and the licensing and other requirements in Section 6. Discussion should be keyed to appropriate paragraph numbers in this RFP and should include detailed descriptions of activities that are to occur, significant milestones, and anticipated deliverables. In presenting the Work Plan the offeror must present a detailed description of the start-up and close-out activities including transition activities that will occur, anticipated deliverables and timelines. The offeror's transition plan for the start-up period from the date of award to June 30, 2017 shall include a description of securing and furnishing housing sites, inspections, hiring background checks and training, managing the transition of client data and establishing other infrastructure as necessary (i.e. information technology, subcontractors, etc.). The offeror shall include discussion of proposed closeout activities for the end of the contract term.

<u>Preliminary Work Plan</u>: The offeror must present a description of the phases or segments into which the proposed work can logically be divided and performed including start-up, operating and close-out phases for each service proposed. The narrative should address each applicable task required in Section 5 and the licensing and other requirements in Section 6. Discussion should be keyed to appropriate paragraph numbers in this RFP and should include detailed descriptions of activities that are to occur, significant milestones, and anticipated deliverables. In presenting the Work Plan the offeror must present a detailed description of the start-up and

close-out activities including transition activities that will occur, anticipated deliverables and timelines. The offeror's transition plan for the start-up period from the date of award to June 30, 2017 shall include a description of securing and furnishing housing sites, inspections, hiring background checks and training, managing the transition of client data and establishing other infrastructure as necessary (i.e. information technology, subcontractors, etc.). The offeror shall include discussion of proposed closeout activities for the end of the contract term.

# Response:

- Start-Up (Period from award of contract through June 30<sup>th</sup>, 2017)
  - Should Gateway be awarded the contract for Supervised Residential Services, the following start up activities would ensue:
    - Consumer Related Start Up Items
      - Gateway will reach out to the current service provider and seek a
        meeting to discuss a transition of care. A plan will be developed with
        input from the existing service provider, Gateway, and the consumers
        who will transition
      - The Clinical Operations Director will take a lead in the transition of client data including, but not limited to psychiatric assessment, individualized service plans with reviews, medication evaluations, and progress notes. This process will ensure a therapeutic transition of care.
      - The Clinical Operations Director and Team Leader will also meet with each consumer to be transferred and develop a Preliminary Person Centered Treatment Plan including the consumer's goal statements and their ideas of how to approach each goal.
      - Upon completion of their training, the staff who will work in this
        facility will begin, with the approval of the current vendor, visiting the
        consumers and developing rapport with them, identifying goal work,
        and seeking out recovery-focused goals.
    - Staffing Related Start Up Items
      - Once a plan is in place, Gateway will advertise for staff and plan to hire a team leader, five full time equivalent for each facility.
      - Human Resources will hire and onboard the appropriate, qualified individuals and they will begin a thorough training process.
      - Upon completion of training, all staff will be included in the transition of care, engaging clients, building rapport and helping them move into the new facility.
        - Training will include licensing training, human rights training, food handling, driver's training, emergency procedure training, documentation training, TOVA training, medication administration training, and education concerning programming development and implementation.
    - Facility Related Start Up Items As a preliminary plan to begin the programs, Gateway will review selective available properties that will accommodate 8 individuals for the needed housing unit. Within the first two weeks, appropriate, affordable rental

housing will be identified within Fairfax County and negotiations will ensue with the leasing agent and/or owner.

- Once a lease has been completed, Gateway will obtain the required occupancy certifications to submit to DBHDS for license modification.
- Gateway will submit a licensing modification to include the second home.
- Gateway hopes to have a home secured within two months of contract award.
  - While DBHDS licensing is reviewing the proposed modification, the following activities will be completed:
    - Locate, purchase, and install all appropriate furniture and home furnishings.
    - Install fire extinguishers, AED, medication carts, and all other DBHDS required items to ensure a safe, calming, and licensing-approved environment.
    - Prepare the homes for the arrival of consumers on July 1<sup>st</sup>, 2017.

- Operating
  - The day to day activities within the home would be structured.
    - Programming Schedule
      - Each day the consumers will be offered a variety of choices for activities. A programming schedule will be developed with the consumer's input to reflect their choices and needs. Some possible activities may include:
        - Participation in community-based drop in centers.
        - Participation in a Pre-Vocational program to develop employment skills.
        - In addition to these options, consumers will be offered individualized mental health skills building throughout the day in accordance with their Person Centered Plan.
        - Also, groups and activities will be scheduled every day of the week with the consumer's input.
          - There will be several psycho educational groups incorporating items from the consumer's plans and input from the consumers.
          - There will be a minimum of three outings each week.
          - There will be seasonally-appropriate additional outings.
          - There will be a minimum of one meal outing per month.
          - There will be a super secret outing once per month to develop adaptability and trust.
    - Facility and Daily Living Support
      - Each day, staff will be responsible for monitoring the environment and ensuring a safe and hygienic home. Skill education will be offered to

consumers on keeping their personal space and common areas clean and safe, as well.

- During the initial quarter, a safety groups will be scheduled to communicate safety practices and develop safety skills for each consumer that wishes to participate.
- Staff will also be ultimately responsible for preparing three meals that
  are described on a menu approved by a nutritionist daily and for
  providing two nutritious snacks per day, as well. Consumers will be
  encouraged to prepare meals to continue to move towards
  independence. Staff will be required to use hygienic food preparation
  methods and to educate consumers who wish to participate and
  develop their cooking skills to do so, as well.
  - During the initial quarter, a healthy cooking group will be scheduled to offer hygienic food preparation education to all consumers who wish to participate.

#### · Close-out

- Should Gateway not be awarded a contract to continue services at the end of the contract period, Gateway plans to initiate a therapeutic shift of services, including:
  - Meeting with the chosen vendor for the program and establishing a plan of transition within two weeks of contract award.
  - Offering consumer's recovery-focused education on transitioning from one provider to another to ensure continued movement towards recovery and offer an opportunity to meet their new service providers.
  - Gateway would host an open house for the new providers and encourage their involvement in weekly Community Meetings in the weeks leading up to transition.
  - Should the provider wish to work in tandem over a short period to ensure consistency in care, Gateway would be willing to offer a period of transition; however, this will depend upon the provider's wishes.
  - Gateway would provide records to the service provider as per their requests and provide a discharge summary with medical letter for each individual transitioning including any upcoming appointments and/or regularly scheduled appointments/labs.
  - Gateway's full intention would be to preserve the therapeutic nature of the program, continue the focus on recovery, and to encourage the consumers to develop adaptability skills to adjust to different providers.
- 3. Treatment of the Issues: In this section, the offeror may also comment if deemed appropriate, on any aspect of the Request for Proposal, including suggestions on possible alternative approaches to the scope, tasks and other requirements presented in Sections 1, 5 and 6 ("Scope of Services," "Tasks to be Performed" and "Licensing and Other Requirements") and may\_propose alternative approaches. In addition, the offeror may comment on the offeror's current capacity, anticipated future service capacity needs during the contract term and the offeror's requirements for adding capacity.

Response: Gateway Homes, Inc., is very excited to be bidding on this proposal. Gateway's Board of Directors is committed to expansion of services in their strategic plan for the future. Gateway staff and Board of Directors recognize the urgent need for services for this population in Virginia and have the ability to impact the solution. As with any expansion there are sometimes unforeseen events that may delay start up but Gateway is committed to eliminating as many barriers as possible to provide speedy transition and services.

An idea that may interest the Fairfax-Falls Church Community Services Board and the Northern Virginia Regional Projects Office under scope of services is to structure one of the supervised residential facilities to target the younger adult population of 18-24 year olds. Recent research is supporting early intervention for this age group experiencing symptoms of mental illness with results that decrease longer term effects. Although this population is not identified in the proposal as a target group, it is a pilot project that is worth consideration.

Gateway has also recently, as of 9/8/16, opened an ICRT and a Transitional Living Center in Williamsburg through a project funded by DBHDS and Health Planning Region V. Although the prject was operational within four months of signing the contract, delays were encountered in the licensing process due to the workload of the licensing agents. Also, just for comment, affiliation with the Local Human Rights Committee can only happen on their scheduled dates and must be completed prior to the submission of the request for licensing modification. Having these elements align in a timely manner can be a challenge and may inadvertently slow the momentum of the vendor in establishing the program. As mentioned earlier, Gateway is committed to eliminating as many barriers to progress as possible recognizing that, at times, elements are impacted by other organizations' protocols and workloads.

Additionally, if the ICRT's were licensed a supervised living, not group homes, Medicaid reimbursement could be sought for mental health skills building services, providing an additional source of income to defer expenses. This may be an idea that the region would like to consider.

4. Residential Sites: If Highly Intensive or Supervised services are proposed, include detailed descriptions of the residential sites proposed for each service including floor plans, maps and pictures, if available. (Detailed descriptions of the Annandale site that will be provided by HPR II for Highly Intensive services until July 2018 are not required.) Sites do not need to be secured by the offeror at the time of proposal submission but shall be secured no later than July 1, 2017 for the start of services. Include discussion of tenancy agreements, as appropriate, to accommodate individuals who are living with serious and persistent mental illness. For Highly Intensive services specifically, the offeror shall include the use of the eight-bed site located in Annandale, Virginia under a current lease secured by Fairfax County until July 31, 2018 and propose additional housing site(s) to fulfill the total minimum capacity of sixteen requested. Offerors of Highly Intensive services shall also describe plans to secure the minimum housing capacity requested when the Annandale site lease expires in July 2018.

Response: As a preliminary plan to begin the program, Gateway will review selective available properties that will accommodate 8 individuals in each housing unit. The homes will adhere to DBHDS requirements for room sizes and ratios of bedrooms to bathrooms. Gateway will

coordinate with Fairfax-Falls Church Community Services Board and the Northern Virginia Regional Projects Office as indicated to ensure involvement in selection. Within the first month, appropriate, affordable rental housing will be identified in Fairfax County and negotiations will ensue with the leasing agent and/or owner. Upon successful retention of property, Gateway will assume responsibility in obtaining all necessary inspections and make application to DBHDS for licensing modification to include the new address. Each consumer and guardian, if present, will be offered a fee agreement that will identify how their rent will be utilized. Each consumer will pay 50% of their Social Security income towards the food prepared in the home. An additional 30% of the consumer's Social Security income will be paid for occupancy fees such as the use of utilities; however, no consumer's remaining funds will go below \$100.

Regarding the property available and ready for use, 7591 Aspenpark Road in Lorton as mentioned above, please accept the attached floor plan and pictures.

- This is a three bedroom home that can reasonably and comfortably accommodate 4 individuals.
- Of those individuals, 2 would share a room and there are 2 private rooms.
- The home is on three levels and is not ADA accessible.
- This property was previously used as a Residential Intensive Care Program and contracted by Fairfax-Falls Church Community Services Board; however, the program closed in July, 2016.
- 5. <u>Outcomes</u>: The offeror must include discussion of their performance accountability process and provide performance and accountability measures to be used for each of the services proposed (see Paragraph 6.13).

Response: Gateway uses evidence based practices to support consumers in their movements towards recovery. Gateway routinely seeks feedback about programming and seeks to include the consumers' interests and ideas. To ensure these practices continue Gateway will implement a Program Evaluation that assesses:

- Services and the Quantity of Services Provided through survey assessment and analysis of responses.
- Consumers will be engaged to identify their goal for activity and group participation. Attendance will be logged in groups and activities and documented in the progress notes.
- A documentation review will indicate the consumer's adherence to their goal.
- Quality of Service Delivery and Client Responses to Services
  - Annually, consumers will be offered the opportunity to participate in a Quality Assurance activity. Each participant will be interviewed and provided an anonymous survey regarding the services they are receiving. The interviews and surveys will be specialized to the individual's level of comprehension.
  - Feedback from these interviews and surveys will support staff in developing continued interventions and activities.
- Changes in Client Circumstances after Receiving Services Are clients better off and how?

- O Gateway documents client outcomes based on the level of care to which they were discharged. For example, over the past five years of service at the Chesterfield Supervised Living Center, Gateway has supported approximately 250 individuals in moving on to less restrictive environments.
- Clients are able to live in their own apartment within a community of their choosing and structure their daily activities according to their life style and personal goals. Of these clients, 95% who have transitioned have been able to maintain psychiatric stability and very few experience rehospitalization within the time frame of follow up services. Also, 75% are able to engage in productive activities such as part time work or school or volunteer services. Overall, the quality of life has improved for them.
- 6. <u>Policies and Procedures</u>: The offeror must include their policies and procedures for the specific service proposed. A Table of Contents from the Policy and Procedures Manual for the service is acceptable, at a minimum. See Paragraph 6.9 and Appendix E for a policy and procedures checklist.

Response: Please see the attached Policy and Procedures Manual

7. Staffing Plan: A staffing plan is required which describes the Offeror's proposed staff distribution to accomplish the service proposed, including staff to client ratios described in detail for the service. The staffing plan should indicate a chart that partitions the time commitment of each professional staff member across the proposed services/sites and a timeline for each facility proposed for Highly Intensive and Supervised services. It is mandatory that this section identify the key personnel who are to work on each service level proposed and at each site, their relationship to the contracting organization, and amount of time to be devoted to the service/site. This includes Consultants and subcontractors as well as regular employees of the offeror, if relevant. In addition, the staffing plan should identify the minimum and preferred qualifications for all staff positions. The offeror shall identify any staffed positions and/or services that are proposed to be contracted out and identify the subcontractors. The county must approve all future subcontractors in writing prior to the provision of services.

Response: At the supervised residential service level of care, the staffing ratio will be 8 consumers to 1 staff; however, one additional staff person will be on site for 13 hours per day. At a minimum, one staff will be scheduled 24-hours per day, each in 8 hour shifts. Gateway does not plan or intend to subcontract staff. Please see the attached proposed staffing schedules for supervised residential care.

- All Supervised facilities will be supervised by the Clinical Operations Director who, at a
  minimum, will be a master's level, licensed or licensed eligible professional who will
  split their time fractionally across all programs awarded as a result of this bid.
- Each Supervised facility would have a Team Leader who, at a minimum, will possess the
  education and experience required as a Qualified Mental Health Professional for Adults,
  whose time commitment will be 100% for their respective facility. This individual will
  serve in an on-call capacity for after hour's emergencies, as well. The preferred

qualification for this position is a master's level graduate with three years of experience managing programs and staff.

- Each Recovery Support Specialist will be a Qualified Mental Health Professional or a Qualified Para Professional in Mental Health. Each full time Recovery Support Specialist will commit 100% of their time to their respective facility.
- Each PRN Recovery Support Specialist will be a Qualified Mental Health Professional or a Qualified Para Professional in Mental Health. The PRN Recovery Support Specialists will commit 100% of their time commitment to their assigned facility; however, in times of dire coverage needs, a PRN Recovery Support Specialist may work a shift in the other ICRT facility.
- Supervised facilities will share LPN nurses and Certified Peer Specialists who will commit 20 hours per week at each facility.
- 8. <u>Contingency Planning</u>: Offeror should demonstrate an awareness of difficulties in the provision of services proposed, and a plan for surmounting them.

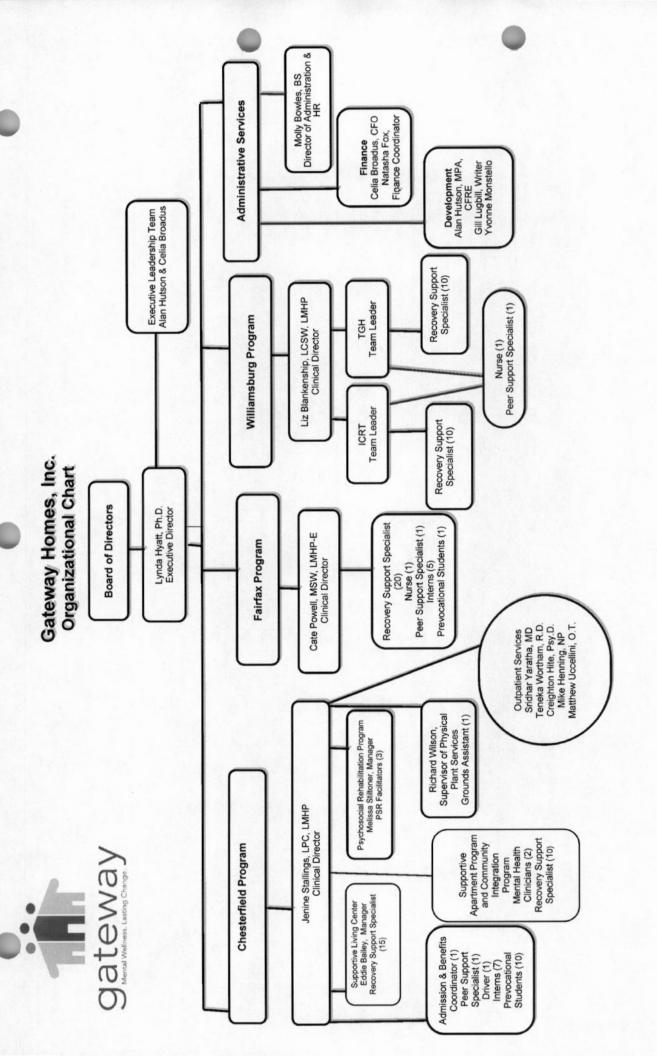
Response: Gateway anticipates the following <u>possible</u> impediments that are outside the control of the Offeror:

- 1. A possible delay in identification of homes that is suitable for 8 individuals and adheres to the taxonomy for this level of care that will require housing at start of contract.
- 2. Although modifications to licensing for Supervised Living will be sought immediately after identification of the locations of the supervised living homes, the length of time for process of approval is outside the control of Gateway and is dependent on the licensing division of DBHDS.
- 3. Immediately upon identification of location, Gateway will proceed with seeking to add a location to the existing affiliation with the Local Human Rights Committee in order to establish the relationship that is necessary to meet state requirements.
- 4. A possible delay in admissions may occur due to the process for identifying candidates and preparation for admission.

### **Technical Proposal**

Supervised Residential Services Tab 3

Section 1: Organizational Chart



### **Technical Proposal**

Supervised Residential Services Tab 3

**Section 2: Licensure Documents** 

# Commonwealth of Virginia

Department of Behavioral Health and Developmental Services

Pursuant to the provisions of Title 37.2, Code of Virginia
and
The Rules and Regulations
of the
DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES

A License is hereby granted to

GATEWAY HOMES INC. 11901 REEDY BRANCH RD CHESTERFIELD, VA 23838

to maintain and operate

SEE ADDENDUM FOR LISTING OF LICENSED SERVICES

LICENSE AS: A PROVIDER OF MENTAL HEALTH SERVICES STIPULATIONS:

This TRIENNIAL license is for the period beginning SEPTEMBER 08, 2016 through NOVEMBER 30, 2017 subject however to revocation for justifiable cause.

License Number: 673

By

JACK BARBER, M.D.
INTERIM COMMISSIONER

CLEOPATRA BOOKER, PSY.D. DIRECTOR, OFFICE OF LICENSING

#### GATEWAY HOMES INC.

#### **Licensed Services**

Licensed As: A mental health and substance abuse residential group home service for 1. adults. Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-01-003	Triennial	12/01/2014	11/30/2017

Locations:

Annandale Group Home

4024 Hirst Drive

Annandale, VA 22003

Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 07/01/2011

Licensed As: A mental health supervised living service for adults. Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date	
673-01-012	Triennial	09/07/2016	11/30/2017	

Locations:

Supervised Living Apartments

Jean Machenburg Dr. Chesterfield, VA 23838

Bed Capacity: 25 Child/Adol. Beds: 0 Effective Date: 12/16/2013

2 Supervised Living Center 11901 Reedy Branch Rd Chesterfield, VA 23838

Bed Capacity: 16 Child/Adol. Beds: 0

Effective Date: 12/16/2013

The Hamilton Center 3 4933 Westmoreland Frive

Williamsburg, VA 23188 Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 09/07/2016

4 The Williams Center 101 Woodmere Drive

Williamsburg, VA 23185

Bed Capacity: 8 Child/Adol. Beds: 0 Effective Date: 09/07/2016

3. Licensed As: A mental health day support psychosocial rehabilitation service for adults.

Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-02-011	Triennial	12/01/2014	11/30/2017

#### **GATEWAY HOMES INC.**

Locations:

1

Chesterfield

11901 Gateway Farm Rd Chesterfield County Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

4. Licensed As: A mental health community support service for adults with serious mental illness.
Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-03-001	Triennial	12/01/2014	11/30/2017

Locations:

1

Chesterfield MHCS

11901 Reedy Branch Rd Chesterfield County Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

5. Licensed As: A mental health outpatient service for adults.
Stipulations: The provider shall comply with the regulations of the Boards of Health Professions and the Board of Medicine

Service License Number	Type of License	Effective Date	Expiration Date
673-07-003	Triennial	06/16/2015	11/30/2017

Locations:

1

**Outpatient Services** 

11811 Reedy Branch Rd. Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

Effective Date: 12/16/2013

### **Technical Proposal**

Supervised Residential Services Tab 3

**Section 3: Letters of Reference** 



### COMMONWEALTH of VIRGINIA

JACK BARBER, M.D. INTERIM COMMISSIONER

## DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES Post Office Box 1797 Richmond, Virginia 23218-1797

November 14, 2016

Lynda Hyatt, Ph.D. Gateway Homes 11901 Reedy Branch Road Chesterfield, VA 23838

Re: Letter of Recommendation

Dear Dr. Hyatt,

It is my pleasure to write this letter of support for Gateway Homes' application to provide a variety of behavioral health services in Health Planning Region II (HPR II). As you know Gateway Homes has a long history of working with the Department of Behavioral Health & Developmental Services (DBHDS) in providing specialized behavioral health services to individuals in our state facilities in an effort to provide comprehensive services to individuals in the least restrictive environment possible. The partnership with Gateway Homes has included special projects in HPR IV and HPR V with the most recent project totally \$1.2 million annual for Gateway to provide both Intensive Community Residential Treatment (ICRT) and Transitional Residential services to facilitate the discharge of individuals at Eastern State Hospital.

It has been my experience that Gateway Homes is always very responsive to the needs of both the system and of the individuals we serve. I have found the Gateway staff extremely professional and skilled at working with even the most challenging clients. Gateway has had success in serving individuals who many felt were destined to remain institutionalized. Gateway staff are extremely positive in their interactions with clients and give a sense of hope to those who often have become hopeless. Gateway has been willing to work with clients who act out when other facilities likely would have expelled the individual from the program. That being said, my experience has been that staff at Gateway Homes are skilled in risk assessment and risk management and are extremely responsive in managing community risk. Gateway Homes has also been flexible to taking on new challenges and creative in problem solving. Gateway Homes has always been fiscally responsible and willing to provide the services needed by the client, even when doing so was pro bono for Gateway.

While much of my work with Gateway Homes has focused on forensic clients, I am keenly aware of the success Gateway Homes has also had with "civil" patients. Through my 10+ year relationship with Gateway I have personally seen great success storied and II have no doubt Gateway Homes can replicate that success if awarded this new project. I have the upmost

Telephone (804) 786-3921 Fax (804) 371-6638 www.dbhds.virginia.gov respect and confidence in you and your program and can recommend Gateway unequivocally for the project.

Should Health Planning Region II need any further information from me, please let them know I can be reached at (804) 786-2615.

Sincerely,

Michael Schaefer, Ph.D., ABPP

Assistant Commissioner - Forensic Services



#### COMMONWEALTH of VIRGINIA

Tammy Peacock, Ph.D. Facility Director

### DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES Northern Virginia Mental Health Institute

3302 Gallows Road Falls Church, VA 22042 Phone: 703-207-7100 Fax: 703-207-7160

November 10, 2016

#### To Whom It May Concern:

It is my pleasure to serve as a reference for Gateway Homes. Gateway Homes is known throughout the state as a reliable partner for serving individuals with serious mental illness, co-occurring disorders, and individuals who require close monitoring or possibly one to one supervision at all times. Not only do they serve the most challenging population, they do it well. They have demonstrated their ability to move even some of the most challenging individuals to less restrictive environments over time. They have a strong belief in supporting individuals to live in the least restrictive and most integrated setting possible.

It would be an asset to any community to have additional programs such as the existing Gateway Homes. If you have any questions, please feel free to contact me.

Sincerely,

Tammy Peacock, PhD.

Director



RBHA.ORG 804-819-4000 107 SOUTH FIFTH STREET | RICHMOND, VA 23219

November 16, 2016

Linda Hyatt, PhD, Director Gateway Homes, Inc. P O Box 460 Chesterfield, VA 23832

Dear Dr. Hyatt,

As the fiscal agent writing on behalf of the Region IV consortium, I am pleased to submit this letter of support for Gateway Homes as you seek additional funding for your valuable residential and supportive services for adults with serious mental illness. Region IV has enjoyed a long and valuable relationship with your organization, most notably in the areas of transitioning individuals from the state psychiatric facilities into the community and providing the necessary wrap-around services for individuals with a forensic status.

As of today, Region IV has 10 individuals —with either a civil or a Not Guilty by Reason of Insanity (NGRI) status — residing and/or receiving residential services with Gateway Homes, who are also receiving funding through the statewide Discharge Assistance Program (DAP). The value of the DAP plans for the 10 individuals being served currently rests at \$250,378.

Gateway has done much to prioritize these individuals by placing them in services as soon as possible and working to ensure a safe, secure community-based environment for them to recover.

Again, I support your organization as you seek additional funds to maintain and improve the already valuable services offered. I am glad to be available for questions that may arise through your funding process.

Warmly,

John P. Lindstrom, Ph.D., LCP

Chief Executive Officer

Richmond Behavioral Health Authority, Fiscal Agent for Health Planning Region IV

### **Technical Proposal**

Supervised Residential Services Tab 3

**Section 4: Resumes of Staff** 

#### LYNDA J. HYATT, Ph.D.

Licensed Clinical Psychologist 9613 Kimages Road. Charles City, Virginia 23030 Home (804) 829-9843 Cell (804) 767-0292

E-mail: <a href="mailto:lhyatt@gatewayhomes.org">lhyatt@gatewayhomes.org</a> or <a href="mailto:lyyatt@live.com">lyndahyatt@live.com</a>

#### **EDUCATION**

#### GEORGIA STATE UNIVERSITY - Atlanta, Georgia

Concentration in Family Systems - August, 1982, GPA 3.9/4.0

Doctorate of Philosophy, Counseling and Psychological Services with a Cognate In Organizational Development August, 1991, GPA 3.9/4.0

Master of Education, Community Mental Health Counseling with

### PROFESSIONAL EXPERIENCE

#### 2/13 to present

#### **EXECUTIVE & CLINICAL DIRECTOR**

#### GATEWAY HOMES OF GREATER RICHMOND Chesterfield, VA

- \*Financial oversight for agency with \$3.5 million budget
- \*Management of 38 acre campus with four separate facilities and census of 70 individuals including a second site in Fairfax
- \*Oversight of Human Resources and staff of 54 employees
- \*Delivery and oversight of public and community relations including development
- \*Supervision of the clinical program and services
- \*Implementation of licensing regulations for Department of Behavioral Health and Developmental Services and maintenance of Standards for Medicaid and HUD.
- \*Responsible to the President of the Board of Directors

#### 6/4/07 to 2/13

#### CLINICAL DIRECTOR

#### GATEWAY HOMES OF GREATER RICHMOND Chesterfield, VA

- \*Responsible for the daily operations of a residential transitional treatment facility currently serving 70 persons with serious mental illness in Chesterfield and Fairfax
- \*Supervision of all clinical staff
- \*Implementation of the admission process and subsequent selection of residents
- \*Monitoring of resident's movement within the program
- \*Implementation of licensure requirements for Department of Mental Health, Department of Social Services, Department of Medical Assistance Services and Housing and Urban Development
- \*Public education on the topic of mental illness to interested constituents
- \*Interface with the Board of Directors and various donor groups
- \*Funding presentations describing the campus and programming for residents at Gateway

#### REGION IV REINVESTMENT – Richmond, VA SUPERVISOR, REGION IV JAIL TEAM

6/1/04 to 6/1/07

- \*Design and development of a regional project to reduce census and expenditures to state forensic hospital resulting in reduction of \$5.8 million in three years.
- \*Presentations to legislative committees and conference memberships detailing strategic design, development and outcome measures.
- \*Testimony to state courts regarding competency/sanity issues for defendants.
- \*Training to officers, mental health staff and other para-professionals in mental illness, therapeutic communication, and behavioral interventions.
- \*Representation on state and local policy planning groups

#### CENTRAL STATE HOSPITAL - Petersburg, VA

#### **Pretrial Forensic Coordinator**

3/03 - 6/1/04

- \*Reviewed existing treatment modalities for pretrial detainees and made strategic recommendations for more effective, focused and comprehensive services.
- \*Developed a new admission process to reduce hospital referrals for admission by 86%.
- \* Served as the primary liaison and consultant to treatment teams, clinicians, and the Forensic Evaluation Team to ensure integration of treatment and evaluations services.
- \*Prepared court ordered forensic evaluations, functions as liaison to the courts and provided expert testimony as needed.
- \*Chair of the Internal Forensic Review Panel responsible conditional release decisions.

#### 8/01 - 3/03

#### LIBERTY HEALTHCARE FORENSIC UNIT - Hopewell, VA

#### **Associate Director**

- \*Responsible for the daily operations of 35-bed in-patient psychiatric unit for court ordered pretrial male defendants.
- \*Provided direct supervision of 55 clinical and nursing staff, the forensic coordinator and forensic counselor supervisor.
- \*Implemented newly designed performance evaluation system which resulted in increased retention of employees from 52% to 82%.
- \*Assisted the executive director in implementing unit compliance with policy and procedures required by state licensure and accreditation agencies.
- \*Assisted with oversight of \$5 million budget to maintain fiduciary responsibilities. Increased profits from expected 12% to 22% by project closing date.
- \*Provided training to new staff on mental illness, mental retardation, behavioral management, legal classifications and therapeutic communication.
- \*Prepared court ordered evaluations for competency to stand trial, mental state at the time of the offense, and presentence evaluations; provides expert testimony.
- \*Conducted competency education groups for patients and advised treatment teams of patient's progress toward competency/restoration.

#### 11/97 - 8/01

#### Forensic Coordinator/Licensed Clinical Psychologist

- \*Ensured that forensic admissions, transfers and discharges were made in accordance with appropriate policies, court orders and legal standards.
- \*Consulted with the treatment teams and other appropriate staff regarding management

decisions for forensic patients.

- \*Prepared weekly and monthly statistical and status reports for administration.
- \*Conducted psychological assessments and prepared written reports for adult male patients admitted to a pretrial, short term, acute care forensic unit.
- \* Functioned in role of primary therapist in providing therapeutic services to patients assigned to designated treatment team.
- \* Participated as an active treatment team member in development of comprehensive treatment plans and reviews for patients.
- \* Facilitated therapeutic groups for patients and recorded program participation.
- \*Conducted training for new employees on topics of behavioral management, mental illness and therapeutic communications.
- \*Prepared court ordered evaluations for competency to stand trial and mental state at the time of the offense; provided expert testimony to court system as requested.
- \*Conducted evaluations for sex offenders to provide risk assessment and sentencing recommendations to the court.
- \*Supervised the psychological assistant and student interns.

#### 2/97 - 9/97

### PHILHAVEN BEHAVIORAL HEALTHCARE SERVICES Lebanon, PA Mobile Therapist/Staff Psychologist

- \* Established and maintained therapeutic interactions with children and adolescents with psychiatric disorders within the community, school and family.
- \* Utilized a strengths-based approach in the provision of child -centered, family focused individual and family psychotherapy.
- \* Effectively utilized leadership/teaching/counseling techniques to gain cooperation and to motivate clients.
- \* Formulated, implemented and updated treatment plans. Designed interventions to meet the client's therapeutic needs.
- \* Supervised the therapeutic support staff assigned to the individual clients.
- \* Conducted psychological evaluations and prepared reports to indicate the client's need for continuation of services.

#### 2/96 - 9/96

### WISCONSIN RESOURCE CENTER FOR CIVILLY COMMITTED SEX OFFENDERS Neenah, Wisconsin

#### Senior Psychologist

- \*Member of the committee responsible for the development and implementation of the treatment program for civilly committed sex offenders in Wisconsin.
- \*Conducted psychological evaluations for patients committed for sex offender treatment.
- \*Developed individualized care plans for patients with high management status.
- \* Provided psychological recommendations during team staffing of patients.
- \* Provided psychological treatment including both group and individual psychotherapy.
- \* Provided psychological training to institutional staff.
- \* Participated in the involuntary commitment process.
- \* Provided court reports and expert testimony at probable cause, final commitment, and reexamination hearings.

8/93 - 12/95

#### UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

#### Assistant Clinical Professor, Department of Human Services

- \*Taught graduate courses in DSM-IV classification, professional ethics, crisis intervention, women's issues, family therapy, practicum and internship supervision.
- \* Advised approximately 26 students per semester.
- \* Presented selected topics at state and regional conferences.
- \*Wrote proposals for grants and conducted research.

5/93 - 12/95

#### PSYCHOLOGICAL ASSOCIATES Rock Hill, South Carolina

Therapist (part-time private practice)

- \*Provided psychotherapy for clients seeking services.
- \*Qualified as expert witness in both adult and child abuse cases for York County.
- \*Provided contract services to Employee Assistance Programs in SC. and NC.

1/92 - 8/93

#### YORK COUNTY SEXUAL ASSAULT RESOURCE CENTER Rock Hill, SC

#### **Director of Victim Services**

- \*Counseled victims of sexual assault and incest.
- \*Provided pre and post trial services for sexual assault offenders.
- \*Presented public relations and educational programs for the community.
- \*Provided advocacy for victims within the medical and legal systems.
- \*Facilitated groups for victims of sexual assault and domestic violence.
- \*Managed and supervised 30 volunteer advocates and conducted three volunteer training programs per year.

9/82 - 7/91

#### LIFE COLLEGE Marietta, Georgia

#### Director of Counseling/Associate Academic Dean

- \* Provided personal, academic and career counseling for students.
- \* Supervised professional and administrative staff.
- \* Initiated the following programs: job location and development; tutorial networking; support services for disabled students; foreign assistance; support groups; state board networking.
- \* Chaired the following committees: Academic Review, Institutional Effectiveness, Institutional Self-study, Division Chairs, and Admissions.
- \* Appointed administrator of faculty selection and evaluation process.
- \* Designed academic policies to enhance institutional awareness of student's needs.

#### **ACHIEVEMENTS**

#### Research

- \* Faculty research grant UNC Charlotte, "The Effects of Childhood Victimization on the Coping Resources of Female Adults", 1995
- \* Pilot Study for York County Sexual Assault Resource Center, "An Investigation of the Stereotypes of Middle School Students Involving Rape", 1992
- \* "Personality Traits of Chiropractic Students as Predictors of Academic Success", Dissertation, 1991

#### HONORS

- \*Appointed (2015) by the Secretary of Health and Human Resources, Dr. William Hazel to the Behavioral Health and Justice Center Advisory Committee.
- \*Appointed (2014) by the Commissioner of the Department of Behavioral Health and Developmental Services to the Behavioral Health Transformation Team for Virginia..
- \*Selected (2008) by the Virginia State Office of Forensic Services as a facilitator for the Cross Systems Mapping Initiative merging mental health and criminal justice services throughout the state.
- \*Appointed (2007) by the Commissioner of Department of Behavioral Health and Developmental Services to the Virginia State Forensic Review Panel.
- \*Gubernatorial appointment (1994) in South Carolina to the Training and Community Development Advisory Board for the Office of Victim Assistance. This board was formulated under The Victims of Crime Act to establish standardized guidelines and training agenda for agencies serving victims.

### LICENSES &

- **CERTIFICATIONS** \* Licensed Clinical Psychologist
  - \*Certified Sex Offender Treatment Provider
  - \*Licensed Assisted Living Facility Administrator and Preceptor
  - \*Certified in Therapeutic Options of Virginia, CPR, First Aid, Medication Education & Driver's Safety

### PROFESSIONAL ORGANIZATIONS

- \*American Psychological Association & Virginia Psychological Association
- \*APA Division of American Psychology-Law Society
- \*Virginia Association of Clinical Psychologists
- \* President of American Residential Treatment Association

#### Catherine Ann Powell, MSW, Supervisee in Social Work

15629 Easthaven Court, Bowie, Maryland, 20716

Phone: 317.417.0639 Email: catepowell@yahoo.com

Skills

- · Leadership History
- Case Management History
- Compassionate and Empathic Social Worker
- Organized and Exemplary Customer Service
- Computer: Microsoft Office including: Word, Excel, and Outlook. Comprehensive use of Google Chrome, Internet Explorer, and other internet navigation programs. Proficient with Lauris Online, Alpha CM, and AVATAR online charting as well.

Experience

Gateway Homes, Inc. - Fairfax Program, Annandale, Virginia

2011 - Present

Assistant Clinical Director

Responsible for managing the day to day functions of a 24-hour intensive communitybased residential treatment program providing wrap around services for eight consumers with serious and persistent mental illness diagnoses.

- Oversee a staff of 20 individuals providing direct care to the consumers, including
  maintaining staff scheduling, auditing staff-completed documentation, developing
  case management skills in full-time staff, completing annual reviews of
  employment, addressing employee improvement needs appropriately, and
  maintaining communication to ensure consistency of care.
- Responsible for developing programming, overseeing treatment planning creation and reviews, completing quarterly reports for funder.
- Ensure all documentation is accurate, appropriate, and completed in a timely manner as indicated by licensing and according to policy.
- Provide mental health skill building services to consumers developing awareness, coping with their mental illness, and making measurable strides towards increased independence.
- Maintain communication with community partners and government partners to ensure consistency of care and seek feedback and guidance, when appropriate.
- Remain on call to all staff for crisis situations at the facility.
- Developed and maintains an internship program with students from NOVA Community College. Ensure students receive education concerning working in the field.

St. Elizabeths Hospital, Washington, D.C.

Social Work Intern

Responsible for completing educational and practical tasks related to learning plan objectives in conjunction with a 600 hour internship.

- Participated in Rounds, Community Meetings, Individual Recovery Plan Meetings, and Community Outings with individuals in care. Worked within a team environment.
- Facilitated weekly discharge planning and mock trial groups for competency training.
- Created an Experiential Competency Manual to develop competency education for group facilitators and to benefit individuals in care with forensic needs.
- Integrated fully into the activities on two units within the hospital, one focused
  on behavioral interventions and management for long term individuals in care
  and the other was an assessment unit for women under a court order for forensic
  evaluation.
- Completed documentation including social work initial assessments, group progress notes, independent therapeutic notes, monthly and weekly social work updates, and discharge plans.

2014 - 2015

2009 - 2011 Stopover, Inc., Indianapolis, Indiana Non-Residential Counselor Responsible for providing home-based, short-term individual, family, and group crisis counseling to program clients 11 - 17 years of age. Advocated for most appropriate parenting for young person and provided parenting support to parents with mental health diagnoses, parents experiencing poverty, and homelessness. Advocated for young person in school setting via individualized education plan assessment, case conference, and at expulsion examination. Attended juvenile disposition hearings and spoke to court concerning family's attendance and progress in counseling. Provided thorough bio-psycho-social assessment for young person and family at outset of counseling relationship. Referred families for community support services and advocated for their receipt of service. Answered Crisis Line and provided immediate crisis intervention to callers. Originated and maintain client files and necessary databases in a concise, timely Attended ongoing training sessions and conferences. ASI Sign Systems, Indianapolis, Indiana 1999 - 2009 Multiple Positions Held Customer Service Representative Served as a liaison to communicate customer needs and desires to staff. Managed sign programs for Major Hospitals and Universities in downtown area. Ordered international product and created artwork for international production. Graphics/Layout Department Supervisor Supervised a staff of four in interpreting work orders and creating sign layouts. Created digital artwork for production purposes. Graphic Artist Interpreted work orders and created sign layouts. May, 2015 George Mason University, Fairfax, Virginia School of Social Work, Fairfax, Virginia Degree Conferred - Masters of Social Work, Clinical Concentration Advanced Standing Program 2009 Indiana University - Purdue University, Indianapolis, Indiana School of Social Work, Indianapolis, Indiana Degree Conferred - Bachelor of Social Work Achievements: Graduation with Distinction for Academic Placement in Top Ten Percent of Class

1998

References

Education

Furnished upon request.

**High School Diploma** 

Award for Service to Undergraduate Program, Spring, 2009

Alpha Sigma Lambda Honor Society Membership, Spring, 2008

Phi Alpha Honor Society Membership, Spring, 2008

New Albany High School, New Albany, Indiana

Alumni Association Representative for School of Social Work Student Association

#### Sridhar Yaratha, M.D.

8726 Springwater Drive Richmond, VA 23228 Phone: 919-949-5161 Email: syaratha@yahoo.com

#### **Employment History**

April, 2006 - Present

Central State Hospital, Petersburg, Virginia

Forensic Psychiatrist

Attending Physician for Men's Long Term Forensic Unit. Coverage for Women's Forensic Acute Admissions Unit,

Men's Forensic Acute Admission Units and Civil Commitment Units

Nov 2004 - Jul 2005

Southwestern Virginia Mental Health Institute, Marion, Virginia

Psychiatrist for Geriatrics Unit

\*Also provide coverage for Adult, Adolescent, and Long-Term Units.

Routinely testified in civil commitment court proceedings

Jul 2004 - Oct 2004

QTC Medical Management, Virginia Beach, Virginia

Contract Psychiatric Work

Performed evaluations of Armed Forces Personnel

Aug 2001 - Dec 2003

Vera French Community Mental Health Center, Davenport, Iowa

Staff Psychiatrist

Outpatient Geriatric and Adult Psychiatry

Assisted with the Day Treatment/Partial Hospitalization Program

Occasional Home Visits to elderly patients

Nov 1999 - July 2001

Psycare, Inc., South Charleston, West Virginia

Staff Psychiatrist at Thomas Memorial Hospital

Forensic evaluations at the South Central Regional Jail

Psychiatric care of inmates at Mount Olive Correctional Complex

#### **Hospital Affiliations**

Mar 2006 - Present

Central State Hospital, Petersburg, Virginia

Staff Psychiatrist

Women's Forensics Acute Admissions Unit

Also provide coverage for Male Forensics and Adult Civil Units Routinely testify in forensic and civil commitment court proceedings

Nov 2004 - Jul 2005

Southwestern Virginia Mental Health Institute, Marion, Virginia

Physician for Geriatrics Unit

Also provide coverage for Adult, Adolescent, and Long-Term Units.

Routinely testified in civil commitment court proceedings

Aug 2001 - Dec 2003

Genesis Medical Center, Davenport, Iowa

Staff Psychiatrist

Adult Inpatient and Substance Abuse Units, Consultation/Liaison Services,

ECT Program, and coverage of the Adolescent Unit.
Routinely testified in civil commitment court proceedings

Nov 1999 - Jul 2001

Thomas Memorial Hospital, South Charleston, West Virginia

Staff Psychiatrist

Coverage of Geriatric and Adult Inpatient Units

Licensure

Virginia # 0101236397

Residency

Aug 1996 - July 2001

Internal Medicine / Psychiatry Residency

West Virginia University, Charleston Area Medical Center

Charleston, West Virginia.

**Awards and Honors** 

Esther McMahon Award - Psychiatry Resident of the Year, 2001

Resident of the Year Award (Pfizer), 2001

Chief Resident of Internal Medicine / Psychiatry (1999 - 2001/2 years)

Co-Chief Resident of Psychiatry (1999 - 2001/2 years)

Resident Representative to Hospital Ethics Committee (1997 - 2001/4 years)

1999 Teaching Award in Psychiatry Top Quarter of Medical School Class

State Appointments

Forensic Review Panel Member Commonwealth of Virginia August 2007 - Present

**Hospital Appointments** 

Central State Hospital, Petersburg, Virginia President of Medical Staff 2006 - Present Vice-President of Medical Staff 2006-2007 Recovery Committee Chair

Genesis Medical Center, Davenport, Iowa

**Ethics Committee** 

Psychiatric Service Committee Neuroscience Service Committee Med-Rehab Service Committee.

Charleston Area Medical Center, Charleston, West Virginia

Hospital Ethics Committee - Resident Representative

#### Seminars / Lectures

"Sell v. United States; A discussion on Competency", Lecture to Psychology Department, Central State Hospital, Petersburg, VA, March 20, 2008.

"ECT and Forensic Evaluation", Lecture to Psychology Department, Central State Hospital, Petersburg, VA, May 24, 2007.

"Schizophrenia", Mental Health In-service, Central State Hospital, Petersburg, VA, May 23, 2007.

"Overview of Sleep Disorders", Lecture to Psychology Department, Central State Hospital, Petersburg, VA, October 5, 2006.

"Dementia Overview", Seminar on Older Persons, Abingdon, VA, June 18, 2005.

"Elderly Depression", Seminar on Older Persons, Abingdon, VA, June 18, 2005.

"Antipsychotic Medications", CME lecture to Quad City Physicians, Illini Hospital, East Moline, IL, December 4, 2003.

"Womens' Mood Disorders", WQPT Television Show- Public Television Special on Women's Mood Disorders across their lifespan, Moline, IL, October 2003.

"Depression in the Elderly", Primary Care Conference, Napa Valley, CA, October, 2003.

"A Women's Heart", WQPT Television Show- Public Television Special on Women's Issues in Depression and Heart Disease, Moline, IL, July 2003.

"Overview of Depression and Bipolar disorder", Manor Care NH staff, May 9, 2003.

"Social Anxiety", CME lecture to Quad City physicians, May 1, 2003.

"Personality Disorders", lecture to Genesis Nursing Staff, April 23 - 24, 2003.

"Helping Families Memorialize", Mississippi Valley Funeral Directors Association, April 17, 2003.

"Geriatric Depression", Primary Care Conference, Copper Mountain, CO, March, 2003.

"Generalized Anxiety Disorder", CME lecture to Quad City physicians, January 28, 2003.

"Pregnancy and Depression", CME at Illini Hospital, November 14, 2002.

"Depression in Primary Care", Primary Care Conference, Copper Mountain, CO, March 2002.

"Antipsychotic Use in Primary Care", Primary Care Conference, Copper Mountain, CO, March 2002.

"Depression During Pregnancy and Postpartum Psychosis", 5th Annual Snowshoe Mountain Retreat, Snowshoe Mountain, WV, September 15, 2001; presented to local physicians also in CME talks.

"Depression in Primary Care", Dewitt CME Series, September 18, 2001.

"Psychiatric Considerations in HIV/ AIDS Patients", Internal Medicine / Psychiatry Grand Rounds, April 2001.

"Advances in ECT", Psychiatry Grand Rounds, April 2001.

"Lithium: It's Use and Overuse", Internal Medicine Grand Rounds, October, 2000.

"Cushings Syndrome – A case report", Internal Medicine Grand Rounds, September, 2000.

"Violent Patients - Management in the Inpatient and ER Setting",

Internal Medicine / Psychiatry Grand Rounds, September 2000.

"Mental Status Exam", Psychiatry Grand Rounds, July 2000.

"Depression in Primary Care", Internal Medicine and Psychiatry Grand Rounds, January 2000 - May 2001

"PTSD", Psychiatry Grand Rounds, January 2000.

"Hepatitis C and Mood Disorders", Psychiatry Grand Rounds, Fall 1999. Medical Student Lectures: "Schizophrenia", "Bipolar Disorder", "HIV and

Psychiatric Disorders", "Sleep Disorders", 1999 - 2001

Interdisciplinary Care of the Geriatric Patient with a Complicated MI, May 14, 1999

"Sleep Disorders", Psychiatry Grand Rounds, May 1997 - May 2001.

#### Research / Publications

"Schizophrenia", Mental Health Publication for Kanawha Valley, January 2001.

"Risperidone and Neuroleptic Malignant Syndrome", Research Day, Charleston Area Medical Center, Spring 1999.

"Risperidone and Neuroleptic Malignant Syndrome"; Annual Internal Medicine/Psychiatry Conference, Orlando, FL, November 1998.

"Two Cases of Guillain-Barre Syndrome", Research Day, Charleston Area Medical Center, Spring 1998.

"Patient Adherence", Research Day, Charleston Area Medical Center, Spring 1997.

Meistrich, M. et. al. Impact of cyclophosphamide and long term reduction in sperm count in men treated with combination chemotherapy for ewing and soft tissue sarcomas Cancer, December 1992.

#### Education

**Medical School** 

Aug 1991 - Dec 1995

Spartan Health Sciences University

School of Medicine, Vieux Fort, St. Lucia

Doctorate of Medicine.

Undergraduate

Aug 1987 - May 1991

Austin College, Sherman, Texas Bachelors of Arts in Psychology.

**Professional Associations** 

American Medical Association American Psychiatric Association Association for Convulsive Therapy American Geriatrics Society.

Personal

U.S. Citizen, Married with one daughter.

Interests

Classical music, Impressionistic and Surrealistic art, Football, College Basketball, Baseball, Renaissance Art, Poetry, Rafting, Biking, Travel, Rock and Roll.

#### Lynda Hyatt

From: Sent: To: Evelyn Larbi [evekus@yahoo.com]

Wednesday, November 16, 2016 3:01 PM

Lynda Hyatt Ph.D. - Execuitve and Clinical Director of Gateway Homes Inc.; Catherine Powell;

Molly Bowles

Subject:

RESUME

#### **EVELYN ANSAH LARBI**

♦26 Hot springs Way ♦ Stafford, VA 22554
♦703-386-6585 ♦evekus@yahoo.com

#### **EDUCATION**

#### Northern Virginia Community College, Fairfax, VA

Associate Degree in General Studies—May 2013
 School of Practical Nursing, TC Williams High School, Alexandria, VA

License in Practical Nursing—May 2010

#### SUMMARY OF QUALIFICATIONS

- Ability to work independently and as part of a team
- Ability to work in a time-sensitive environment
- Ability to Handle multiple priorities
- Strong organizational abilities
- . Demonstration of good judgment, problem solving and decision making skills
- Competent in organizational and time management skills
- Exceptional written and oral communication skills
- Proficient in the use of Electronic MAR
- Proficient and strong computer skills Microsoft Office (Windows, (Word, PowerPoint, Excel, and Outlook) with the ability to learn new applications

#### **EXPERIENCE**

#### Sunrise Assisted Living, Fort Belvoir, VA Lead Care Manager (LPN), March 2011-Present

- Administer and monitor routine medication
- Provide direct resident care and supervision of resident care
- Supervise work of both licensed and non-licensed team members in the Assisted Living operations.

- ❖ Work closely with family members and consulting with community physician(s) to ensure residents' needs are being attended to in a personalized way.
- Demonstrate knowledge of nursing practices, techniques and methods as applied to skilled nursing and resident care.
- Undertake Residents Assessment Instruments and working with team members to develop personalized Care Plans (ISP's) for residents.
- Update Residents ISP's as and when level of Care changes according to organization's policy
- Maintain files in accordance with licensing guidelines and company expectations including daily Treatment and Progress notes
- Complete documentation in accordance with company guidelines

#### Gateway Homes Inc., Fairfax, VA

Licensed Practical Nurse (LPN) —August 2011-Present

- Support the mission, vision and values of Gateway Homes
- Administer and monitor routine medications
- Order medication from pharmacy, check medications against Doctor's orders, stock the medication cart, and keeping with nursing and pharmacy standards and practices
- Ensuring that lab work is completed as ordered in a timely manner
- Meet with agency psychiatrist during medication management and review to provide feedback regarding resident symptoms presentation and progress
- Transcribe all Doctor's orders
- Ensure new orders are transcribed in the MAR.
- Assess resident's medical needs and schedule medical appointments as needed
- Maintain a schedule of IM medications and administer per schedule
- Ensure appropriate documentation on each client is done.
- Educate clients on the importance of adhering to their medication regimen.
- Assist residents with scheduling needed medical appointments, including annual physical examinations.
- Ensure monthly blood pressures and weights are recorded on each resident or as ordered by the Doctor
- \* Review all MARs on a weekly basis and provide the Program Manager with a result of the review
- Complete required documentation, including, but not limited to, shift reports, progress notes, and serious incident reports
- Perform other duties as requested by the Program Manager or immediate supervisor
- Assist the Program Manager and co-workers by being a proactive and engaged member of the team

- Keep current with all mandatory training requirements, including, but not limited to, CPR, First Aid, and TOVA certificates
- Reports directly to the Fairfax Program Manager

#### Resume

#### Molly W. Bowles 5700 Trinity Church Road Church Road, VA 23833

Contact phone numbers: 804-720-74833; 804-712-4133

Career Objective: To obtain work that is engaging, challenging, and rewarding. To be able to contribute my best towards the growth and organization of the company through management, leadership, and organizational skills.

#### **EDUCATION SUMMARY:**

High School: Brunswick Academy, Lawrenceville, VA; honors graduate 1998 College: Southside Virginia Community College, Alberta, VA; AAS in 2002;

Radford University; Radford, VA

Old Dominion University, Norfolk, VA; BS in Psychology and Criminal Justice in 2014

#### SKILLS AND TRAINING:

Critical Incident Stress Management certified; Medication Training Certificate- 40 hour course; CPR/AED and First Aid- expires in 2017; TOVA certified since 2003; Proficient in Microsoft Office suite; Experience with Legacy and PeopleSoft systems; Experience with PMIS and CIPPS payroll systems; Experience with Paychex Flex system; experience with ALPHA-CM online client medical database.

#### PROFESSIONAL EXEPERIENCE:

Current Employer: Gateway Homes, Inc., Chesterfield, VA

Dates of Employment: May 2008 to current

Supervisor: Lynda J. Hyatt, Ph.D., Executive Director Current Job Title: Director of Administration and HR

Duties: Manage the Human Resource Office; Manage the Administrative Office; Screen applications; Set up employee records; Coordinate intake and financial arrangements for clients; including DAP contracts; Manages the Critical Incident Training on campus; Assist in the daily operations of campus; functions as a member of the clinical meeting weekly; offers creative input to program development and problem solving; interfaces with employees and outside agencies often; attends Board of Directors meetings and functions as secretary; Upholds all regulations that are required of the program for DBHDS, Health Department, Fire and Emergency, and Human Rights; Manages Employee's benefits; Management all insurance policies such as General Liability, Professional Liability, Worker's Comp, etc.

Richmond Behavioral Health Authority; Richmond, VA

Dates of Employment: July 2005 to May 2008

Supervisor Arnold Woodruff, Region IV Project Manager

Job Title: Administrative Coordinator

<sup>\*</sup>Notary Public since 2010

<sup>\*</sup>Licensed as an Administrator for Adult Living Facility since 2010

Duties: Keep statistical records for team; kept up correspondence with attorneys, judges, and any other outside parties; maintained database for clients; managed office; ordered office supplies; communicated with Central State Hospital for court orders, list of active clients and updated them on client's progress; prepared reports for each Community Services Boards in Region IV monthly; prepared reports for the Region IV Consortium; maintained and tracked all Jail Diversion Services data; set up files and maintained them on clients.

Central State Hospital; Petersburg, VA

Dates of employment: February 2003 to July 2005

Supervisor: Spence Timberlake, MSW, Admission Coordinator of Forensic Unit Job Title: Administrative Assistant to the Forensic Director and Coordinator Duties: Assisted Coordinator and Director with admissions and other assigned projects; maintained and tracked Forensic Court Orders database for hospital and tracked data in Excel sheets with forensic admissions; ran reports monthly and upon request for Department of Mental Health and other parties; maintained client's admission files and worked to get needed

documents in for admission; worked closely with attorneys, judges and jails to get client's admitted; scheduled admissions; served on Internal Forensic Privilege Committee as the secretary and sent out reports to Central Office; typed correspondence to FRP panel; worked

with Evaluation Team on coordinating outpatient evaluations.

Southside Virginia Community College; Alberta, VA Dates of Employment: January 2002 to February 2003 Supervisor: Brent Richey, Director of Financial Aid

Job Title: Financial Aid Worker

Duties: Tracked funding sources for students; helped students fill out FAFSA forms for financial aid; updated database with client information helped manage office; covered for military aid coordinator when out of office; worked on other offsite campuses; SVCC and telnet sites; performed office duties as needed; typed file answered phone assisted students and any other duties as needed.

#### COMMUNITY INVOLVEMENT:

Choir Director at Bethany United Methodist Church; Member of Children's Youth Ministries; Member of Council of Advocate of Petersburg District; Member of Administrative Counsel at BUMC; Past Member of IAAP; Participate in local Volunteer projects such as NAMI events; Heart Walk through Wal-mart Distribution Center and Bon Securs; Local Dinwiddie County Relay for Life; Kyle Petty's Victory Junction team for Autism

#### **PROFESSIONAL REFERENCES:**

Shelia Brown, LCSW, D-19; 804-862-8011; ext 3030 Elizabeth Blankenship, LCSW, Gateway Homes; 804-357-0345 Beth Williams; Warren Whitney; 804-301-8009 Ben Winters; Winters Oliver Insurance Agency; 804-746-5178 ext 112

### **Technical Proposal**

Supervised Residential Services Tab 3

**Section 5: Job Descriptions** 

# Gateway Homes, Inc. Executive and Clinical Director Job Description

Job Title: Executive and Clinical Director Program/Department: Administration

Supervisor: Gateway Board

Date: October 1, 2015

#### **Position Summary:**

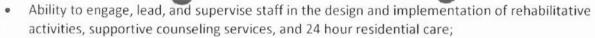
This position reports to the Board for Gateway Homes Inc. This position manages the following organizational functions: gives direction and leadership towards the achievement of Gateway Homes' philosophy, mission, strategy and its annual goals and objectives, provides leadership for the clinical program and associated services, implements the strategic goals and objectives of Gateway Homes, and with the Chairman of the Board, enable the board to fulfill its governance function. This position is exempt from the Fair Labor Standards Act.

#### **Duties and Responsibilities:**

- Board administration and support: supports operations and administration of the board by advising and informing board members, interfacing between board and staff and providing documentation to support the Board's evaluation of the Executive Director:
- Financial, tax, risk and facilities management: recommends annual budget for Board approval and prudently manages Gateway Homes' resources within those budget guidelines according current laws and regulations;
- Human resources management: effectively manages the human resources of Gateway
  Homes according to authorized personnel policies and procedures that fully conform to
  current laws and regulations:
- *Public relations*: assures Gateway Homes and its mission, programs and services are consistently presented in a strong, positive image to relevant stakeholders;
- Fundraising: oversees fundraising planning and implementation including overseeing staff in identifying resource requirements, researching funding sources, establishing strategies to approach funders, submitting proposals and administrating fundraising records and documentation:
- Clinical programming and services: provides leadership as a licensed clinical
  psychologist for the clinical staff to ensure maintenance of quality control and utilization
  of best practice techniques in the delivery of services
- Community relations: maintains robust relationships with community mental health organizations and agencies universities and colleges and other professionals in the community.

#### Minimum Knowledge, Skills, and Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and multiple treatment modalities for persons with serious mental illness;
- Knowledge of first-aid, behavioral management, personal and environmental hygiene;
- Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;



- Ability to maintain effective working relationships with clients and other employees;
- Ability to provide leadership to Board, staff and community regarding the strategic management of the organization;
- Demonstrated history of positive interface and collaboration with other community resources;
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes;
- Ability to manage financial resources of the organization;
- · Ability to engage in effective development strategies for the organization.

#### Required Experience or Professional Qualifications:

- · Advanced degree in Behavioral Health and Management;
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended;
- · Valid Driver's License and clean driving record;
- · Trained in CPR, First Aid, and TOVA;

Lvnda J. Hyatt, Ph.D.

- Experience working with outside Mental Health Agencies and Forensics;
- Experience in the Non-profit field preferred;
- At least five years of full-time experience in the care of persons with serious mental illness and supervisory experience;
- · Ability to work independently and to work effectively with the Board;
- Capacity to work with mentally ill adults and their families;
- Demonstrated initiative to problem solve and offer creative solutions;
- · Demonstrated ability to work as a team member;
- Demonstrated ability to manage organizational budget and finances.

I have rece	eived and re	eviewed a copy of the job	description for Exc	cutive and Clini	cal Director at
Gateway I.	lomes date	d October 1. 2015.			

Date

# Gateway Homes, Inc. Clinical Operations Director Job Description

Job Title: Clinical Operations Director

**Program/Department**: Clinical **Supervisor**: Executive Director

Date: October 1, 2016

#### **Position Summary:**

This position is responsible for management of the program. The position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Executive Director.

#### **Duties and Responsibilities:**

- Supports the mission, vision and values of Gateway Homes, Inc.,
- Maintains standards of clinical care and compliance with all regulations applicable to the Program including licensing and human rights standards,
- · Completes assessments for Prior Authorizations for Medicaid;
- Provides clinical oversight of the day-to-day operations by ensuring
  - Mental health support services are consistent with the ISPs and program schedule of activities,
  - Psychiatric and medical needs are identified and appropriate follow-up care is arranged,
  - o Case management needs are addressed,
  - o Schedules supervision of staff.
  - Interfacing with other professionals and family members
- · Completes or assigns qualified staff to
  - Comprehensive admission paperwork including all required assessments and ISPs,
  - o Quarterly ISP reviews,
  - Other written documentation including but not limited to shift reports, daily progress notes, serious incident reports, mental health support notes, and family and professional contacts.
- Provides mental health support, and involves residents in community activities as specified in the individual services plan,
- Maintains a professional relationship with mental health agencies;
- Keeps current with all mandatory training requirements.

#### Minimum Knowledge, Skills, And Abilities:

- Knowledge of the concepts of evidenced based practices and related physical conditions and multiple treatment modalities for persons with serious mental illness;
- Knowledge of the Principles of Recovery;
- Knowledge of first-aid, behavioral management, personal and environmental hygiene;

- Ability to provide supportive counseling and rehabilitation services in a residential setting;
- · Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;
- Ability to engage, lead, and supervise staff in the design and implementation of rehabilitative activities, supportive counseling services, and 24 hour residential care;
- Ability to maintain effective working relationships with clients and other employees.
- Ability to collaborate professionally with other agencies.

#### Required Experience or professional qualifications:

- Must have a Professional License in counseling, social work or psychology.
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended.
- Must have 2 years experience working with SMI adults.
- Must have supervisory experience.

I have received and reviewed a copy of the job d Gateway Homes dated October 1, 2016.	escription for a Clinical Operation	ns Director at
Employee's Signature	Date	

# Gateway Homes, Inc. Psychiatrist Job Description

Title: Psychiatrist

Department: Administration

Supervisor: Executive and Clinical Director

Date: October 1, 2015

#### Summary:

This is an administrative position subject to the personnel policies of Gateway Homes and the direct supervision of the Executive and Clinical Director. The purpose of the position is to provide psychiatric services to Gateway Homes. This position is a contracted position with Gateway Homes.

#### Essential Duties and Responsibilities:

- Provides direct care psychiatric services once each week to residents scheduled at Chesterfield Campus and every other month to residents in Fairfax;
- Available by pager or telephone for emergency psychiatric consultation, medication order clarification, medication order renewal, and consultation with inpatient treatment providers as needed.
- Provides psychiatric services to Gateway residents, including initial psychiatric
  evaluations: ongoing medication management and review: telephone consultation with
  Gateway staff for medication order clarification or renewal and during psychiatric
  emergencies: on-site consultation with Gateway staff for purpose of service coordination,
  treatment planning and case formulation; and completion of documents or other
  correspondence required (e.g., completion of forms for agencies such as Social Security
  Administration and payors such as Medicaid).
- Maintains appropriate records relating to all provided services (such records shall be and will remain the property of Gateway).
- Completes documentation required for licensing and reimbursement.

#### Minimum Qualifications:

- · Licensed in the Commonwealth of Virginia as Psychiatrist
- Licensed by the DEA to administer controlled substances.

I have read and received a copy of the job description for Psychiatrist dated October 1. 2015.

Signature Date

# Gateway Homes, Inc. Staff Nurse Job Description

Title: Staff Nurse

**Department**: Group Home **Supervisor**: Program Manager

Date: October 1, 2016

#### Summary:

The Staff Nurse is responsible for oversight of the nursing, medication and medical needs of the residents in a group home. This position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes. This position reports to the Program Manager.

#### **Essential Duties and Responsibilities:**

- Orders medication from pharmacy, check medications against Doctor's orders, stock the
  medication cart, and maintain the medications in the medications cart in keeping with
  nursing and pharmacy standards and practices,
- Ensures that lab work is completed as ordered,
- Assists with on-site psychiatrist during medication management and review to provide feedback regarding resident symptom presentation and progress,
- Transcribes all Doctor's orders,
- Assesses resident's medical needs and schedules medical appointments as needed,
- Maintains a schedule of IM medications and administers as scheduled,
- Administers and monitors medication as prescribed; ensures appropriate documentation, educates, monitors and coaches residents as needed to ensure residents understand the purpose and importance of taking medications as prescribed,
- Assists residents with scheduling needed medical appointments, including annual physical examinations,
- Ensures monthly blood pressures and weights are recorded on each resident or as ordered by the Doctor,
- Reviews all MARs on a weekly basis and provides the Program Manager with a result of the review,
- Completes required documentation, including, but not limited to, shift reports, progress notes, and serious incident reports,
- · Performs other duties as requested by the Program Manager or immediate supervisor,
- Supports the mission, vision and values of Gateway Homes,
- Assists the Program Manager and co-workers by being a proactive and engaged member of the team,
- Keeps current with all mandatory training requirements, including, but not limited to, CPR, First Aid, and TOVA certificates,
- Adheres to the personnel policies of Gateway Homes, Inc.,
- Reports directly to the Fairfax Program Manager.

#### Minimum Knowledge, Skills, and Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of nursing care and practices, first aid, behavioral management, personal and environment hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' medical conditions, behavior, attitude, and physical condition
- Ability to communicate effectively, both orally and written
- Ability to maintain effective working relationships with others employees and clients

#### Required Experience or professional qualifications:

- Licensed as a practical nurse, or licensed as a registered nurse
- One year of full time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.

Employee Signature	Date

I have read and received a copy of the job description for Staff Nurse dated October 1, 2016.

#### Gateway Homes, Inc. Team Leader Job Description

Job Title: Team Leader Program/Department: Clinical Supervisor: Program Manager

Date: October 1, 2016

#### **Position Summary:**

This position is responsible for management of the program for the daily operations. The position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Program Manager.

#### **Duties and Responsibilities:**

- Supports the mission, vision and values of Gateway Homes, Inc.,
- Maintains standards of clinical care and compliance with all regulations applicable to the Program including licensing and human rights standards,
- Provides oversight of the day-to-day operations by ensuring
  - Mental health support services are consistent with the ISPs and program schedule of activities,
  - Psychiatric and medical needs are identified and appropriate follow-up care is arranged,
  - Case management needs are addressed,
  - Supervision of the team functions effectively to meet the need of the individuals served,
  - o Interfacing with other professionals and family members
- · Provides administrative oversight of the day-to-day operations by
  - Making staff assignments,
  - o Arranging for physical plant and vehicle cleaning and repairs as needed, and
  - Ensuring shopping is completed for food and other supplies.
- · Completes or assigns qualified staff to complete
  - o Initial ISP and Quarterly ISP reviews,
  - Other written documentation including but not limited to shift reports, daily progress notes, serious incident reports, mental health support notes, and family and professional contacts.
- Provides mental health support, and involves residents in community activities as specified in the individual services plan,
- · Keeps current with all mandatory training requirements.

#### Minimum Knowledge, Skills, And Abilities:

 Knowledge of the concepts of evidenced based practices and related physical conditions and multiple treatment modalities for persons with serious mental illness;

- Knowledge of the Principles of Recovery;
- Knowledge of first-aid, behavioral management, personal and environmental hygiene;
- · Ability to complete documentation in a thorough and timely manner;
- Ability to provide supportive counseling and rehabilitation services in a residential setting;
- · Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;
- Ability to engage, lead, and supervise staff in the design and implementation of rehabilitative activities, supportive counseling services, and 24 hour residential care;
- Ability to maintain effective working relationships with clients and other employees.
- Ability to collaborate professionally with other agencies.

#### Required Experience or professional qualifications:

- Must have a minimum of a Bachelor's degree in counseling, social work or psychology.
   Masters degree preferred.
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified
  to administer medications in accordance with the requirements of §54.1-3408 et seq. of
  the Code of Virginia, as amended.
- Must have 1 year of experience working with SMI adults.
- · Must have supervisory experience.

I have received and review dated October 1, 2016.	wed a copy of the job d	lescription for a Team Lea	ader at Gateway Hom	e
Employee's Signature		Date		

#### Gateway Homes, Inc. Recovery Support Specialist Job Description

Job Title: Recovery Support Specialist

Program/Department: Clinical Supervisor: Program Manager

Date: October 1, 2015

#### Position Summary:

This position is responsible for providing direct care, case management and mental health support to individuals with serious mental illness in a residential setting. The position is non-exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes. Inc. This position reports to the designated Program Manager.

#### **Duties and Responsibilities:**

- Supports the mission, vision and values of Gateway Homes, Inc.,
- Adheres to the personnel policies of Gateway Homes. Inc.,
- Assists the Program Manager in maintaining standards and regulations that are required by the program.
- Supports the Program Manager and co-workers by being a proactive and engaged member of the team.
- · Participates in clinical meetings,
- Provides mental health support and psychosocial rehabilitation to residents as specified by their ISP.
- · Participates in group development, facilitation and documentation,
- Involves residents in community activities as appropriate.
- Keeps current with all mandatory training requirements including but not limited to CPR, First Aid, and TOVA.
- Administers and monitors medication as prescribed: ensures appropriate documentation; educates, monitors and coaches residents as needed to ensure residents understand the purpose and importance of taking medications as prescribed.
- Provides therapeutic supervision including monitoring, mentoring, case management and interacting with residents.
- Assists residents with meal preparation, nutritional intake and daily care and living activities,
- Monitors the physical environment of the facility and its equipment; takes appropriate
  measures to correct any identified safety hazard; ensures environment is clean and orderly.
- Provides transportation as assigned by the Program Manager,
- Completes required written documentation including but not limited to shift reports, daily
  progress notes, serious incident reports, mental health support notes, family contacts, and
  professional contacts,

Performs other duties as requested by the Program Manager.

#### Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of simple nursing care, first-aid, behavioral management, personal and environmental hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- · Ability to engage in the care, training, and rehabilitation of seriously mentally ill clients
- Ability to provide basic personal care and hygiene
- Ability to perform established training, care, and programmatic activities
- · Ability to teach clients eating, bathing, dressing, grooming, and other self-care skills
- Ability to participate with professional staff in the design and implementation of training and programmatic activities
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' behavior, attitude, and physical condition
- · Ability to perform simple math and communicate effectively, both orally and in writing
- Ability to maintain effective working relationships with clients and other employees

#### Required Experience or professional qualifications:

- Education equivalent to graduation from college with a major in human services and at least 21 years of age. Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended.
- One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.

I have received and reviewed a copy	of the job description	for a Recovery	Support Specialist at
Gateway Homes.			

Employee's Signature	Date

#### Gateway Homes, Inc. Peer Support Specialist Job Description

Job Title: Peer Support Specialist Program/Department: Clinical Supervisor: Program Manager

Date: October 1, 2015

#### **Position Summary:**

This position is responsible for providing support and guidance to individuals with serious mental illness in a residential setting. The position is non-exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes. Inc. This position reports to the designated Program Manager.

#### **Duties and Responsibilities:**

- · Supports the mission, vision and values of Gateway Homes, Inc.,
- Adheres to the personnel policies of Gateway Homes, Inc.,
- Assists the Program Manager in maintaining standards and regulations that are required by the program.
- Supports the Program Manager and co-workers by being a proactive and engaged member of the team.
- Provides peer support to individuals as deemed appropriate.
- Involves residents in community activities as appropriate,
- Keeps current with all mandatory training requirements,
- Provides therapeutic supervision including monitoring, mentoring, facilitating groups, and interacting with residents,
- · Assists residents with meal preparation, nutritional intake and daily care and living activities,
- Educates, monitors and coaches residents as needed to ensure residents understand the purpose and importance of taking medications as prescribed.
- Performs other duties as requested by the Program Manager.

#### Minimum Knowledge, Skills, And Abilities:

- Completion of the NAMI peer to peer counseling program:
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes:
- Ability to engage peers in skills development:
- Ability to participate with professional staff in the design and implementation of training and programmatic activities;
- · Ability to observe the rights and personal dignity of others:

- Ability to interact therapeutically with peers:
- Ability to maintain effective working relationships with clients and other employees:
- Must be able to stand or sit for entire shift and be able to lift at least 25 lbs.

#### Required Experience or professional qualifications:

- Must have high school diploma or equivalent. Training in Peer Counseling offered by NAMI required.
- One year of full-time or equivalent part-time paid or volunteer experience in the mental health field or equivalent experience.

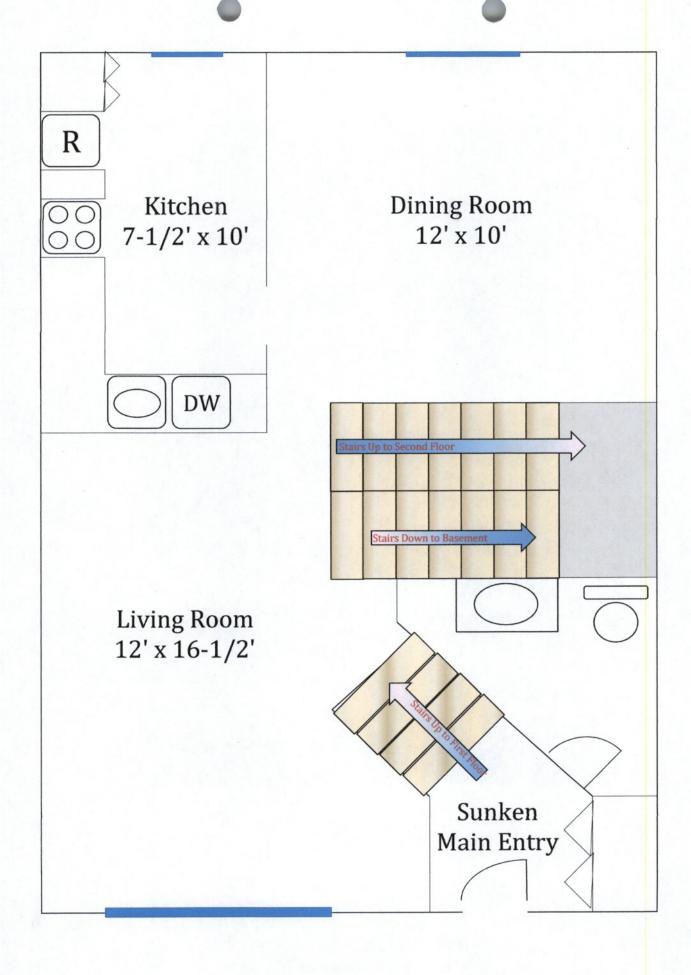
I have received and reviewed a copy	of the job description for a Peer Specialist at Gateway
Homes dated October 1, 2015.	

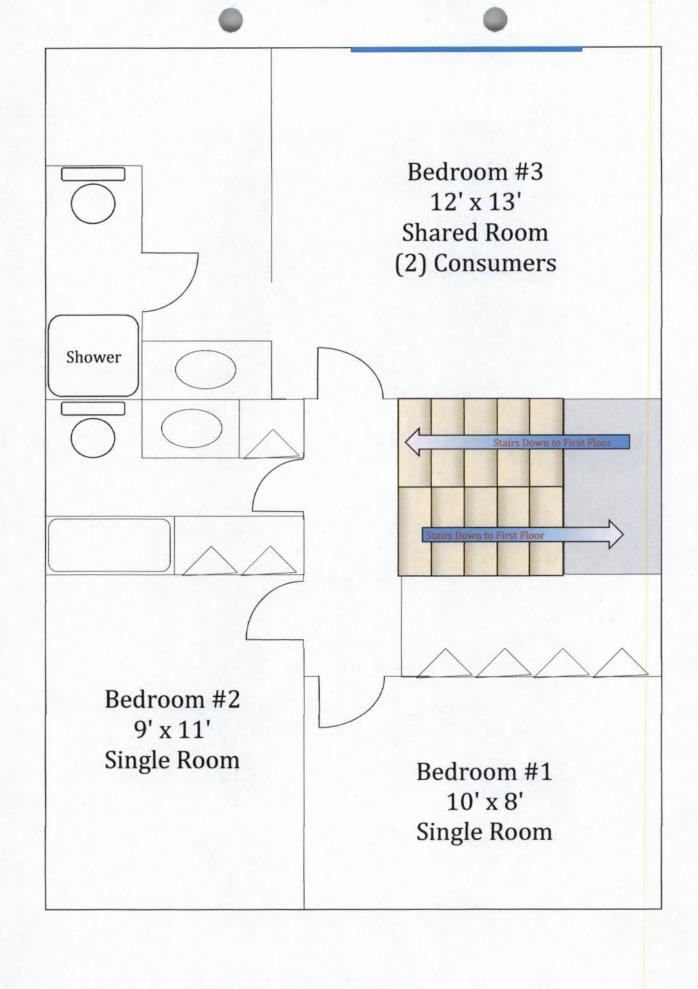
Employee's Signature	Date	

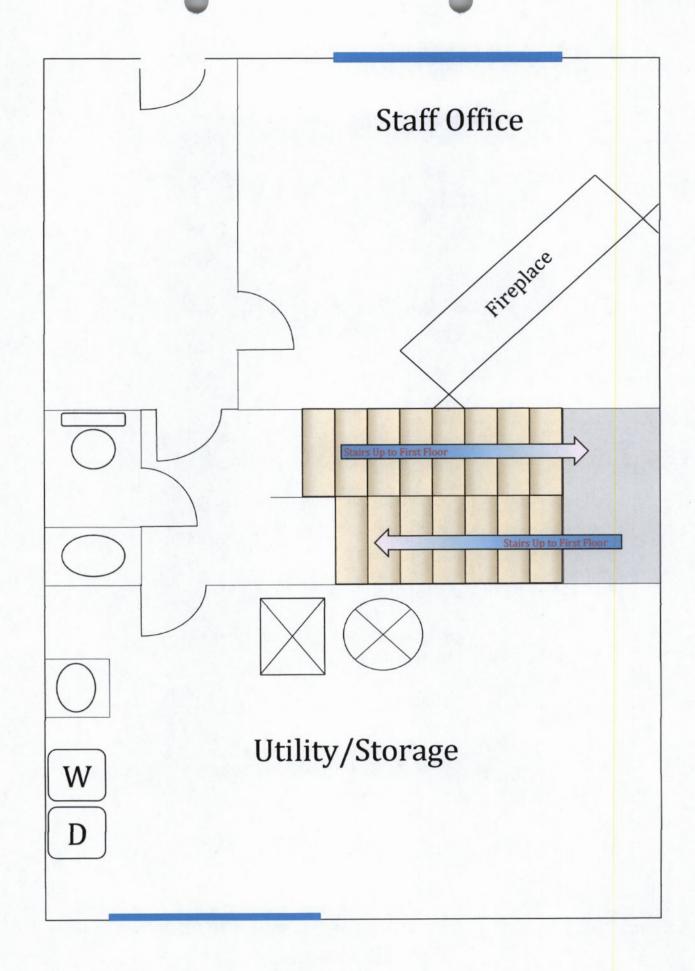
## **Technical Proposal**

Supervised Residential Services Tab 3

Section 6: Residential Site Floor Plans and Pictures







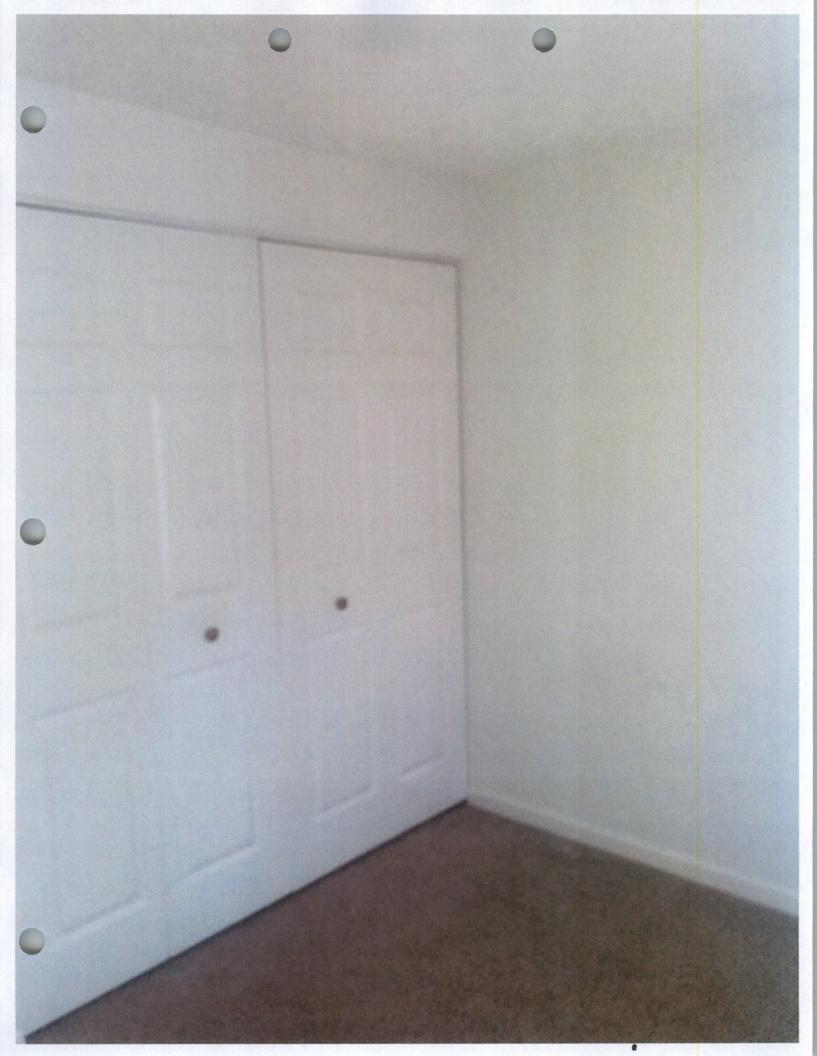














### **Technical Proposal**

Supervised Residential Services Tab 3

# Section 7: Policy and Procedures Manual

(see separate binder)

## **Technical Proposal**

Supervised Residential Services Tab 3

**Section 8: Staffing Plan** 

# Staffing Schedule for Gateway mes, Inc. - Supervised Living

July 31 - August 6		Monday 31	Tuesday 1	Wednesday 2	Thursday 3	Friday 4	Saturday 5	Sunday 6
12a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #5
00 An	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS #3	PRN RSS #3
oqth	Recovery Specialist	RSS #1	PRN RSS #4	PRN RSS #4				
4p-9p	Recovery Specialist	Fractional RSS #2	PRN RSS #3	PRN RSS #4				
4p-12a	Recovery Specialist	RSS #2	PRN RSS #5	PRN RSS #5				
Peer Specialist			12pm - 8pm		12pm - 8pm		12pm - 4pm	
Nurse		8am - 4pm		8am - 4pm		8am - 12pm		
August 7 - 13		Monday 7	Tuesday 8	Wednesday 9	Thursday 10	Friday 11	Saturday 12	Sunday 13
12a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #5
00.42	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS #3	PRN RSS #3
d4po	Recovery Specialist	RSS #1	PRN RSS #4	PRN RSS #				
Am 120	Recovery Specialist	Fractional RSS #2	PRN RSS #3	PRN RSS #4				
4h-17a	Recovery Specialist	RSS #2	PRN RSS #5	PRN RSS #5				
Peer Specialist			12pm - 8pm		12pm - 8pm		12pm - 4pm	
Nurse		8am - 4pm		8am - 4pm		8am - 12pm		
August 14 - 20		Monday 14	Tuesday 15	Wednesday 16	Thursday 17	Friday 18	Saturday 19	Sunday 20
12a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #5
47-c8	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS #3	PRN RSS #3
d+-bo	Recovery Specialist	RSS #1	PRN RSS #4	PRN RSS #4				
172 al	Recovery Specialist	Fractional RSS #2	PRN RSS #3	PRN RSS #4				
Tp-15a	Recovery Specialist	RSS #2	PRN RSS #5	PRN RSS #5				
Peer Specialist			12pm - 8pm		12pm - 8pm		12pm - 4pm	
Nurse		8am - 4pm		8am - 4pm		8am - 12pm		
August 21 - 27		Monday 21	Tuesday 22	Wednesday 23	Thursday 24	Friday 26	Saturday 26	Sunday 27
12a-8a	Recovery Specialist	PRN RSS #1	PRN RSS #1	PRN RSS #1	PRN RSS #2	PRN RSS #2	PRN RSS #2	PRN RSS #
nV-c8	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	Team Leader	PRN RSS #3	PRN RSS #3
04-40	Recovery Specialist	RSS #1	PRN RSS #4	PRN RSS #4				
4n-12a	Recovery Specialist	Fractional RSS #2	PRN RSS #3	PRN RSS #4				
4h-179	Recovery Specialist	RSS #2	PRN RSS #5	PRN RSS #5				
Peer Specialist			12pm - 8pm		12pm - 8pm		12pm - 4pm	
Nirse		8am - 4nm		8am - Anm		8am - 12nm		

**TECHNICAL PROPOSAL:** 

Supportive Residential Services

#### Statement of Qualification

Organizational and Staff Experience: Offerors must describe their qualifications and
experience to perform the level of service proposed. Include information relative to
implementing recovery model practices in the SMI population and experience as a
partner in a system of care. Include experience in crisis intervention services to reduce
hospitalizations. Qualified offerors must demonstrate at least five (5) years of experience
providing integrated care and implementing recovery model practices in the SMI
population.

Response: Gateway Homes, Inc. has been providing residential treatment services to adults with serious mental illness for the past 33 years. Of the 110 individuals served annually through the Chesterfield program, approximately 40 percent have a legal status of Not Guilty by Reason of Insanity (NGRI). More specifically, since July 2011, Gateway has operated an ICRT in Annandale, Virginia serving eight individuals discharged directly from Northern Virginia Mental Health Institute in partnership with the Northern Virginia Regional Projects Office.

Gateway Homes, Inc. originally incorporated as a non-profit organization in December, 1983. Gateway was founded by two families who had adult children with mental illness and did not want their children to live the remainder of their lives in a state hospital. The mission of Gateway Homes is to provide transitional residential treatment to adults diagnosed with mental illness who are striving to live independently. The vision of Gateway is to make recovery a reality for adults who are seeking independence.

The main campus of Gateway Homes is located on 40 acres in Chesterfield, Virginia. The campus houses 16 individuals in a Supported Living Center providing supervision 24 hours per day seven days per week. Three buildings exist for the Supportive Apartment Program with a total of 14 units housing 25 individuals as follows: one efficiency apartment, four single apartments and ten two bedroom apartments. Staffing for the apartments is available 14 hours per day seven days per week. Additional services are available as individuals' transition to the community and chose an apartment option usually with a roommate due to budgetary considerations. Gateway continues to provide supportive services including access to all activities, the outpatient clinic and the vocational program. Participation in all or part of these services is entirely optional depending upon the desires of the individual. Currently Gateway is serving 41 individuals in housing on campus and an additional 17 in the community setting. Of the 41 individuals on campus 40 percent have a legal status NGRI, are on 48 hour passes or conditional release and require additional reporting to the NGRI coordinators and ultimately to the court. Gateway also provides psychosocial rehabilitation services to six individuals from Central State Hospital who are on eight hour passes and participate in activities on campus two days per week.

In July 2011, Gateway Homes, Inc. entered into a contract with Health Planning Region II to provide staffing and services for an eight bed Intensive Care Residential Treatment (ICRT) Facility in Annandale, Virginia. This contract expires June 30<sup>th</sup>, 2017 and this proposal will include our rebidding for that program. Fairfax-Falls Church Community Services Board is the fiscal agent for this contract. The individuals are admitted directly to the ICRT from Northern

Virginia Mental Health Institute and present with many challenging behaviors and needs as they leave the hospital after varying periods of institutionalization. During the past five years Gateway has been able to transition five of these residents to less restrictive environments. Currently there are two additional residents who are waiting for placement in a lesser restrictive setting having met their goals as indentified in their individualized treatment plan. This facility provides significant crisis intervention skills that reduce the burden to local emergency services and Merrifield center by providing on site crisis assessment and intervention. Gateway feels it is important to offer understanding and compassion for this particularly challenging level of care and makes every effort to avoid hospitalization. In five years, only one person was unable to return to the program after having twice threatened a staff person and returned to Northern Virginia Mental Health Institute. Several consumers have benefited from in house crisis intervention and avoided arrest, hospitalization, and/or removal as a result of goal directed behavior.

Gateway Homes, Inc. has also partnered with Fairfax Falls Church Community Services Board through a Memorandum of Agreement. Gateway Homes, Inc., as a non-profit organization was able to purchase property in Lorton, Virginia which was used to provide housing to individuals who are indigent and diagnosed with a serious mental illness but receive mental health services through Fairfax-Falls Church Community Services Board. This program was closed in July of 2016 and the home is currently available for our use; however, we have not yet decided upon its next inception.

Most recently, Gateway partnered with the Department of Behavioral Health and Development Services (DBHDS) and Health Planning Region V (HPR V) to open an Intensive Community-Based Residential Treatment (ICRT) home and a Transitional Supportive Living home in the Williamsburg area. All individuals admitted were either civil or forensic admissions from Eastern State Hospital.

Gateway Homes, Inc. is totally committed to serve the population of individuals who have been institutionalized in state hospitals and have varying and challenging behaviors associated with their mental illnesses. Gateway is committed to working with individuals who have not been successful in other placements.

 <u>Licensure and Certifications</u>: Offerors must include verification of eligibility and/or application for appropriate licensure at time of proposal submission or the service level proposed (see Section 6.1) and all other applicable certifications or accreditation of the organization.

Response: Gateway currently holds licenses issued by the Department of Behavioral Health and Developmental Services as follows: Supervised Living Services, Outpatient Clinical Services, Group Home, Mental Health Skills Building and Psychosocial Rehabilitation. These licenses all expire in November 2017. Dr. Hyatt holds the following credentials: Licensed Clinical Psychologist, Licensed Assisted Living Facility Administrator and Perceptor, Certified Sex Offender Treatment Provider, Certified Forensic Evaluator for Adults and Juveniles.

Once sites have been located and obtained, Gateway will engage in a licensing modification request for each location as is required by DBHDS.

3. <u>References</u>: Offerors must provide at least three references for similar or related programs and services performed and include organization name, description of the work performed, organization address, and names of contact persons with telephone numbers and email addresses at the organization. Only one reference may be from Fairfax County.

Response: Please find attached three letters of reference.

4. <u>Personnel</u>: Offerors must identify all full-time and part-time staff, proposed consultants and subcontractors who may be assigned to the service level proposed. Information is required which will show the qualifications of the work group assigned to the service proposed and recent relevant experience. Special mention shall be made of direct supervisors and key personnel, and approximate percentage of the total time each will be available to the level of service proposed. The technical areas, character and extent of participation by any subcontractor or consultant activity must be indicated and the anticipated sources identified.

#### Response:

- Lynda Hyatt, Ph.D. will be responsible for executive oversight of the program. She currently serves as Gateway's Executive and Clinical Director. Dr. Hyatt is a licensed clinical psychologist with 25 years of experience working with community mental health. She is a forensically trained psychologist and is intimately acquainted with the forensic population and the NGRI process. Initial time commitments will equal 1/3 of her time per week with a decrease to 1/5 per week after the first 4 6 months depending upon the progress of the project and the need for immediate oversight.
- Catherine Powell, MSW, LMHP-S will be responsible for operational oversight of all programs directly related to this proposal. She has been the facility director for the ICRT in Annandale for five years and has 8 years of community mental health experience. She specializes in person centered care and utilizes a recovery-focused approach. She is currently under licensure supervision with an expected completion of October, 2017. Initial time commitments will equal 100% of her time per week overseeing the day to day operations of all facilities directly related to this proposal.
- Sridhar Yaratha, M.D. will be responsible for medication management and consultation. He is a forensically trained psychiatrist.
- Molly Bowles, BS currently serves as the Director of Admissions and Administration and is responsible for human resources for the staff of the Annandale ICRT.
- Resumes of staff and proposed consultants are required indicating education, background, recent relevant experience for the service proposed. Current telephone numbers and email addresses must be included.

Response: Please find attached the resumes for all staff for the program.

#### Technical Approach for the Service Level Proposed

Scope of Work: The offeror must provide a detailed scope of work that includes a
discussion of the tasks and requirements listed in Sections 5 (as appropriate) and Sections
6-7.

Response: For the purposes of the Supportive Residential Services, Gateway proposes to provide a wrap-around case manager for each consumer in this program. Consumers will be provided with wrap-around case management and mental health supports with a goal of transitioning individuals in care to a less restrictive environment in a consumer-paced and consumer-directed way. Consumers are encouraged to have a high level of involvement in treatment choices and engage in the process of recovery, as they define it.

- Upon consumer identification, the Clinical Operations Director and assigned Case Manager
  will participate in admission and discharge planning meetings with the identified consumer,
  the identified discharge planner and the consumer's treatment team at Northern Virginia
  Mental Health Institute (or other current service provider) to coordinate transition of care
  with the consumer's full involvement and awareness.
- Coordination will be communicated to the Northern Virginia Regional Projects Office
  Clinical Supervisor regularly for Health Planning Region admission and to the FairfaxFalls Church liaison for any program related to Fairfax-Falls Church CSB. At a minimum,
  the Clinical Operations Director will plan to participate in a monthly face to face meeting
  with these individuals and will include facility team leaders, as appropriate.
- A utilization report to indicate the number of service units provided for consumers referred
  will be provided monthly. Additionally, Gateway will provide written quarterly reports
  and verbal updates as needed to each Fairfax-Falls Church Community Services Board
  representative and the Clinical Supervisor for the NVRPO, as indicated.

- Upon admission to this service, the consumer will be provided an in-depth assessment of their historical treatment and a comprehensive review of documentation which will be incorporated to identify challenges with previous service providers and/or placements. The consumer will be charged with identifying their recovery goal which will be utilized to develop a Person Centered Plan (PCP) to work towards their goal. This document will drive the services provided. Should a consumer identify a goal that may appear unattainable, staff is trained in supporting the consumer to identify steps in reaching the goal and beginning with the most basic of those, typically, managing mental health symptoms effectively and seeking out supports to ameliorate challenges independently.
- Should housing be needed, staff will be trained to support the individual in locating, applying for, and moving into appropriate housing that will meet their needs and support them in their increased independence.
- Staffing:
  - Clinical Operations Director: The program will receive administrative support from a master's level, licensed-eligible and/or licensed, mental health professional who manages the operations of all services within the scope of this proposal. This individual will ensure the team leader and case managers are supervised sufficiently.
  - Case Manager: On a schedule reflecting the individualized needs and goals of the consumers, each consumer will be provided case management and mental health skills building by an individual who qualifies as Qualified Mental Health Professionals (QMHP) who will complete quarterly reports for each consumer in the program, which will then be provided to the Health Planning Region for dissemination to the Regional Aftercare Managers. All staff will be required to meet the education and experience necessary to adhere to license requirements from the Department of Behavioral Health and Developmental Services (DBHDS).
- Staff Training, Resources and Evaluation
  - Staff will be provided with extensive orientation/training and annual retraining for Therapeutic Options of Virginia (TOVA), CPR/AED, Medication Administration and Human Rights. All staff will be required to remain current in all trainings. In addition to these trainings, staff will be provided emergency management and crisis intervention training annually and at hiring to ensure a safety and consistency in managing crisis. Staff is also offered enrichment trainings to continue to develop professionally.
  - Staff will be provided access to vehicles that they may use to meet with consumers in the consumer's homes, transport consumers to appointments in the community, engage in enrichment activities with consumers, link consumers to other appropriate and needed services. Staff's driving records will be monitored to ensure they are safe drivers and in compliance with Gateway's driving policy.
  - Staff will be evaluated annually and offered frequent supervision to communicate best practices and team build regarding interventions with consumers.
  - Consumers will be assigned a case manger who works full time and engages with this
    individual to ensure PCP adherence, and provides feedback to all other staff regarding the
    consumer's needs and/or items of note. These individuals, along with an outpatient
    services team, deliver the comprehensive services.

- The outpatient services team consists of a Psychiatrist who will visit the area every six to eight weeks and provide medication managements. The Psychiatrist will also be available for on call emergencies.
- O Also, on this team, will be a Licensed Practical Nurse (LPN) who manages the physical medications, ensures medication administration documentation is accurate, ensures intra-muscular long-acting anti-psychotic medications are administered on schedule, manages the Clozaril registry, provides access and coordination for routine and physician-ordered lab draws, and manages the physical health and dental conditions, including primary care physician contact for every consumer.
- Consumers will also able to work with an Occupational Therapist on the team to develop an employment plan.
- Another team member will be a Licensed Clinical Psychologist who is trained as a behavioral specialist and is available on an as needed basis to support staff with the development of support plans.
- The final member of this team will be a Peer Specialist. This individual will supplement the time offered by the case managers and will support individuals in tasks related to meeting their goals. This individual will see each consumer at least once per week and engage in skill building.
- Consumers will be offered support with developing appropriate, safe, and hygienic independent living skills. These skills include activities of daily living, medication education/monitoring, meal preparation/planning, budget development, personal environment management, travel training on mass transit, health management development, and socially-appropriate behavioral training. All staff is trained to provide mental health skills building to the consumer in accordance with their PCP. These sessions occur on a one to one basis daily and may include, as appropriate and indicated, substance abuse treatment, support, and community based symptom management.
- Additionally, all consumers in the supportive residential program will be offered 2 groups per week where they work together on developing independence. These groups are developed with the consumer's feedback and input about topic of interest.
- Staff will coordinate the use of outside community supports, if the consumer chooses, and
  may include travel training with ENDependence, Inc., day programming with the
  Consumer Wellness Center of Falls Church, and/or programs within their catchment area,
  when appropriate and available.
- Staff will coordinate with the consumer's in the completion of custodial and housekeeping activities to ensure a clean, sanitary and well maintained home.
- As members of the Capital Area Food Bank, Gateway can support consumers by providing them with some food and supplies from the food bank.
  - 2. Preliminary Work Plan: The offeror must present a description of the phases or segments into which the proposed work can logically be divided and performed including start-up, operating and close-out phases for each service proposed. The narrative should address each applicable task required in Section 5 and the licensing and other requirements in Section 6. Discussion should be keyed to appropriate paragraph numbers in this RFP and should include detailed descriptions of activities that are to occur, significant milestones, and anticipated deliverables. In presenting the Work Plan the offeror must present a detailed description of the start-up and close-out activities including transition activities

that will occur, anticipated deliverables and timelines. The offeror's transition plan for the start-up period from the date of award to June 30, 2017 shall include a description of securing and furnishing housing sites, inspections, hiring background checks and training, managing the transition of client data and establishing other infrastructure as necessary (i.e. information technology, subcontractors, etc.). The offeror shall include discussion of proposed closeout activities for the end of the contract term.

#### Response:

- Start-Up (Period from award of contract through June 30<sup>th</sup>, 2017)
  - Should Gateway be awarded the contract for Supportive Residential Services, the following start up activities would ensue:
    - Consumer Related Start Up Items
      - Gateway will reach out to the current service provider and seek a
        meeting to discuss a transition of care. A plan will be developed with
        input from the existing service provider, Gateway, and the consumers
        who will transition.
        - The Clinical Operations Director will take a lead in the transition of client data including, but not limited to psychiatric assessment, individualized service plans with reviews, medication evaluations, and progress notes. This process will ensure a therapeutic transition of care.
        - The Clinical Operations Director will also meet with each consumer to be transferred and develop a Preliminary Person Centered Treatment Plan including the consumer's goal statements and their ideas of how to approach each goal.
        - Upon completion of their training, the staff who will work with each consumer, with the approval of the current vendor, will begin visiting the consumers and developing rapport with them, identifying goal work, and seeking out recovery-focused goals.
    - Staffing Related Start Up Items
      - Once a plan is in place, Gateway will advertise for staff and plan to hire 2 full time staff to provide in home case management and skill building services. These individuals will report directly to the Clinical Operations Director.
      - Human Resources will hire and onboard the appropriate, qualified individuals and they will begin a thorough training process.
      - Upon completion of training, all staff will be included in the transition of care, engaging clients; building rapport and helping them transition from their previous service provider.
        - Training will include licensing training, human rights training, food handling, driver's training, emergency procedure training, documentation training, TOVA training, medication administration training, and education concerning programming development and implementation.
    - Housing Related Start Up Items

- The Clinical Operations Director will develop relationships with several apartment complexes within Fairfax County and work to identify appropriate housing options for individuals at this level of need.
- Should a consumer require support with housing, Gateway staff will help them locate, apply, acquire and relocate to new housing.
- Gateway will submit a licensing modification to include in home mental health skill building upon award of contract.

#### Operating

- o Programming Schedule
  - Each consumer will be offered a variety of choices for activities. A
    programming schedule will be developed with the consumer's input to reflect
    their choices and needs. Some possible activities may include:
    - Participation in community-based drop in centers, employment opportunities, volunteer opportunities, or continuing education opportunities.
    - In addition to these options, consumers will be offered individualized mental health skills building in accordance with their Person Centered Plan.
      - Also, groups and activities will be scheduled twice per week with the consumer's input.

#### Daily Living Support

- Each meeting, staff will assess the environment and ensuring a safe and hygienic home. Skill education will be offered to consumers on keeping their personal space clean and safe.
- Staff will also assess the consumer's ability to prepare meals that nutritious. Staff will provide skill education concerning hygienic food preparation methods and to educate consumers who wish to participate and develop their cooking skills to do so, as well.

#### Close-out

- Should Gateway not be awarded a contract to continue services at the end of the contract period, Gateway plans to initiate a therapeutic shift of services, including:
  - Meeting with the chosen vendor for the program and establishing a plan of transition within two weeks of contract award.
  - Offering consumer's recovery-focused education on transitioning from one provider to another to ensure continued movement towards recovery and offer an opportunity to meet their new service providers.
  - Should the provider wish to work in tandem over a short period to ensure consistency in care, Gateway would be willing to offer a period of transition; however, this will depend upon the provider's wishes.
  - Gateway would provide records to the service provider as per their requests and provide a discharge summary for each individual transitioning including any upcoming appointments and/or regularly scheduled appointments/labs.
  - Gateway's full intention would be to preserve the therapeutic nature of the program, continue the focus on recovery, and to encourage the consumers to develop adaptability skills to adjust to different providers.

3. Treatment of the Issues: In this section, the offeror may also comment if deemed appropriate, on any aspect of the Request for Proposal, including suggestions on possible alternative approaches to the scope, tasks and other requirements presented in Sections 1, 5 and 6 ("Scope of Services," "Tasks to be Performed" and "Licensing and Other Requirements") and may propose alternative approaches. In addition, the offeror may comment on the offeror's current capacity, anticipated future service capacity needs during the contract term and the offeror's requirements for adding capacity.

Response: Gateway will be open and willing to increase capacity over the contract period. We suggest that each capacity increase for this level of care will encompass 5 consumers at a time would increase the budget by the amount noted in the cost proposal for one additional full time staff person.

4. Residential Sites: If Highly Intensive or Supervised services are proposed, include detailed descriptions of the residential sites proposed for each service including floor plans, maps and pictures, if available. (Detailed descriptions of the Annandale site that will be provided by HPR II for Highly Intensive services until July 2018 are not required.) Sites do not need to be secured by the offeror at the time of proposal submission but shall be secured no later than July 1, 2017 for the start of services. Include discussion of tenancy agreements, as appropriate, to accommodate individuals who are living with serious and persistent mental illness. For Highly Intensive services specifically, the offeror shall include the use of the eight-bed site located in Annandale, Virginia under a current lease secured by Fairfax County until July 31, 2018 and propose additional housing site(s) to fulfill the total minimum capacity of sixteen requested. Offerors of Highly Intensive services shall also describe plans to secure the minimum housing capacity requested when the Annandale site lease expires in July 2018.

Response: Not applicable.

Outcomes: The offeror must include discussion of their performance accountability
process and provide performance and accountability measures to be used for each of the
services proposed (see Paragraph 6.13).

Response: Gateway used evidence based practices to support consumers in their movements towards recovery. Gateway routinely seeks feedback about programming and seeks to include the consumers' interests and ideas. To ensure these practices continue Gateway will implement a Program Evaluation that assesses:

- · Services and the Quantity of Services Provided
  - Consumers will be engaged to identify their goal for group participation.
     Attendance will be logged in groups and documented in the progress notes.
  - o A documentation review will indicate the consumer's adherence to their goal.
- Quality of Service Delivery and Client Responses to Services
  - Annually, consumers will be offered the opportunity to participate in a Quality Assurance activity. Each participant will be interviewed and provided an

## RFP2000002064 Residential Treatment Services TECHNICAL PROPOSAL – Supportive Residential Services

anonymous survey regarding the services they are receiving. The interviews and surveys will be specialized to the individual's level of comprehension.

- Feedback from these interviews and surveys will support staff in developing continued interventions and activities.
- Changes in Client Circumstances after Receiving Services Are clients better off and how?
  - O Gateway documents client outcomes based on the level of care to which they were discharged. Currently, on our Chesterfield campus, we serve 58 individuals in their own homes and provide mental health skills building at about weekly. The number of units of service received depends upon the goals of the Personn Centered Plan identified by the client and the client's availability when approached for appointments for services.
- 6. <u>Policies and Procedures</u>: The offeror must include their policies and procedures for the specific service proposed. A Table of Contents from the Policy and Procedures Manual for the service is acceptable, at a minimum. See Paragraph 6.9 and Appendix E for a policy and procedures checklist.

Response: Please see the attached Policy and Procedures Manual

7. Staffing Plan: A staffing plan is required which describes the Offeror's proposed staff distribution to accomplish the service proposed, including staff to client ratios described in detail for the service. The staffing plan should indicate a chart that partitions the time commitment of each professional staff member across the proposed services/sites and a timeline for each facility proposed for Highly Intensive and Supervised services. It is mandatory that this section identify the key personnel who are to work on each service level proposed and at each site, their relationship to the contracting organization, and amount of time to be devoted to the service/site. This includes Consultants and subcontractors as well as regular employees of the offeror, if relevant. In addition, the staffing plan should identify the minimum and preferred qualifications for all staff positions. The offeror shall identify any staffed positions and/or services that are proposed to be contracted out and identify the subcontractors. The county must approve all future subcontractors in writing prior to the provision of services.

Response: At the Supportive Residential Services level, each consumer will have a dedicated case manager and these individuals will serve in an on call capacity, as well.

- This program will be supervised by the Clinical Operations Director who, at a minimum, will be a master's level, licensed or licensed eligible professional who will split their time fractionally across all programs awarded as a result of this bid.
- Each Case Manager will be a Qualified Mental Health Professional. Each full time Case Manager will commit 20% of their time to each consumer with a maximum of five consumers on their caseload.
- This program will have access to an LPN nurse and a Certified Peer Specialist who will commit 10% of their time with consumers and the remainder of their time in residential programs.

## RFP2000002064 Residential Treatment Services TECHNICAL PROPOSAL – Supportive Residential Services

8. <u>Contingency Planning</u>: Offeror should demonstrate an awareness of difficulties in the provision of services proposed, and a plan for surmounting them.

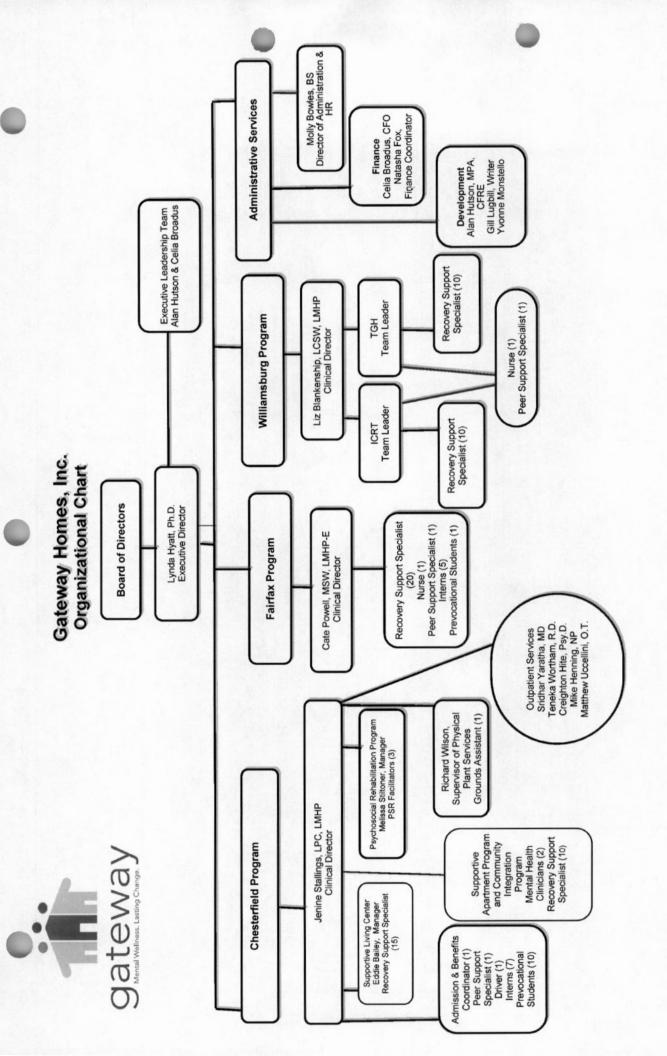
Response: Gateway anticipates the following <u>possible</u> impediments that are outside the control of the Offeror:

- 1. A possible delay in identification of housing for individuals requiring this support.
- 2. Although modifications to licensing for mental health skills building will be sought immediately after contract award, the length of time for process of approval is outside the control of Gateway and is dependent on the licensing division of DBHDS.
- 3. Immediately upon contract award, Gateway will proceed with seeking to add an office location to the existing affiliation with the Local Human Rights Committee in order to establish the relationship that is necessary to meet state requirements.
- 4. A possible delay in admissions may occur due to the process for identifying candidates.

## **Technical Proposal**

Supportive Residential Services Tab 4

**Section 1: Organizational Chart** 



## **Technical Proposal**

Supportive Residential Services Tab 4

**Section 2: Licensure Documentation** 

# Commonwealth of Virginia

Department of Behavioral Health and Developmental Services

Pursuant to the provisions of Title 37.2, Code of Virginia and The Rules and Regulations of the DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES

A License is hereby granted to

GATEWAY HOMES INC. 11901 REEDY BRANCH RD CHESTERFIELD, VA 23838

to maintain and operate

SEE ADDENDUM FOR LISTING OF LICENSED SERVICES

LICENSE AS: A PROVIDER OF MENTAL HEALTH SERVICES STIPULATIONS:

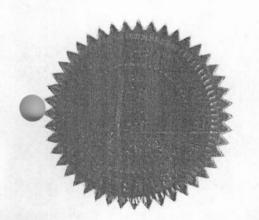
This TRIENNIAL license is for the period beginning SEPTEMBER 08, 2016 through NOVEMBER 30, 2017 subject however to revocation for justifiable cause.

License Number: 673

Ву

JACK BARBER, M.D.
INTERIM COMMISSIONER

CLEOPATRA BOOKER, PSY.D. DIRECTOR, OFFICE OF LICENSING



#### GATEWAY HOMES INC.

#### **Licensed Services**

 Licensed As: A mental health and substance abuse residential group home service for adults.
 Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date	
673-01-003	Triennial	12/01/2014	11/30/2017	

Locations:

1 Annandale Group Home

4024 Hirst Drive

Annandale, VA 22003

Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 07/01/2011

2. Licensed As: A mental health supervised living service for adults. Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-01-012	Triennial	09/07/2016	11/30/2017

Locations:

1 Supervised Living Apartments

Jean Machenburg Dr. Chesterfield, VA 23838

Bed Capacity: 25 Child/Adol. Beds: 0

Effective Date: 12/16/2013

Supervised Living Center 11901 Reedy Branch Rd Chesterfield, VA 23838

Bed Capacity: 16 Child/Adol. Beds: 0

Effective Date: 12/16/2013

3 The Hamilton Center 4933 Westmoreland Frive Williamsburg, VA 23188

Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 09/07/2016

4 The Williams Center 101 Woodmere Drive Williamsburg, VA 23185

Bed Capacity: 8 Child/Adol. Beds: 0

Effective Date: 09/07/2016

3. Licensed As: A mental health day support psychosocial rehabilitation service for adults.

Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-02-011	Triennial	12/01/2014	11/30/2017

#### GATEWAY HOMES INC.

Locations:

1

Chesterfield

11901 Gateway Farm Rd Chesterfield County Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

4. Licensed As: A mental health community support service for adults with serious mental illness.
Stipulations:

Service License Number	Type of License	Effective Date	Expiration Date
673-03-001	Triennial	12/01/2014	11/30/2017

Locations:

1

Chesterfield MHCS

11901 Reedy Branch Rd Chesterfield County Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

5. Licensed As: A mental health outpatient service for adults.
Stipulations: The provider shall comply with the regulations of the Boards of Health Professions and the Board of Medicine

Service License Number	Type of License	Effective Date	Expiration Date	
673-07-003	Triennial	06/16/2015	11/30/2017	

Locations:

1 Outpatient Services

11811 Reedy Branch Rd. Chesterfield, VA 23838

Bed Capacity: 0 Child/Adol. Beds: 0

Effective Date: 12/16/2013

## **Technical Proposal**

Supportive Residential Services Tab 4

**Section 3: Letters of Reference** 



### COMMONWEALTH of VIRGINIA

JACK BARBER, M.D. INTERIM COMMISSIONER DEPARTMENT OF

BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES

Post Office Box 1797

Richmond, Virginia 23218-1797

November 14, 2016

Lynda Hyatt, Ph.D. Gateway Homes 11901 Reedy Branch Road Chesterfield, VA 23838

Re: Letter of Recommendation

Dear Dr. Hyatt,

It is my pleasure to write this letter of support for Gateway Homes' application to provide a variety of behavioral health services in Health Planning Region II (HPR II). As you know Gateway Homes has a long history of working with the Department of Behavioral Health & Developmental Services (DBHDS) in providing specialized behavioral health services to individuals in our state facilities in an effort to provide comprehensive services to individuals in the least restrictive environment possible. The partnership with Gateway Homes has included special projects in HPR IV and HPR V with the most recent project totally \$1.2 million annual for Gateway to provide both Intensive Community Residential Treatment (ICRT) and Transitional Residential services to facilitate the discharge of individuals at Eastern State Hospital.

It has been my experience that Gateway Homes is always very responsive to the needs of both the system and of the individuals we serve. I have found the Gateway staff extremely professional and skilled at working with even the most challenging clients. Gateway has had success in serving individuals who many felt were destined to remain institutionalized. Gateway staff are extremely positive in their interactions with clients and give a sense of hope to those who often have become hopeless. Gateway has been willing to work with clients who act out when other facilities likely would have expelled the individual from the program. That being said, my experience has been that staff at Gateway Homes are skilled in risk assessment and risk management and are extremely responsive in managing community risk. Gateway Homes has also been flexible to taking on new challenges and creative in problem solving. Gateway Homes has always been fiscally responsible and willing to provide the services needed by the client, even when doing so was pro bono for Gateway.

While much of my work with Gateway Homes has focused on forensic clients, I am keenly aware of the success Gateway Homes has also had with "civil" patients. Through my 10+ year relationship with Gateway I have personally seen great success storied and II have no doubt Gateway Homes can replicate that success if awarded this new project. I have the upmost

Telephone (804) 786-3921 Fax (804) 371-6638 www.dbhds.virginia.gov respect and confidence in you and your program and can recommend Gateway unequivocally for the project.

Should Health Planning Region II need any further information from me, please let them know I can be reached at (804) 786-2615.

Sincerely,

Michael Schaefer, Ph.D., ABPP

Assistant Commissioner - Forensic Services



#### COMMONWEALTH of VIRGINIA

Tammy Peacock, Ph.D. Facility Director

#### DEPARTMENT OF BEHAVIORAL HEALTH AND DEVELOPMENTAL SERVICES Northern Virginia Mental Health Institute

3302 Gallows Road Falls Church, VA 22042 Phone: 703-207-7100 Fax: 703-207-7160

November 10, 2016

#### To Whom It May Concern:

It is my pleasure to serve as a reference for Gateway Homes. Gateway Homes is known throughout the state as a reliable partner for serving individuals with serious mental illness, co-occurring disorders, and individuals who require close monitoring or possibly one to one supervision at all times. Not only do they serve the most challenging population, they do it well. They have demonstrated their ability to move even some of the most challenging individuals to less restrictive environments over time. They have a strong belief in supporting individuals to live in the least restrictive and most integrated setting possible.

It would be an asset to any community to have additional programs such as the existing Gateway Homes. If you have any questions, please feel free to contact me.

Sincerely,

Tammy Peacock, PhD.

Director



RBHA.ORG 804-819-4000 107 SOUTH FIFTH STREET | RICHMOND, VA 23219

November 16, 2016

Linda Hyatt, PhD, Director Gateway Homes, Inc. P O Box 460 Chesterfield, VA 23832

Dear Dr. Hyatt,

As the fiscal agent writing on behalf of the Region IV consortium, I am pleased to submit this letter of support for Gateway Homes as you seek additional funding for your valuable residential and supportive services for adults with serious mental illness. Region IV has enjoyed a long and valuable relationship with your organization, most notably in the areas of transitioning individuals from the state psychiatric facilities into the community and providing the necessary wrap-around services for individuals with a forensic status.

As of today, Region IV has 10 individuals —with either a civil or a Not Guilty by Reason of Insanity (NGRI) status — residing and/or receiving residential services with Gateway Homes, who are also receiving funding through the statewide Discharge Assistance Program (DAP). The value of the DAP plans for the 10 individuals being served currently rests at \$250,378.

Gateway has done much to prioritize these individuals by placing them in services as soon as possible and working to ensure a safe, secure community-based environment for them to recover.

Again, I support your organization as you seek additional funds to maintain and improve the already valuable services offered. I am glad to be available for questions that may arise through your funding process.

Warmly,

John P. Lindstrom, Ph.D., LCP

Chief Executive Officer

Richmond Behavioral Health Authority, Fiscal Agent for Health Planning Region IV

## **Technical Proposal**

Supportive Residential Services Tab 4

**Section 4: Resumes of Staff** 

#### LYNDA J. HYATT, Ph.D.

Licensed Clinical Psychologist 9613 Kimages Road. Charles City, Virginia 23030 Home (804) 829-9843 Cell (804) 767-0292

E-mail: <a href="mailto:lhyatt@gatewayhomes.org">lhyatt@gatewayhomes.org</a> or <a href="mailto:lyyatt@live.com">lyndahyatt@live.com</a>

#### **EDUCATION**

#### GEORGIA STATE UNIVERSITY - Atlanta, Georgia

Doctorate of Philosophy, Counseling and Psychological Services with a Cognate In Organizational Development August, 1991, GPA 3.9/4.0

Master of Education, Community Mental Health Counseling with

Concentration in Family Systems - August, 1982, GPA 3.9/4.0

#### PROFESSIONAL EXPERIENCE

#### 2/13 to present

## EXECUTIVE & CLINICAL DIRECTOR GATEWAY HOMES OF GREATER RICHMOND Chesterfield, VA

- \*Financial oversight for agency with \$3.5 million budget
- \*Management of 38 acre campus with four separate facilities and census of 70 individuals including a second site in Fairfax
- \*Oversight of Human Resources and staff of 54 employees
- \*Delivery and oversight of public and community relations including development
- \*Supervision of the clinical program and services
- \*Implementation of licensing regulations for Department of Behavioral Health and Developmental Services and maintenance of Standards for Medicaid and HUD.
- \*Responsible to the President of the Board of Directors

#### 6/4/07 to 2/13

#### CLINICAL DIRECTOR

#### GATEWAY HOMES OF GREATER RICHMOND Chesterfield, VA

- \*Responsible for the daily operations of a residential transitional treatment facility currently serving 70 persons with serious mental illness in Chesterfield and Fairfax
- \*Supervision of all clinical staff
- \*Implementation of the admission process and subsequent selection of residents
- \*Monitoring of resident's movement within the program
- \*Implementation of licensure requirements for Department of Mental Health, Department of Social Services, Department of Medical Assistance Services and Housing and Urban Development
- \*Public education on the topic of mental illness to interested constituents
- \*Interface with the Board of Directors and various donor groups
- \*Funding presentations describing the campus and programming for residents at Gateway

#### REGION IV REINVESTMENT – Richmond, VA SUPERVISOR, REGION IV JAIL TEAM

6/1/04 to 6/1/07

- \*Design and development of a regional project to reduce census and expenditures to state forensic hospital resulting in reduction of \$5.8 million in three years.
- \*Presentations to legislative committees and conference memberships detailing strategic design, development and outcome measures.
- \*Testimony to state courts regarding competency/sanity issues for defendants.
- \*Training to officers, mental health staff and other para-professionals in mental illness, therapeutic communication, and behavioral interventions.
- \*Representation on state and local policy planning groups

#### CENTRAL STATE HOSPITAL - Petersburg, VA

#### **Pretrial Forensic Coordinator**

3/03 - 6/1/04

8/01 - 3/03

- \*Reviewed existing treatment modalities for pretrial detainees and made strategic recommendations for more effective, focused and comprehensive services.
- \*Developed a new admission process to reduce hospital referrals for admission by 86%.
- \* Served as the primary liaison and consultant to treatment teams, clinicians, and the Forensic Evaluation Team to ensure integration of treatment and evaluations services.
- \*Prepared court ordered forensic evaluations, functions as liaison to the courts and provided expert testimony as needed.
- \*Chair of the Internal Forensic Review Panel responsible conditional release decisions.

#### LIBERTY HEALTHCARE FORENSIC UNIT - Hopewell, VA

#### **Associate Director**

- \*Responsible for the daily operations of 35-bed in-patient psychiatric unit for court ordered pretrial male defendants.
- \*Provided direct supervision of 55 clinical and nursing staff, the forensic coordinator and forensic counselor supervisor.
- \*Implemented newly designed performance evaluation system which resulted in increased retention of employees from 52% to 82%.
- \*Assisted the executive director in implementing unit compliance with policy and procedures required by state licensure and accreditation agencies.
- \*Assisted with oversight of \$5 million budget to maintain fiduciary responsibilities. Increased profits from expected 12% to 22% by project closing date.
- \*Provided training to new staff on mental illness, mental retardation, behavioral management, legal classifications and therapeutic communication.
- \*Prepared court ordered evaluations for competency to stand trial, mental state at the time of the offense, and presentence evaluations; provides expert testimony.
- \*Conducted competency education groups for patients and advised treatment teams of patient's progress toward competency/restoration.

11/97 - 8/01

#### Forensic Coordinator/Licensed Clinical Psychologist

- \*Ensured that forensic admissions, transfers and discharges were made in accordance with appropriate policies, court orders and legal standards.
- \*Consulted with the treatment teams and other appropriate staff regarding management

2

decisions for forensic patients.

- \*Prepared weekly and monthly statistical and status reports for administration.
- \*Conducted psychological assessments and prepared written reports for adult male patients admitted to a pretrial, short term, acute care forensic unit.
- \* Functioned in role of primary therapist in providing therapeutic services to patients assigned to designated treatment team.
- \* Participated as an active treatment team member in development of comprehensive treatment plans and reviews for patients.
- \* Facilitated therapeutic groups for patients and recorded program participation.
- \*Conducted training for new employees on topics of behavioral management, mental illness and therapeutic communications.
- \*Prepared court ordered evaluations for competency to stand trial and mental state at the time of the offense; provided expert testimony to court system as requested.
- \*Conducted evaluations for sex offenders to provide risk assessment and sentencing recommendations to the court.
- \*Supervised the psychological assistant and student interns.

#### 2/97 - 9/97

## PHILHAVEN BEHAVIORAL HEALTHCARE SERVICES Lebanon, PA Mobile Therapist/Staff Psychologist

- \* Established and maintained therapeutic interactions with children and adolescents with psychiatric disorders within the community, school and family.
- \* Utilized a strengths-based approach in the provision of child -centered, family focused individual and family psychotherapy.
- \* Effectively utilized leadership/teaching/counseling techniques to gain cooperation and to motivate clients.
- \* Formulated, implemented and updated treatment plans. Designed interventions to meet the client's therapeutic needs.
- \* Supervised the therapeutic support staff assigned to the individual clients.
- \* Conducted psychological evaluations and prepared reports to indicate the client's need for continuation of services.

#### 2/96 - 9/96

## WISCONSIN RESOURCE CENTER FOR CIVILLY COMMITTED SEX OFFENDERS Neenah, Wisconsin

#### Senior Psychologist

- \*Member of the committee responsible for the development and implementation of the treatment program for civilly committed sex offenders in Wisconsin.
- \*Conducted psychological evaluations for patients committed for sex offender treatment.
- \*Developed individualized care plans for patients with high management status.
- \* Provided psychological recommendations during team staffing of patients.
- \* Provided psychological treatment including both group and individual psychotherapy.
- \* Provided psychological training to institutional staff.
- \* Participated in the involuntary commitment process.
- \* Provided court reports and expert testimony at probable cause, final commitment, and reexamination hearings.

8/93 - 12/95

#### UNIVERSITY OF NORTH CAROLINA AT CHARLOTTE

#### **Assistant Clinical Professor, Department of Human Services**

- \*Taught graduate courses in DSM-IV classification, professional ethics, crisis intervention, women's issues, family therapy, practicum and internship supervision.
- \* Advised approximately 26 students per semester.
- \* Presented selected topics at state and regional conferences.
- \*Wrote proposals for grants and conducted research.

5/93 - 12/95

#### PSYCHOLOGICAL ASSOCIATES Rock Hill, South Carolina

Therapist (part-time private practice)

- \*Provided psychotherapy for clients seeking services.
- \*Qualified as expert witness in both adult and child abuse cases for York County.
- \*Provided contract services to Employee Assistance Programs in SC. and NC.

1/92 - 8/93

#### YORK COUNTY SEXUAL ASSAULT RESOURCE CENTER Rock Hill, SC

#### **Director of Victim Services**

- \*Counseled victims of sexual assault and incest.
- \*Provided pre and post trial services for sexual assault offenders.
- \*Presented public relations and educational programs for the community.
- \*Provided advocacy for victims within the medical and legal systems.
- \*Facilitated groups for victims of sexual assault and domestic violence.
- \*Managed and supervised 30 volunteer advocates and conducted three volunteer training programs per year.

9/82 - 7/91

#### LIFE COLLEGE Marietta, Georgia

#### Director of Counseling/Associate Academic Dean

- \* Provided personal, academic and career counseling for students.
- \* Supervised professional and administrative staff.
- \* Initiated the following programs: job location and development; tutorial networking; support services for disabled students; foreign assistance; support groups; state board networking.
- \* Chaired the following committees: Academic Review, Institutional Effectiveness, Institutional Self-study, Division Chairs, and Admissions.
- \* Appointed administrator of faculty selection and evaluation process.
- \* Designed academic policies to enhance institutional awareness of student's needs.

#### **ACHIEVEMENTS**

#### Research

- \* Faculty research grant UNC Charlotte, "The Effects of Childhood Victimization on the Coping Resources of Female Adults", 1995
- \* Pilot Study for York County Sexual Assault Resource Center, "An Investigation of the Stereotypes of Middle School Students Involving Rape", 1992
- \* "Personality Traits of Chiropractic Students as Predictors of Academic Success", Dissertation, 1991

#### HONORS

- \*Appointed (2015) by the Secretary of Health and Human Resources, Dr. William Hazel to the Behavioral Health and Justice Center Advisory Committee.
- \*Appointed (2014) by the Commissioner of the Department of Behavioral Health and Developmental Services to the Behavioral Health Transformation Team for Virginia...
- \*Selected (2008) by the Virginia State Office of Forensic Services as a facilitator for the Cross Systems Mapping Initiative merging mental health and criminal justice services throughout the state.
- \*Appointed (2007) by the Commissioner of Department of Behavioral Health and Developmental Services to the Virginia State Forensic Review Panel.
- \*Gubernatorial appointment (1994) in South Carolina to the Training and Community Development Advisory Board for the Office of Victim Assistance. This board was formulated under The Victims of Crime Act to establish standardized guidelines and training agenda for agencies serving victims.

#### LICENSES &

- **CERTIFICATIONS** \* Licensed Clinical Psychologist
  - \*Certified Sex Offender Treatment Provider
  - \*Licensed Assisted Living Facility Administrator and Preceptor
  - \*Certified in Therapeutic Options of Virginia, CPR, First Aid, Medication Education & Driver's Safety

### PROFESSIONAL ORGANIZATIONS

- \*American Psychological Association & Virginia Psychological Association
- \*APA Division of American Psychology-Law Society
- \*Virginia Association of Clinical Psychologists
- \* President of American Residential Treatment Association

#### Catherine Ann Powell, MSW, Supervisee in Social Work

15629 Easthaven Court, Bowie, Maryland, 20716

Phone: 317.417.0639 Email: catepowell@yahoo.com

Skills

· Leadership History

· Case Management History

Compassionate and Empathic Social Worker

· Organized and Exemplary Customer Service

 Computer: Microsoft Office including: Word, Excel, and Outlook. Comprehensive use of Google Chrome, Internet Explorer, and other internet navigation programs. Proficient with Lauris Online, Alpha CM, and AVATAR online charting as well.

Experience

Gateway Homes, Inc. - Fairfax Program, Annandale, Virginia
Assistant Clinical Director

2011 - Present

Responsible for managing the day to day functions of a 24-hour intensive community-based residential treatment program providing wrap around services for eight consumers with serious and persistent mental illness diagnoses.

- Oversee a staff of 20 individuals providing direct care to the consumers, including
  maintaining staff scheduling, auditing staff-completed documentation, developing
  case management skills in full-time staff, completing annual reviews of
  employment, addressing employee improvement needs appropriately, and
  maintaining communication to ensure consistency of care.
- Responsible for developing programming, overseeing treatment planning creation and reviews, completing quarterly reports for funder.
- Ensure all documentation is accurate, appropriate, and completed in a timely manner as indicated by licensing and according to policy.
- Provide mental health skill building services to consumers developing awareness, coping with their mental illness, and making measurable strides towards increased independence.
- Maintain communication with community partners and government partners to ensure consistency of care and seek feedback and guidance, when appropriate.
- Remain on call to all staff for crisis situations at the facility.
- Developed and maintains an internship program with students from NOVA Community College. Ensure students receive education concerning working in the field.

St. Elizabeths Hospital, Washington, D.C. Social Work Intern

2014 - 2015

Responsible for completing educational and practical tasks related to learning plan objectives in conjunction with a 600 hour internship.

- Participated in Rounds, Community Meetings, Individual Recovery Plan Meetings, and Community Outings with individuals in care. Worked within a team environment.
- Facilitated weekly discharge planning and mock trial groups for competency training.
- Created an Experiential Competency Manual to develop competency education for group facilitators and to benefit individuals in care with forensic needs.
- Integrated fully into the activities on two units within the hospital, one focused
  on behavioral interventions and management for long term individuals in care
  and the other was an assessment unit for women under a court order for forensic
  evaluation.
- Completed documentation including social work initial assessments, group progress notes, independent therapeutic notes, monthly and weekly social work updates, and discharge plans.

1998

#### Stopover, Inc., Indianapolis, Indiana

#### Non-Residential Counselor

Responsible for providing home-based, short-term individual, family, and group crisis counseling to program clients 11 - 17 years of age.

- Advocated for most appropriate parenting for young person and provided parenting support to parents with mental health diagnoses, parents experiencing poverty, and homelessness.
- Advocated for young person in school setting via individualized education plan assessment, case conference, and at expulsion examination.
- Attended juvenile disposition hearings and spoke to court concerning family's attendance and progress in counseling.
- Provided thorough bio-psycho-social assessment for young person and family at outset of counseling relationship.
- Referred families for community support services and advocated for their receipt of service.
- Answered Crisis Line and provided immediate crisis intervention to callers.
- Originated and maintain client files and necessary databases in a concise, timely manner.
- Attended ongoing training sessions and conferences.

#### ASI Sign Systems, Indianapolis, Indiana

#### Multiple Positions Held

Customer Service Representative

- · Served as a liaison to communicate customer needs and desires to staff.
- Managed sign programs for Major Hospitals and Universities in downtown area.
- Ordered international product and created artwork for international production.

Graphics/Layout Department Supervisor

- · Supervised a staff of four in interpreting work orders and creating sign layouts.
- Created digital artwork for production purposes.

#### Graphic Artist

Interpreted work orders and created sign layouts.

#### Education

#### George Mason University, Fairfax, Virginia

School of Social Work, Fairfax, Virginia

Degree Conferred - Masters of Social Work, Clinical Concentration

Advanced Standing Program

#### Indiana University - Purdue University, Indianapolis, Indiana

School of Social Work, Indianapolis, Indiana

Degree Conferred - Bachelor of Social Work

Achievements:

Graduation with Distinction for Academic Placement in Top Ten Percent of Class

Award for Service to Undergraduate Program, Spring, 2009

Alumni Association Representative for School of Social Work Student Association

Phi Alpha Honor Society Membership, Spring, 2008

Alpha Sigma Lambda Honor Society Membership, Spring, 2008

#### **High School Diploma**

New Albany High School, New Albany, Indiana

References

Furnished upon request.

## **Technical Proposal**

Supportive Residential Services Tab 4

**Section 5: Job Descriptions** 

## Gateway Homes, Inc. Executive and Clinical Director Job Description

Job Title: Executive and Clinical Director Program/Department: Administration

Supervisor: Gateway Board

Date: October 1, 2015

#### **Position Summary:**

This position reports to the Board for Gateway Homes Inc. This position manages the following organizational functions: gives direction and leadership towards the achievement of Gateway Homes' philosophy, mission, strategy and its annual goals and objectives, provides leadership for the clinical program and associated services, implements the strategic goals and objectives of Gateway Homes, and with the Chairman of the Board, enable the board to fulfill its governance function. This position is exempt from the Fair Labor Standards Act.

#### **Duties and Responsibilities:**

- Board administration and support: supports operations and administration of the board by advising and informing board members, interfacing between board and staff and providing documentation to support the Board's evaluation of the Executive Director:
- Financial, tax, risk and facilities management: recommends annual budget for Board approval and prudently manages Gateway Homes' resources within those budget guidelines according current laws and regulations;
- Human resources management: effectively manages the human resources of Gateway
  Homes according to authorized personnel policies and procedures that fully conform to
  current laws and regulations:
- *Public relations*: assures Gateway Homes and its mission, programs and services are consistently presented in a strong, positive image to relevant stakeholders:
- Fundraising: oversees fundraising planning and implementation including overseeing staff in identifying resource requirements, researching funding sources, establishing strategies to approach funders, submitting proposals and administrating fundraising records and documentation;
- Clinical programming and services: provides leadership as a licensed clinical
  psychologist for the clinical staff to ensure maintenance of quality control and utilization
  of best practice techniques in the delivery of services
- Community relations: maintains robust relationships with community mental health organizations and agencies universities and colleges and other professionals in the community.

#### Minimum Knowledge, Skills, and Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and multiple treatment modalities for persons with serious mental illness;
- Knowledge of first-aid, behavioral management, personal and environmental hygiene;
- Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;

- Ability to engage, lead, and supervise staff in the design and implementation of rehabilitative activities, supportive counseling services, and 24 hour residential care;
- · Ability to maintain effective working relationships with clients and other employees;
- Ability to provide leadership to Board, staff and community regarding the strategic management of the organization;
- Demonstrated history of positive interface and collaboration with other community resources;
- · Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes;
- · Ability to manage financial resources of the organization;
- Ability to engage in effective development strategies for the organization.

#### Required Experience or Professional Qualifications:

- · Advanced degree in Behavioral Health and Management;
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended;
- Valid Driver's License and clean driving record;
- Trained in CPR, First Aid, and TOVA;

Lynda J. Hyatt, Ph.D.

- Experience working with outside Mental Health Agencies and Forensics;
- Experience in the Non-profit field preferred;
- At least five years of full-time experience in the care of persons with serious mental illness and supervisory experience;
- · Ability to work independently and to work effectively with the Board;
- Capacity to work with mentally ill adults and their families;
- Demonstrated initiative to problem solve and offer creative solutions;
- Demonstrated ability to work as a team member;
- Demonstrated ability to manage organizational budget and finances.

I have recei	ved and review	ved a copy of the job	description for	Executive an	d Clinical	Director at
Gateway H	omes dated Oc	tober 1, 2015.				

Date

## Gateway Homes, Inc. Clinical Operations Director Job Description

Job Title: Clinical Operations Director

Program/Department: Clinical Supervisor: Executive Director

Date: October 1, 2016

#### **Position Summary:**

This position is responsible for management of the program. The position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Executive Director.

#### **Duties and Responsibilities:**

- · Supports the mission, vision and values of Gateway Homes, Inc.,
- Maintains standards of clinical care and compliance with all regulations applicable to the Program including licensing and human rights standards,
- · Completes assessments for Prior Authorizations for Medicaid;
- · Provides clinical oversight of the day-to-day operations by ensuring
  - Mental health support services are consistent with the ISPs and program schedule of activities,
  - Psychiatric and medical needs are identified and appropriate follow-up care is arranged,
  - o Case management needs are addressed,
  - Schedules supervision of staff.
  - o Interfacing with other professionals and family members
- · Completes or assigns qualified staff to
  - Comprehensive admission paperwork including all required assessments and ISPs,
  - o Quarterly ISP reviews,
  - Other written documentation including but not limited to shift reports, daily progress notes, serious incident reports, mental health support notes, and family and professional contacts.
- Provides mental health support, and involves residents in community activities as specified in the individual services plan,
- Maintains a professional relationship with mental health agencies;
- · Keeps current with all mandatory training requirements.

#### Minimum Knowledge, Skills, And Abilities:

- Knowledge of the concepts of evidenced based practices and related physical conditions and multiple treatment modalities for persons with serious mental illness;
- Knowledge of the Principles of Recovery;
- Knowledge of first-aid, behavioral management, personal and environmental hygiene;

- Ability to provide supportive counseling and rehabilitation services in a residential setting;
- Ability to implement mission, vision, values, policies, and procedures of Gateway Homes;
- Ability to engage, lead, and supervise staff in the design and implementation of rehabilitative activities, supportive counseling services, and 24 hour residential care;
- Ability to maintain effective working relationships with clients and other employees.
- Ability to collaborate professionally with other agencies.

#### Required Experience or professional qualifications:

- Must have a Professional License in counseling, social work or psychology.
- Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended.
- Must have 2 years experience working with SMI adults.
- Must have supervisory experience.

Employee's Signature

Gateway Homes dated October 1, 2016.	bb description for a Clinical Operations Director at

Date

## Gateway Homes of Greater Richmond, Inc. Job Description

Title:

Community Support Specialist

Department:

Clinical Program

Reports To:

Clinical Operations Director

Date:

November, 2016

#### Summary:

This is a direct-care position subject to the personnel policies of Gateway Homes and the direct supervision of the Clinical Operations Director. The purpose of the position is to provide rehabilitative care and services by ensuring a clean, safe, and supportive living environment to the residents of the Gateway. This position is exempt from the Fair Labor Standards Act.

#### **Essential Duties and Responsibilities:**

- Serving as Community Support Specialist, including, but not limited to, making routine home visits with all CSS residents, completing all case management tasks for all CSS residents;
- Participating in the development and reviews of assigned residents' Individual Service Plans (ISPs);
- · Participating in clinical rounds;
- Conducting required assessments on assigned residents;
- Meeting individually with assigned residents to work on ISP goals;
- Completing required written documentation, including, but not limited to, resident contacts, individual sessions, family contacts, professional contacts, and MHCSS.
- Assisting the Clinical Operations Director in maintaining Gateway standards and regulations that are required of the program;
- Participating in training as deemed appropriate by the Clinical Operations Director;
- Meeting with the Clinical Operations Director as needed for individual supervision;
- · Other duties as assigned in meeting the mental health needs of GW residents;
- · Reporting to the Clinical Operations Director.

#### **Minimum Qualifications**:

- · Bachelor's degree in a mental health related field of study;
- Qualified Mental Health Professional or Paraprofessional;
- Trained in medication administration;
- Trained in behavior management;
- Trained and certified in CPR and first-aid;

2

- Minimum of one year's experience in working with mentally ill adults;
- Experience in conducting groups and demonstrated understanding of group dynamics;
- Knowledgeable in multiple treatment modalities;
- Ability to work independently and to work effectively with the Assistant Clinical Director;
- Appropriate knowledge of mental illness;
- · Capacity to work with mentally ill adults and their families;
- A valid Virginia driver's license;
- Appropriate computer skills.

I have read and received a copy of the job description for the Community Support Specialist

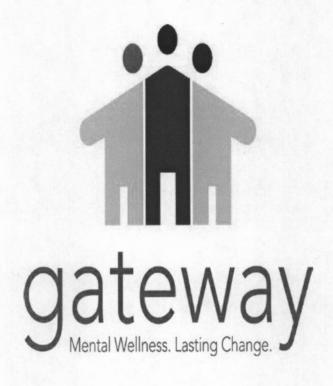
Signature Date

### **Technical Proposal**

Supportive Residential Services Tab 4

# Section 6: Policy and Procedures Manual

(see separate binder)



September 30, 2016 Financial Statements

#### **GATEWAY HOMES**

#### **SEPTEMBER 30, 2016 FINANCIAL STATEMENTS**

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BALANCE SHEET	
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REVENUE AND EXPENSE CURRENT YEAR TO PRIOR YEAR COMPARISON	4
INVESTMENTS YEAR TO DATE DEPENDENT ANCE	

## Gateway Homes, Inc. Balance Sheet Assets

As of September 30, 2016

	Sep 30, 16	Sep 30, 15
ASSETS	4	
Current Assets		
Checking/Savings		
1000 · Cash and Cash Equivalents	66,686.78	41,443.51
1025 · Cash Reserves	0.00	35,538.08
Total Checking/Savings	66,686.78	76,981.59
Accounts Receivable		
1100 · Accounts Receivable	337,714.96	141,686.90
Total Accounts Receivable	337,714.96	141,686.90
Other Current Assets		
1120 · Other Receivables	0.00	609.22
1200 · Pledges Receivable-Current	6,475.00	9,203.90
1300 · Grants receivable-Current	2,000.00	0.00
1400 · Prepaids and Deposits Held	32,041.08	22,542.68
1599 · Undeposited Funds	1,482.96	0.00
Total Other Current Assets	41,999.04	32,355.80
Total Current Assets	446,400.78	251,024.29
Fixed Assets		
1600 · Property and Equipment	4,478,464.49	4,236,495.80
1700 · Accumulated Depreciation	-1,767,444.45	-1,632,984.21
Total Fixed Assets	2,711,020.04	2,603,511.59
Other Assets		
1080 · Cash-HUD	172,847.20	161,892.18
1500 · Investments	2,968,355.15	2,975,338.21
Total Other Assets	3,141,202.35	3,137,230.39
TOTAL ASSETS	6,298,623.17	5,991,766.27

## Gateway Homes, Inc. Balance Sheet Liabilities

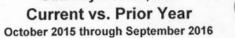
As of September 30, 2016

		Sep 30, 16	Sep 30, 15
IABIL	ITIES & NET ASSETS		
Lia	abilities		
	Current Liabilities		
	Accounts Payable		
	2010 · Accounts Payable-Medicaid	302.84	14,916.31
	2000 · Accounts Payable	53,094.56	11,211.18
	Total Accounts Payable	53,397.40	26,127.49
	Credit Cards		
	2050 · Accounts Payable-Credit Cards	12,990.18	4,795.60
	2055 · A/P Credit Cards - Oct 2014	-4,552.61	-3,650.23
	Total Credit Cards	8,437.57	1,145.37
	Other Current Liabilities		
	2200 · Deferred Revenue	0.00	75,179.99
	2060 · Due To/From Residents	-7,773.82	6,978.39
	2070 · Gift Annuity Payable-Current	70,000.00	70,000.00
	2080 · Mortgage/Accrued Interest-HUD	11,238.24	11,238.24
	2100 · Accrued Liabilities-Payroll	261,374.23	100,309.14
	Total Other Current Liabilities	334,838.65	263,705.76
	Total Current Liabilities	396,673.62	290,978.62
	Long Term Liabilities		
	2700 · Gift Annuity Payable-NonCurrent	57,893.29	127,893.29
	2750 · Mortgage Payable-HUD-NonCurrent	277,893.52	286,401.69
	Total Long Term Liabilities	335,786.81	414,294.98
То	tal Liabilities	732,460.43	705,273.60
Ne	t Assets		
	32003 · Board Designated - UNE	1,033,625.83	1,033,625.83
	32002 · Permanently Restricted	1,243,657.00	1,243,657.00
	32001 · Temporarily Restricted	877,056.00	877,056.00
	32000 · Unrestricted Net Assets	2,131,744.62	2,671,240.00
	Current Change in Net Assets	280,351.59	-539,086.16
То	tal Net Assets	5,566,435.04	5,286,492.67
OTAL	LIABILITIES & NET ASSETS	6,298,895.47	5,991,766.27

## Gateway Homes, Inc. Month, Financial Report: Actuals vs Budget October 2015 through September 2016

	Oct '15 - Sep 16	Budget	\$ Over Budget	% of Budget
Income				
5000 · Contributions and Grants	467,167.33	503,436.00	-36,268.67	92.8%
5100 · Social Security Funds	457,487.17	445,752.00	11,735.17	102.63%
5200 · Medicaid Reimbursement	550,814.72	522,384.00	28,430.72	105.44%
5300 · Mental Health Agencies	761,555.43	664,104.00	97,451.43	114.67%
5400 · Rental Revenue-HUD	110,340.75	123,960.00	-13,619.25	89.01%
5500 · Contractual Services	867,908.26	661,368.00	206,540.26	131.23%
5560 · Lorton/Rent-7591 Aspen Park	7,740.00	9,288.00	-1,548.00	83.33%
5700 · Self-Pay	123,975.37	138,288.00	-14,312.63	89.65%
5800 · Other Income-Operations	3,389.64	6,480.00	-3,090.36	52.31%
5900 · Interest Income	47.21	504.00	-456.79	9.37%
Total Income	3,350,425.88	3,075,564.00	274,861.88	108.94%
Expense				
7100 · Personnel	1,964,276.52	1,835,819.33	128,457.19	107.0%
7200 · Benefits and Payroll Taxes	359,143.52	285,286.90	73,856.62	125.89%
7295 · Payroll Processing	10,007.61	5,280.01	4,727.60	189.54%
7300 · Professional Fees	187,216.88	156,788.00	30,428.88	119.41%
7400 · Staff Development	31,636.82	17,640.00	13,996.82	179.35%
7500 · Office Expense	75,845.74	51,756.00	24,089.74	146.55%
7600 · Supplies & Materials-Residences	11,981.26	6,708.00	5,273.26	178.61%
7640 · Food & -Residences HUD	22,154.68	28,560.00	-6,405.32	77.57%
7650 · PSR Program Expenses	41,962.18	33,900.00	8,062.18	123.78%
7800 · Resident Allowances and Misc.	139,537.03	135,864.00	3,673.03	102.7%
7900 · Fairfax Program Expense	69,986.28	41,952.00	28,034.28	166.83%
7994 · Lorton Property	6,479.52	4,050.00	2,429.52	159.99%
8000 · Occupancy Expense	272,728.97	281,577.71	-8,848.74	96.86%
8100 · Occupancy-CSS Program	72,031.68	82,356.00	-10,324.32	87.46%
8200 · Transportation	38,384.07	22,152.00	16,232.07	173.28%
8250 · Maintenance	22,588.76	6,000.00	16,588.76	376.48%
8300 · Insurance	74,689.60	66,264.00	8,425.60	112.72%
8400 · Other Operating Expenses	33,433.71	23,124.00	10,309.71	144.58%
Total Expense	3,434,084.83	3,085,077.95	349,006.88	111.31%
Change in Net Assets	-83,658.95	-9,513.95	-74,145.00	879.33%
6100 · Investment Income-Endowment	92,254.69	0.00	92,254.69	100.0%
6200 · Other Income	1,121.67	0.00	1,121.67	100.0%
6300 · Unrealized Gain/(Loss)	282,827.46	0.00	282,827.46	100.0%
6900 · Human Rights Affiliates Income	50.00	0.00	50.00	100.0%
Other Income 8480 · Intrest/Medicaid	376,253.82 148.19	0.00	376,253.82	100.0%
9100 · Investment Management Fees	11,798.21	0.00	11,798.21	100.0%
9900 · Human Rights Affiliates Expense	296.88	0.00	296.88	100.0%
Other Expense	12,243.28	0.00	12,243.28	100.0%
Change in Net Assets due to Other Income	364,010.54	0.00	364,010.54	100.0%
nange in Net Assets	280,351.59	-9,513.95	289,865.54	-2,946.74%

#### Gateway Homes, Inc. **Current vs. Prior Year**



	Oct '15 - Sep 16	Oct '14 - Sep 15	\$ Change	% Change
Ordinary Income/Expense				
Income 5000 · Contributions and Grants	467,167.33	336,630.53	130,536.80	38.78%
5100 · Social Security Funds	457,487.17	441,336.52	16,150.65	3.66%
5200 · Medicaid Reimbursement	550,814.72	339,312.97	211,501.75	62.33%
5300 · Mental Health Agencies	761,555.43	612,673.83	148,881.60	24.3%
5400 · Rental Revenue-HUD	110,340.75	116,935.45	-6,594.70	-5.64%
5500 · Contractual Services	867,908.26	636,018.00		36.46%
5560 · Lorton/Rent-7591 Aspen Park	7,740.00	10,062.00	-2,322.00	-23.08%
5700 · Self-Pay	123,975.37	101,359.08	22,616.29	22.31%
5800 · Other Income-Operations	3,389.64	1,801.26	1,588.38	88.18%
	47.21	822.85	-775.64	-94.26%
5900 · Interest Income	0.00	52.93	-52.93	-100.0%
5990 · Uncategorized Income			753,420.46	29.01%
Total Income	3,350,425.88	2,597,005.42	753,420.46	29.01%
Expense	0.00	4.82	-4.82	-100.0%
66900 · Reconciliation Discrepancies	1,964,276.52	1,821,329.86	142,946.66	7.85%
7100 · Personnel				
7200 · Benefits and Payroll Taxes	359,143.52	266,822.22	92,321.30	34.6%
7295 · Payroll Processing	10,007.61	4,845.77	5,161.84	106.52%
7300 · Professional Fees	187,216.88	136,358.99	50,857.89	37.3%
7400 · Staff Development	31,636.82	26,610.47	5,026.35	18.89%
7500 · Office Expense	75,845.74	60,736.52	15,109.22	24.88%
7600 · Supplies & Materials-Residences	11,981.26	7,912.26	4,069.00	51.43%
7640 · Food & -Residences HUD	22,154.68	29,266.46	-7,111.78	-24.3%
7650 · PSR Program Expenses	41,962.18	37,594.12	4,368.06	11.62%
7800 · Resident Allowances and Misc.	139,537.03	139,300.97	236.06	0.17%
7900 · Fairfax Program Expense	69,986.28	49,540.94	20,445.34	41.27%
7994 · Lorton Property	6,479.52	4,033.13	2,446.39	60.66%
8000 · Occupancy Expense	272,728.97	298,336.44	-25,607.47	-8.58%
8100 · Occupancy-CSS Program	72,031.68	73,245.96	-1,214.28	-1.66%
8200 · Transportation	38,384.07	28,658.99	9,725.08	33.93%
8250 · Maintenance	22,588.76	6,116.79	16,471.97	269.29%
8300 · Insurance	74,689.60	68,003.22	6,686.38	9.83%
8400 · Other Operating Expenses	33,433.71	38,043.25	-4,609.54	-12.12%
Total Expense	3,434,084.83	3,096,761.18	337,323.65	10.89%
Change in Net Ordinary Assets	-83,658.95	-499,755.76	416,096.81	83.26%
Other Income				
6000 · Charitable Gift Annuity	0.00	-37,800.00	37,800.00	100.0%
6100 · Investment Income-Endowment	92,254.69	66,540.00	25,714.69	38.65%
6200 · Other Income	1,121.67	0.00	1,121.67	100.0%
6300 · Unrealized Gain/(Loss)	282,827.46	-62,013.47	344,840.93	556.07%
6800 · Gain on Sale of Asset	0.00	800.00	-800.00	-100.0%
	50.00	1,200.00	-1,150.00	-95.83%
6900 · Human Rights Affiliates Income Total Other Income	376,253.82	-31,273.47	407,527.29	1,303.11%
	370,233.02	-51,275.47	401,521.25	1,505.117
Other Expense	440.40	4.005.00	047.04	96 470
8480 · Intrest/Medicaid	148.19	1,095.20	-947.01 5.425.21	-86.47%
9100 · Investment Management Fees	11,798.21	6,373.00	5,425.21	85.13%
9200 · Charitable Gift Expense	0.00	93.58	-93.58	-100.0%
9900 · Human Rights Affiliates Expense	296.88	495.15	-198.27	-40.04%
Total Other Expense	12,243.28	8,056.93	4,186.35	51.96%
Change in Net Assets Other Income	364,010.54	-39,330.40	403,340.94	1,025.52%
nange in Net Assets	280,351.59	-539,086.16	819,437.75	152.01%



GATEWAY HOMES, INC.	TIVITY					Qa	gateway								
FISCAL YEAR 2015/2016															
	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	-16	Sep-16 FY	Sep-16 FY 15/16 YTD	FY 14/15 YTD
ANNUITY ACCOUNT															
Beginning Balance	\$ 1,117,768	\$ 1,117,768 \$ 1,188,300 \$ 868,702 \$ 854,149 \$	\$ 868,702	\$ 854,149	\$ 837,930	\$ 816,172	\$ 862,988	\$ 873,207	\$ 864,280	\$ 878,034	\$ 895,578	\$	\$ 175,971	875,971 \$ 1,117,768	\$ 1,186,935
Investment Income	3,727	2,216	2,881	2,478	808	2,999	2,642	1,733	3,122	2,301	1,110		2,844	28,863	11,995
Investment Fees	(2,350)	22000		(1,784)		,								(4,134)	(5,015)
Foreign W/H at Source	(41)	(65)												(106)	(136)
Dorothy Moore		(17,500)			(17,500)		,	(17,500)			(17,500)	(00		(70,000)	(17,500)
Withdrawal		(300,000)												(300,000)	
(Un)Realized Gain (Loss)	69,196	(4,249)	(17,434)	(16,913)	(2,067)	43,817	7,576	6,840	10,632	15,243	(3,217)		(5,463)	100,960	42,995
<b>Ending Balance</b>	1,188,300	868,702	854,149	837,930	816,172	862,988	873,207	864,280	878,034	895,578	875,971		873,351	873,351	1,219,274
<b>ENDOWMENT FUND</b>															
Beginning Balance	10,429	11,065	11,049	10,923	10,674	10,669	11,251	11,251	11,251	11,651	11,651		11,651	10,429	11,208
Investment Income			281			68			06				06	550	14%
(Un)Realized Gain (Loss)	989	(16)	(407)	(249)	(5)	493			310				139	006	(353)
<b>Ending Balance</b>	11,065	11,049	10,923	10,674	10,669	11,251	11,251	11,251	11,651	11,651	11,651		11,880	11,879	11,003
W.T. MOORE FUND															
Beginning Balance	1,847,142	1,959,009	1,955,688	1,923,490	1,886,718	1,877,554	1,981,659	2,004,081	2,023,477	2,054,350	2,094,343		2,090,319	1,847,142	1,851,262
Investment Income	5,854	3,449	5,386	5,498	1,946	6,518	5,625	3,450	6,982	5,383	2,533	33	6,388	59,012	18,531
Investment Fees	(3,884)			(4,017)										(7,901)	(7,873)
Foreign W/H at Source	(99)	(62)												(161)	(200)
(Un)Realized Gain (Loss)	109,963	(6,675)	(37,584)	(38,253)	(11,110)	97,587	16,797	15,946	23,891	34,610	(6,557.65)		(13,583)	185,032	988'59
<b>Ending Balance</b>	1,959,009	1,955,688	1,923,490	1,886,718	1,877,554	1,981,659	2,004,081	2,023,477	2,054,350	2,094,343	2,090,319		2,083,124	2,083,124	1,927,606
TOTAL	\$ 3,158,374	\$ 3,158,374 \$ 2,835,439 \$ 2,788,562 \$ 2,735,322 \$ 2,704,395	\$ 2,788,562	\$ 2,735,322		\$ 2,855,898	\$ 2,888,539	\$ 2,899,008	\$ 2,944,035	\$ 2,944,035 \$ 3,001,572	\$ 2,977,941	\$	2,968,355 \$	2,968,354	\$ 3,157,883

# Gateway Homes, Inc. and Gateway Farms

Combined Financial Statements and Independent Auditors' Report

September 30, 2015 and 2014

# Gateway Homes, Inc. and Gateway Farms

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# **Board of Directors**

Kevin A. White, Chairman

Angel L. Perez, Vice Chairman

Laura Givens, Secretary

K. Wesley Martin, Treasurer

Christine Daniels, CTP

Nick Dawson

Ronald Forbes, M.D.

Alexander Hamilton, IV

L. Thompson Hanes

Rebecca Ingram, M.D.

Brenda McDowell

Kathleen Markowitz

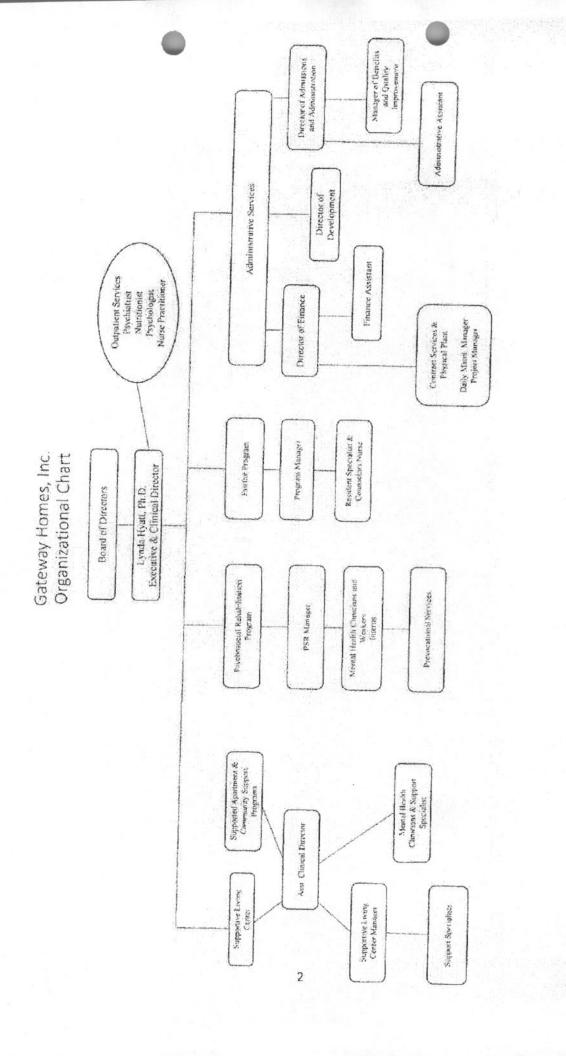
Claiborne Mason

Lars Messerschmidt

Florence Z. Segal, MSW, ACSW

Barrow Turner

E. Otto N. Williams, Jr.





Independent Auditors' Report

Board of Directors Gateway Homes, Inc. and Gateway Farms

We have audited the accompanying financial statements of Gateway Homes, Inc. and Gateway Farms (nonprofit organizations), which comprise the statements of financial position as of September 30, 2015 and 2014, and the related combined statements of activities, the combined schedule of functional expenses and cash flows for the years then ended, and the related notes to the combined statements. The financial statements of Gateway Homes, Inc. and Gateway Farms as of September 30, 2014, were audited by another auditor. That auditor expressed an unqualified opinion on those financial statements in their report dated May 8, 2015.

# Management's Responsibility for the Combined Financial Statements

Management is responsible for the preparation and fair presentation of these combined financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of combined financial statements that are free from material misstatement, whether due to fraud or error.

#### Auditors' Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditors' judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditors consider internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

### Opinion

In our opinion, the combined financial statements referred to above present fairly, in all material respects, the financial position of Gateway Homes. Inc. and Gateway Farms as of September 30, 2015 and the results of their operations and their cash flows for the year then ended in accordance with accounting principles generally accepted in the United States of America.

Barwick & associates, P. C.

Barwick & Associates, P.C. Certified Public Accountants Colonial Heights, Virginia March 24, 2016 Gateway Homes, Inc. and Gateway Farms

Combined Financial Statements

September 30, 2015 and 2014

	-					2015								2014
		A STATE OF THE STA		Unrestricted - Board	4	Total		emporarily		Pennanently				
		Inrestricted		Designated		Linrestricted Assets		Restricted	100	Restricted		Total	-	Total
Current Assets														
Cash and Cash Equivalents	5	05,941	\$		5	65,941	3	10,606	\$	*	5	76,547	\$	331,052
Cash - HUD		161,889		4.10		161.889						161,889		142,051
Accounts Receivable		142.426				142,426						142,426		324,634
Due from Employees		200				200						200		
Grants Receivable														40,000
Fromises to Give - Current Portion		6,204				6,204		3,000				9,204		20,213
Prepaid Expenses		22,541				22,541						22,541		8,679
Foreign Taxes Withheld		10.00								*	8			1,011
Investments - Current	-			79,000		70,000			-	**************************************	3	70,000	-	70,000
Total Current Assets	\$	399,201	5	70,000	\$	469,201	5	13,606	5		5	482,807	\$	937,640
Property and Equipment														
Land	\$	237,029	\$		5	237,029	8	69,000	5		\$	306,029	5	274,929
Buildings and Improvements		3,119,074				3,119,074		229,184				3,348,258		3,263,830
Construction in Progress		2,000				2,000						2,000		13,615
Furniture and Equipment		285,925				285,923						285,925		270,795
Vehicles		294,285				294,285		00375				294,285		272,404
Lass - Accumulated Depreciation						(1,614,523)		279,723	-		5	(1,632,984)		(1,501,952
Total Property and Equipment - act	5_	2,323,790	,		\$	2,323,790	3	219,723	2		3	2,603,513	\$	2,593,621
Other Assets				To be a second			1			20200	2.1	0.16417262		The Land
Investments - Noncurrent	5		3		3	1,146,374	3	Charles and	5	1,243,657	\$	2,905,339	5	2,979,070
Total Other Assets	3		8	1.146,374	5	1,146,374	5	515,308	5	1,243,657	S	2,905,339	2	2,979,070
Total Assets	5	2,722,991	3	1,216,374	5	3,939,385	5	808.637	3	1,243,657	S	5.991,659	5	6,510,331
C X S Edited				Liabi	lties	and Net Assets								
Current Limbilities Accounts Payable	\$	27,273	5		5	27,273			5		5	27,273	\$	62,090
Accrued Interest		2,201				2,201			7			2,201	*	2,277
Approved Salaries		50,619		4		50.619						50.519		16,652
Acerued Resirement		3,254 6,978		*		3,254 6,978						3.254 5.978		4,950
Due to Residents Employee Withholdings		5,314				5,314						5,314		16,751 3,842
Deferred Revenue		75,180				75,180						75,180		
Charitable Gift Annuity - Current		No.		70,000		70,000						70,000		70,000
Mongage Payable - Current Accrued Vacation		11,238 41,122				11,238						11,238 41,122		10,287
Total Current Liabilities	5	223,179	5	70,000	\$	293,179	3		\$		5	203.179	5	227,019
Nuncurrent Liabilities	100	A. Course Street	11 111				Linia		4.50					
Charitable Gift Annuity - Non-Current	\$		5	151.236	5	151,136	\$		5	2.	\$	151,136	5	160,093
Mongage Payable - Non-Current		286,402				286,402						286,402		297,640
Total Noncurrent Liabilities	3	286,402	5	151.136	5	437,538	5		\$		5	437,538	5	457,733
Net Assots														
Net Assets	5	2,213,410	\$	995,238	*	3,208,648	*	809,637	8	1,243,657	5	5,260,942	5	5,807,799
Prior Period Adjustment		ARTHUR STATE				- 10000							1.5	17,780
Total Net Assets	S	2,213,410	X	995,238	5	3,208,648	5	808,637	5	1,243,657	5	5,260,942	3	5,825,579
	-		15.3						-				-	
Total Liabilities and Net Assets	2	2,722,991	12.	1,216,374	2	3,939,365	3	808,637	-3	1,243,657	.5	5,991,659	3	6,510,331

### Years Ended September 30, 2015 and 2014

	-					2015					-		-	2014
			. 1	Inrestricted										
				- Board		Total		emporarily		ermanently				
		nresuncted		Designated		Unrestricted		Restricted	- 1	Restricted	-	Tetal		Total
Revenue, Gains, and Other Support														
Resident Fees	S	2,133,478	S		5	2,135,478	5		S.		\$	2,135,478	5	2,144,965
Contributions - Cash		92,016		11.30		92,016		13,465				105,481		221,436
Contributions - Non-Cash														875
Federal Housing Assistance		121,395				121,595						121,595		146,32
Gain on Sale of Assets		800				800						800		
Grants		38,650				38,650		192,500				231,150		245,654
Miscellaneous		3,054				3,054						3,054		9,507
Investment Income - Net	-	1,023		1,497		2,522		(3,550)				(1,028)		353,984
	\$	2,392,618	s	1,497	\$	2,394,115	S	202,415	5		2	2,596,530	\$	3,122,742
Change in Value of Charitable Gift Annuity Obligation	s		s	(61,042)	s	(61,042)	5		5		5	(61,042)	5	(52,029
Transfers		(21,157)		21,157										
Net Assets Released from Restriction		270,834	-			270,834	Jan di A	(270,834)				-		
Total Revenue, Gains, and Other Support	\$	2,642,295	s	(38,388)	\$	2,603,907	s	(68,419)	S		S	2,535,488	\$	3,070.713
spenditures														
Program Services	\$	2,525,093	5		Ś	2,525,093	5	-	5		5	2,525,093	S	2,523,358
Management and General		363,932				363,932						363,932		256,740
Fundraising		211,100		*		211,100					-	211,100		87,956
Total Expenses	\$	3,100,125	\$		s	3,100,125	5	*	s	-	s	3,100,125	5	2,868,054
Change in Net Assets	\$	(457,830)	5	(38,388)	s	(496,218)	5	(68,419)	5		\$	(564,637)	\$	202,659
let Assets, Beginning of Year		2,671,240		1.033,626		3,704,866		877,056		1,243,657		5,825,579		5,605,140
Prior Period Adjustments	Address	-						-						17,780
Net Assets, End of Year	\$	2.213,410	5	995,238	5	3,208,648	5	808,637	5	1,243,657	S	5,260,942	5	5,825,579

# Combined Schedules of Functional Expenses

# Years Ended September 30, 2015 and 2014

		30 A 10 A	i and	20	015				-	2014	
		Program Services	Management and General		Fundraising		Total			Total	
Salaries and Related Expenses											
Salaries	\$	1,505,709	\$	116,224	\$	135,484	S	1,757,417	\$	1,641,866	
Contract Labor	\$	63,388	5	525	S			63,913	\$	37,294	
Employee Benefits and Payroll Taxes		187,137		68,037		11,648		266,822		295,288	
Total Salaries and Related Expenses	s	1,756,234	\$	184,786	S	147,132	s	2,088,152	S	1,974,448	
Expenses											
Fairfax Program Expense	S	53,574	5		S	-	S	53,574	\$	68,512	
Food		43,703						43,703		32,461	
Fundraising Expense										7,921	
Human Rights Affiliates Expense		495				-		495		451	
Insurance		54,402		13,601				68,003		58,658	
Medical Supplies		5,160						5,160		1,411	
Occupancy - Chesterfield		164,033						164,033		138,775	
Occupancy - CSS Program		73,246		-				73,246		74,237	
Office Expense		4,405		44,950		6,222		55,577		61,628	
Other Operating Expenses		31,253		12,898		637		44,788		7,055	
Penalties and Interest				918				918		3,567	
Professional Fees		6,999		77,693		56,513		141,205		46,986	
Program Initiative Supplies		3,742						3,742		12,440	
PSR Program Expenses		27,327		-				27,327		24,338	
Resident Expenses		139,384						139,384		156,235	
Staff Development		7,019		19,071		520		26,610		33,946	
Transportation		18,485		10,015		76		28,576	-	29,369	
Total Expenses Before Depreciation	\$	2,389,461	\$	363,932	s	211,100	s	2,964,493	\$	2,732,438	
Depreciation		135,632		-				135,632		135,616	
Total Functional Expenses	S	2,525,093	s	363,932	S	211,100	S	3,100,125	S	2,868,054	

Years Ende	d Sept	ember	30,	2015	and	2014

		2015		2014
Cash Flows from Operating Activities				
Change in Net Assets	S	(564,637)	\$	220,439
Adjustments to Reconcile to Net Cash from Operating Activities:				
Bad Debt Expense		28,050		187 & table 1977
Depreciation		135,632		135,616
Donated Assets		-		(875)
Gain on Disposal of Property and Equipment		(800)		
Realized Gain on Investments		(194,739)		(84,071)
Unrealized Gain on Investments		304,019		(206,280)
Change in:				
Accounts Receivable		154,158		(55,232)
Due from Employees		(200)		
Grants Receivable		40,000		(40,000)
Promises to Give		11,009		18,483
Prepaid Expenses		(13,862)		(8,579)
Foreign Tax Withheld		1,011		(1,011)
Accounts Payable and Accrued Expenses		(9,971)		38,238
Deferred Revenue		75,180		
Charitable Gift Annuity Obligation	-	(8,957)		(17,971)
Net Cash from Operating Activities	\$	(44,107)	5	(1,243)
Cash Flows from Investing Activities				
Net (Deposits to) Withdrawals from Reserves for Replacements,				
Minimum Capital, and Interest Regained in HUD Accounts	S	(19,838)	S	(28,893)
Proceeds from Sale of Fixed Asset		800		
Purchase of Land		(31,100)		
Purchase of Property and Equipment		(126,039)		(93,319)
Construction in Progress		11,615		(13,615)
Proceeds from Sale of investments		811,722		735,812
Purchase of Investments		(847,271)		(727,997)
Net Withdrawal from Investments for Annuity Payments	-	70,000		70,000
Net Cash From Investing Activities	\$	(130,111)	\$	(58,012)
Cash Flows from Financing Activities				
Principal Payments on Mortgage Payable	S	(10,287)	\$	(9,416)
Charitable Gift Annuity Obligation Distributions	-	(70,000)		(70,000)
Net Cash From Financing Activities	\$	(80,287)	\$	(79,416)
Net Change in Cash and Cash Equivalents	\$	(254,505)	\$	(138,671)
Cash and Cash Equivalents, Beginning of Year		331,052		469,723
Cash and Cash Equivalents, End of Year	\$	76,547	\$	331,052
Supplemental Disclosure of Cash Flow Information				
Cash Paid for Interest	\$	26,841	\$	27,787

Gateway Homes, Inc. and Gateway Farms

Notes to Combined Financial Statements

### September 30, 2015 and 2014

### 1. Nature of Activities and Summary of Significant Accounting Policies

#### A. Nature of Activities

Gateway Homes, Inc., incorporated in Virginia in 1983, is a transitional residential treatment program for individuals with serious mental illness whose primary goal is to live as independently as possible. Gateway Farms was established to serve as a rural residential facility. The two corporations share common staff and are collectively referred to herein as Gateway. All intercompany transactions and balances are eliminated in these combined financial statements. Sources of revenue consist of residents' fees paid by various organizations and/or recipient funds and contributions by various donors.

### B. Basis of Accounting

The accompanying financial statements have been prepared in accordance with accounting principles generally accepted in the United States of America.

## C. Revenue Recognition

Revenue received is recorded as unrestricted, temporarily restricted, or permanently restricted net assets, depending on the existence or nature of any donor restrictions. Revenue received with donor-imposed restrictions that are met in the same year in which the revenue is received is classified as unrestricted revenue.

All donor-restricted revenue is reported as an increase in temporarily or permanently restricted net assets, depending on the nature of the restriction. When a donor restriction expires (that is, when a stipulated time restriction ends or purpose restriction is accomplished), temporarily restricted net assets are reclassified to unrestricted net assets and reported in the statements of activities as revenue released from restrictions.

#### D. Cash and Cash Equivalents

Cash and cash equivalents include all monies in checking, savings, and money market accounts as well as highly liquid investments and certificates of deposit with maturity dates of three months or less. The carrying value of cash and cash equivalents approximates fair value because of the short maturity dates of those financial instruments.

For cash flows reporting purposes Gateway's definition of cash and cash equivalents includes all purchases with original maturities of three months or less at the date of purchase.

### E. Accounts Receivable

Accounts receivable include all monies due Gateway from U.S. government and Virginia community service boards for services provided to residents. Accounts receivable are reported at estimated net realizable amounts from third-party payors.

#### F. Promises to Give

Contributions are recognized when the donor makes a promise to give to Gateway that is, in substance, unconditional. All donor-restricted contributions are reported as increases in temporarily or permanently restricted net assets depending on the nature of the restrictions. When a restriction expires, temporarily restricted net assets are reclassified to unrestricted net assets. Unconditional promises to give, including pledges and contributions receivable, are recognized as revenues or gains in the period received and as assets or decreases in liabilities or expenses depending on the form of the benefits received. Conditional promises to give are recognized only when the conditions on which they depend are substantially met and the promises become unconditional. At this time no allowance is considered necessary by Gateway, as no significant write-offs have occurred.

#### G. Investments

Investments in marketable equity securities and mutual funds with readily determined fair values are carried at fair market value. Unrealized gains and losses are included in the change in net assets in the accompanying statements of activities.

### H. Property and Depreciation

Property and equipment are recorded at cost. Gateway follows the practice of capitalizing all acquisition of property and equipment in excess of \$500. Depreciation is computed using the straight-line method over the estimated useful lives of the assets as follows:

Buildings and improvements	10 - 40 years
Furniture and equipment	3-10 years
Vehicles	5 years

#### I. Income Taxes

Gateway Hornes, Inc. and Gateway Farms are exempt from income taxes under Internal Revenue Code Section 501(c)(3) and the tax statues of the Commonwealth of Virginia; accordingly, the accompanying financial statements do not reflect a provision or liability for federal and state income taxes. A Return of Organization Exempt from Income Tax (Form 990) is required to be filed annually with the Internal Revenue Service. The tax years that are open and subject to examination by the Internal Revenue Service are 2014, 2013, 2012, and 2011.

#### J. Income Tax Uncertainties

Gateway follows the Financial Accounting Standards Board ("FASB") guidance related to accounting for uncertainty in income taxes, which prescribes a minimum recognition threshold that a tax position is required to meet before being recognized in Gateway's financial statements.

In accordance with the guidance, Gateway discloses the expected future tax consequences of uncertain tax positions presuming the taxing authorities' full knowledge of the facts and Gateway's position and records unrecognized tax benefits or liabilities for known, or anticipated tax issues based on Gateway's analysis of whether additional taxes would be due to the authority given their full knowledge of the tax position. Gateway has completed its assessment and determined that there were no tax positions which would require recognition under guidance.

#### K. Donated Services and Other

Gateway recognizes donated services, supplies, assets, and other items in accordance with FASB Accounting Standards Codification 958-605-50-1, formerly, Statement of Financial Accounting Standards No. 116, Accounting for Contributions Received and Contributions Made. All in-kind contributions are recorded when received at fair value as income and expenses or capitalized as property or equipment. Gateway does not imply time restrictions for gifts of long-lived assets. As a result, in the absence of donor-imposed restrictions, gifts of long-lived assets are reported as unrestricted revenue.

The value of contributed materials and the value of contributed services that either (a) created or enhanced a nonfinancial asset or (b) required specialized skills, was provided by individuals possessing those skills, and would have been purchased if not contributed, are recorded at their fair values in the period received.

Gateway pays for most services requiring specific expertise. Gateway received contributed services that have not been recognized in the combined statement of activities because the criteria for recognition under the accounting standards have not been satisfied. These volunteer services are provided primarily by area and local residents.

#### L. Concentration of Credit Risk

Financial instruments which potentially subject Gateway to concentrations of credit risk consist principally of investments and cash and cash equivalents. Gateway places its investments and its cash and cash equivalents balances in quality financial institutions and diversified its portfolio among entities, thereby limiting the amount of credit exposure to any one entity. At September 30, 2015, Gateway had no uninsured cash balances; however, for September 30, 2014, Gateway had cash and cash equivalents which exceeded the amount that are insured by the Federal Deposit Insurance Corporation totaling \$55,024.

#### M. Resident Fees

Resident fees are reported at estimated net realizable amounts from resident and third-party payors for services rendered. Revenue from the Medicaid program accounted for a significant portion of Gateway's resident fees for 2015 and 2014. Laws and regulations governing the Medicaid program are extremely complex and subject to interpretation. As a result, there is at least a reasonable possibility that recorded estimates will change by a material amount in the near term. In addition, approximately 29% for 2015 and 26% for 2014 of Gateway's resident fees are funded by a single Virginia county.

#### N. Functional Expenses

The costs of providing the various programs and other activities have been summarized on a functional basis in the combined statement of activities. Accordingly, certain costs have been allocated among the program, management, and fundraising services.

#### O. Net Assets

Net assets of Gateway and changes therein are classified and reported as follows:

<u>Unrestricted net assets</u> - Net assets that are not subject to donor-imposed stipulations or any restrictions.

<u>Temporarily restricted net assets</u> – Net assets subject to donor-imposed stipulations that may or will be met, either by actions of the Organization and/or passage of time. Included in this category may be gifts held by Gateway pending the use in accordance with donor stipulations, and unexpended gifts for capital projects.

Permanently restricted net assets – Net assets, subject to donor-imposed stipulations, that are to be held in perpetuity. At September 30, 2015, and September 30, 2014, Gateway had permanently restricted net assets of \$1,243,657.

#### P. Estimates

The preparation of combined financial statements in conformity with accounting principles generally accepted in the United States of America requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and the disclosure of contingent assets and liabilities at the date of the financial statements. Such estimates also affect the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates and assumptions.

# 2. Cash and Cash Equivalents

The ending balances of cash and cash equivalents at the various institutions Gateway banks with as of September 30, 2015 and 2014 consist of:

	2015	2014
SunTrust Towne Bank	\$ 29,832	\$ 165,807
Wells Fargo	12,153 34,562	165,245
Total Cash and Cash Equivalents	\$ 76.547	\$ 331,052

# 3. Cash - U.S. Department of Housing and Urban Development

The ending balances of Cash - HUD as of September 30, 2015 and 2014 consist of:

		2015	2014
SunTrust Towne Bank Wells Fargo	S	154,565 4,534 2,790	\$ 139,216 2,835 2,835
Total Cash - HUD	\$	161,889	\$ 142,051

Gateway has an agreement with the U.S. Department of Housing and Urban Development (HUD) whereby HUD is to provide additional funding based on the financial needs of Gateway's residents.

The regulatory agreement with HUD requires that *Gateway Farms* establish and maintain a reserve fund for replacements. HUD also requires *Gateway Farms* to establish a reserve for residual receipts. These balances can only be withdrawn with HUD approval.

#### 4. Promises to Give

Promises to give consist of the following at September 30, 2015:

Restricted to programs and maintenance for Ramona Repress Center	\$	3,000
Unrestricted promises to give		6,204
Total Promises to Give	5	9,204

Gateway expects that contributors will remit these contributions within one year.

In order to simplify their accounting process for promises to give. Gateway has elected to record all promises to give at fair value. The process utilizes the income approach with discounted cash flows, providing a single discounted value for all promises to give.

There is no discount for 2015, as all pledges are expected to be collected in the next year. No changes in the fair value measurement were attributed to instrument specific credit risk.

#### 5. Investments

Investment components consist of the following as of September 30, 2015:

	Cost		Value Value		n (Loss)
Money market funds Common stock Corporate bonds Mutual funds	\$ 126,732 1,839,689 341,091 8,889	S	126,732 2,496,164 342,014 10,429	S	656,475 923 1,540
	\$ 2,316,401	\$	2,975,339	S	658,938
Investment income consists of the following:					
Interest and dividend income Unrealized losses Realized gains net of realized losses Investment expenses			(259 194	0,391 ,956) 4,739 6,202)	
Total Investment Income			\$ (	1,028	)

### 6. Endowment Funds

Gateway's endowment consists of two donor-restricted funds as well as board-restricted funds. During 2012, a fund in the amount of \$5,500 was permanently restricted by the donor and the income is used for operations of programs. There were no additions to this fund during 2014 and 2013. During 2011, Gateway recognized a receivable for another fund in the amount of \$1,200,000. The donor designated eighty percent of the monies as an endowment fund and the income and the remainder of the gift will be used for operations of programs. This amount was received in 2012, along with an additional \$278,157. As required by generally accepted accounting principles (GAAP), net assets associated with these endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

At September 30, 2015, the endowment net asset composition by type of fund was as follows:

	Unrestricted	d T	emporarily	17.00	ermanently Restricted
Donor-restricted endowments Board-designated endowments	\$ 995,23	- \$	268,306	S	1,243,657
	\$ 995,23	8 5	268,306	\$	1,243,657

The management of donor-restricted endowment funds is governed by state law under the Uniform Prudent Management of Institutional Funds Act (UPMIFA) as adopted by the Virginia state legislature in 2008. The law gives guidance for investment and spending practices, giving consideration for donor-intent and the organization's overall resources and charitable purpose. Based on their interpretation of law and in compliance with donor intent, Gateway classifies as permanently restricted net assets the original value of gifts donated to the permanent endowment.

Gateway appropriates amounts for expenditure based upon accumulated earnings in the funds and the needs of the organization. The primary objective is long-term capital appreciation and total return. Gateway utilizes diversified investment classes that provide the opportunity to achieve the return objectives without exposing the funds to unnecessary risk.

A summary of the activity in endowment funds for the year ended September 30, 2015, is as follows:

		- 10	mporarily	Restricted	Total
\$	1,033,626	\$	363,013	\$ 1,243,657	\$ 2,640,296
	34 663		54 905		89,568
					(65,419)
	(10,108)		(16,094)		(26,202)
	21,157		(21,157)		(,)
			(70,000)		(70,000)
-	(61,042)		***********	and the special of the second state of the sec	(61,042)
	\$ 995,238	\$	268,306	\$ 1,243,657	\$ 2,507,201
	\$	34,663 (23,058) (10,108) 21,157 (61,042)	34,663 (23,058) (10,108) 21,157 (61,042)	34,663 54,905 (23,058) (42,361) (10,108) (16,094) 21,157 (21,157) (70,000) (61,042)	34,663 54,905 (23,058) (42,361) (10,108) (16,094) 21,157 (21,157) (70,000) (61,042)

#### 7. Fairfax Property

Gateway received donated property valued at \$298,184 from the County of Fairfax during 2013. A promissory note agreement for the same amount was simultaneously entered into by Gateway and the County of Fairfax. The promissory note agreement, dated April 25, 2013, bears no interest and is not required to be repaid as long as the housing remains available to extremely low and moderate income persons for a period of 30 years. The promissory note is secured by a deed of trust on the property. Upon non-compliance with the agreement, the promissory note shall become immediately due and payable at an annual interest rate of the prime rate plus four basis points. The donated value of the property is reflected in the organization's temporarily restricted net assets in the combined statement of activities.

Since the possibility of failing to meet the use criteria is remote, the note payable has not been recorded by Gateway.

#### 8. Fair Value Measurements

Accounting standards establish a fair value hierarchy that prioritizes the inputs to valuation techniques used to measure fair value. The hierarch gives the highest priority to unadjusted quoted prices in active markets for identical assets or liabilities (level 1 measurements) and the lowest priority to unobservable inputs (level 3 measurements). Gateway's investments are measured using Level 1 inputs.

Level 1 Inputs to the valuation methodology are unadjusted quoted prices for identical assets or liabilities in active markets that Gateway has the ability to access.

Level 2 Inputs to the valuation methodology include:

- quoted prices for similar assets or liabilities in active markets;
- quoted prices for identical or similar assets or liabilities in inactive markets;
- inputs other than quoted prices that are observable for the asset or liability;
- inputs that are derived principally from or corroborated by observable market data by correlation or other means.

If the asset or liability has a specified (contractual) term, the level 2 input must be observable for substantially the full term of the asset or liability.

Level 3 Inputs to the valuation methodology are unobservable and significant to the fair value measurement.

The asset or liability's fair value measurement level within the fair value hierarchy is based on the lowest level of any input that is significant to the fair value measurement. Valuation techniques used need to maximize the use of observable inputs and minimize the use of unobservable inputs and minimize the use of unobservable inputs. Following is a description of the valuation methodologies used for assets measured at fair value. There have been no changes in the methodologies used at September 30, 2015.

Fixed income, money market and mutual funds and common stocks: Valued at the closing price reported on the active market on which the individual securities are traded.

Promises to give: Valued using the income approach based on discounted cash flows.

The preceding methods described may produce a fair value calculation that may not be indicative of net realizable value or reflective of future fair values. Furthermore, although Gateway believes its valuation methods are appropriate and consistent with other market participants, the use of different methodologies or assumptions to determine the fair value of certain financial instruments could result in a different fair value measurement at the reporting date.

The following tables set forth by level, within the fair value hierarchy, Gateway's assets at fair value as of September 30, 2015:

	Level 1	Level 2	Level 3	-	Total
Corporate Bonds	\$ 342,014	\$ -	s -		\$ 342,014
Money market and mutual funds	137,161				137,161
Common stocks:					
Closed-end mutual funds	165,315				165,315
Consumer discretionary	196,883				196,883
Consumer staples	394,311		Service -		394,311
Energy	160,213		4		160,213
Financials	429,768		FRE TY.		429,768
Health care	212,675				212,675
Industrials	503,970				503,970
Information technology	78,151				78,151
Materials'	128,923				128,923
Real estate investment trusts	280,502				280,502
Telephone	84,724	Jan 1 23			84,724
Utilities	73,403				73,403
Promises to give			9,204		9,204
Total assets at fair value	\$ 2,975,339	s -	\$ 9,204	\$	2,984.543

#### Level 3 Promises to Give

The table below sets forth a summary of changes in the fair value of Gateway's level 3 assets for 2015;

Balance - beginning of year	\$ 20,213
New pledges	8,179
Pledge payments	(19,188)
Change in fair value	0
Balance - end of year	\$ 9,204

### 9. Charitable Gift Annuity Obligation

Gateway is a remainder beneficiary of a charitable gift annuity dated 2001 which is recorded at the present value of the expected payout based on the life expectancies of the donor. The discount rate is 7%. The annual payout is \$70,000. During the term of an agreement, any changes in actuarial assumptions are recognized as "change in value of split-interest agreements" in the combined statement of activities.

A summary of the change in invested charitable gift and annuity obligation for the year ended September 30, 2015, is as follows:

	April 1	Invested Balance		innuity oligation	Net
Balance - beginning of year Annuity payments	S	1,030,431 (70,000)	S	230,093 (70,000)	\$ 800,338
Investment gain Change in value	-	34.663 (33,166)		61,043	 34,663 (94,209)
Balance - end of year		\$ 961,928	\$	221,136	\$ 740,792

### 10. Mortgage Payable

The mortgage payable to HUD is collateralized by Gateway Farms' land and improvements and will mature September 1, 2029. The monthly payment of \$3,100 includes interest at 8,875%. The principal balance at September 30, 2015, was \$297,640. Future minimum principal payments as of September 30, 2015, are as follows:

2016	\$ 11,238
2017	12,277
2018	13,412
2019	14,652
2020	16,007
Thereafter	230,054
Total Mortgage Payable	\$ 297,640

Under agreements with HUD, Gateway is required to make monthly deposits for replacement of project assets and is subject to restrictions as to operating policies, rental charges, operating expenditures, and distributions. The liability of Gateway under the mortgage note is limited to the underlying value of the real estate collateral plus other amounts deposited with HUD.

#### 11. Net Asset Classifications

Board designated net assets at September 30, 2015 consist of the following:

Future capital acquisitions	\$ 752,945
Payment of annuity liability	221,136
	\$ 974,081

Temporarily restricted net assets at September 30, 2015, consist of the following:

Accumulated endowment earnings	S	289,463
Affordable low income housing		279,723
Lights and paving		12,224
Nurse practitioner salaries and related expenses		204,227
Occupational therapist		15,000
Vehicles		8,000
		\$ 808,637

Permanently restricted net assets at September 30, 2015, consist of the following:

Endowment requiring income to be used for operation of programs \$ 1,243,657

#### 12. Retirement Plan

Gateway sponsors a SIMPLE IRA covering qualified employees. Employer contributions to the plan are made at the discretion of the Board of Directors. Gateway matched the employee contributions up to a maximum of 3% of gross wages for 2015 and 2014 in the amount of \$43,856 and \$36,041 respectively.

# 13. Related Party Transactions

A member of the Board of Directors is the account officer for Gateway's investment account held by a third party. A portion of the investment fees, which totaled \$26,202 for 2015 and \$24,657 for 2014, is paid to the board member by the investment company.

## 14. Prior Period Adjustments

Two prior period adjustments were made on September 30, 2014 for errors discovered in the September 30, 2013 financial statements. The first adjustment was to correct the expensing of a legal fee retainer in the amount of \$5,000 which resulted in an increase in the reported change in net assets of \$5,000. The second adjustment was to correct a duplicate credit card payable entry in the amount of \$12,780 which resulted in an increase in the reported change in net assets of \$12,780.

#### 15. Reclassification

Certain prior year balances have been reclassified to conform to current year presentation.

### 16. Contingent Liabilities

In April of 2015, Gateway was notified of an alleged overpayment of \$292,704 received from the Department of Medical Assistance Services. The overpayment is related to the location code Gateway used on its claims to Virginia Medicaid. Gateway appealed the alleged overpayment and the amount in dispute was reduced to \$283,545 during the informal appeals process. Gateway then appealed thru the administrative appeals process at the informal and formal levels. Management is unable to predict the outcome of the proceedings; however, the Hearing Officer at the formal level recommended that the proposed retractions be reversed in their entirety and Gateway be awarded their attorney fees. At the present time Gateway is awaiting a decision by the Director of DMAS concerning whether the recommended decision of the Hearing Officer will be accepted in whole or in part. Management is unable to predict the outcome of the appeal but believes that the amount in dispute will be retracted and that the legal fees will be recovered. No provision has been made in the accompanying financial statements to reflect the decision of the Director of DMAS.

#### 17. Evaluation of Subsequent Events

Gateway Homes, Inc. and Gateway Farms has evaluated subsequent events through March 24, 2016, the date which the financial statements were available to be issued.

Department of the Treasury Internal Revenue Service

For Paperwork Reduction Act Notice, see the separate instructions.

# Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.

▶ Information about Form 990 and its instructions is at www.irs.gov/form990.

2014 Open to Public Inspection

Form 990 (201)

OMB No. 1545-0047

For the 2014 calendar year, or tax year beginning 10/01/14, and ending 09/30/15 D Employer identification number C Name of organization Check if applicable: GATEWAY HOMES, INC Address change 91-1865279 Doing business as Name change Number and street (or P.O. box if mail Is not delivered to street address) E Telephone number 804-285-4389 11901 REEDY BRANCH ROAD Initial return City or town, state or province, country, and ZIP or foreign postal code Final returni terminated VA 23838 G Gross receipts \$ 3,499,671 CHESTERFIELD Amended return Name and address of principal officer: H(a) Is this a group return for subordinates? X Yes Application pending K. WESLEY MARTIN H(b) Are all subordinates included? SAME AS C ABOVE It "No," strach a list. (see instructions) 4947(a)(1) or X 501(c)(3) 527 ) **(**(insert no.) 501(c) ( Tax-exempt status: 8115 WWW.GATEWAYHOMES.ORG H(c) Group exemption number ▶ L Year of formation: 1983 M State of legal domicile: Form of organization: X Corporation Trust Part I Summary 1 Briefly describe the organization's mission or most significant activities: See Schedule O Activities & Governance 2 Check this box ▶ if the organization discontinued its operations or disposed of more than 25% of its net assets. 3 Number of voting members of the governing body (Part VI, line 1a) 17 4 4 Number of independent voting members of the governing body (Part VI, line 1b) 70 5 Total number of individuals employed in calendar year 2014 (Part V, line 2a) 5 6 6 Total number of volunteers (estimate if necessary) 6 7a 7a Total unrelated business revenue from Part VIII, column (C), line 12 b Net unrelated business taxable income from Form 990-T, line 34 Prior Year Current Year 467,090 336,631 8 Contributions and grants (Part VIII, line 1h) 2,291,286 2,257,073 9 Program service revenue (Part VIII, line 2g) 172,361 285,930 10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) 11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) 9,507 3,054 2,940,244 2,882,688 12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) 13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) 14 Benefits paid to or for members (Part IX, column (A), line 4) 1,974,448 2,024,239 15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) 16a Professional fundraising fees (Part IX, column (A), line 11e) b Total fundraising expenses (Part IX, column (D), line 25) ▶ 918,263 1,075,886 17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) 2,892,711 3,100,125 18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) 47,533 -217,437 19 Revenue less expenses. Subtract line 18 from line 12 Beginning of Current Year End of Year 6,510,331 5,991,659 20 Total assets (Part X, line 16) 684,752 730,717 21 Total liabilities (Part X, line 26) 5,825,579 5,260,942 22 Net assets or fund balances. Subtract line 21 from line 20 Signature Block Under penalties of perjury. I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and befief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge: Signature of officer Sign K. WESLEY MARTIN TREASURER Here Type or print name and title Print/Type preparer's name Preparer's signature Date PTIN id 05/04/16 self-employed Donna A. Barwick P01208361 Preparer Barwick & Associates P.C. 81-0890762 Firm's EIN Use Only 3701 Boulevard Ste H Colonial Heights, VA 804-729-0030 May the IRS discuss this return with the preparer shown above? (see instructions) X Yes No

(Expenses \$

including grants of \$

) (Revenue \$

Total program service expenses ▶

2,525,093

Part IV Checklist of Required Schedules

Yes No Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If "Yes," X complete Schedule A X 2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)? Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to X candidates for public office? If "Yes," complete Schedule C, Part I 3 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) X election in effect during the tax year? If "Yes," complete Schedule C, Part II 4 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues. assessments, or similar amounts as defined in Revenue Procedure 98-19? If "Yes," complete Schedule C, X Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If X "Yes," complete Schedule D, Part I 6 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If "Yes," complete Schedule D, Part II X 7 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If "Yes," complete Schedule D, Part III X 8 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability; serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or X debt negotiation services? If "Yes," complete Schedule D, Part IV Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If "Yes," complete Schedule D, Part V 10 X If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable. a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If "Yes," complete Schedule D, Part VI 11a X Did the organization report an amount for investments-other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VII X 11b c Did the organization report an amount for investments-program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part VIII 11c X d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If "Yes," complete Schedule D, Part IX X 11d Did the organization report an amount for other liabilities in Part X, line 25? If "Yes," complete Schedule D, Part X X 11e Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If "Yes," complete Schedule D, Part X 11f X 12a Did the organization obtain separate, independent audited financial statements for the tax year? If "Yes," complete Schedule D, Parts XI and XII X 12a Was the organization included in consolidated, independent audited financial statements for the tax year? If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional 12b X Is the organization a school described in section 170(b)(1)(A)(ii)? If "Yes," complete Schedule E X 13 14a Did the organization maintain an office, employees, or agents outside of the United States? 14a b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If "Yes," complete Schedule F, Parts I and IV 14b X Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If "Yes," complete Schedule F, Parts II and IV 15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If "Yes," complete Schedule F, Parts III and IV 16 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If "Yes," complete Schedule G, Part I (see instructions) 17 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If "Yes," complete Schedule G, Part II 18 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If "Yes," complete Schedule G, Part III 19 20a Did the organization operate one or more hospital facilities? If "Yes," complete Schedule H 20a If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return?

Checklist of Required Schedules (continued) Part IV Yes No Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or X domestic government on Part IX, column (A), line 1? If "Yes," complete Schedule I, Parts I and II 21 Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on X 22 Part IX, column (A), line 2? If "Yes," complete Schedule I, Parts I and III Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the 23 organization's current and former officers, directors, trustees, key employees, and highest compensated X employees? If "Yes," complete Schedule J 23 24a Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If "Yes," answer lines 24b X through 24d and complete Schedule K. If "No," go to line 25a 24a 24b b Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? 24c 24d Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year? Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations. Did the organization engage in an excess benefit transaction with a disqualified person during the year? If "Yes," complete Schedule L, Part I X 25a b Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If "Yes," complete Schedule L. Part I X 25b Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or X disqualified persons? If "Yes," complete Schedule L, Part II 26 Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? If "Yes," complete Schedule L, Part III 27 Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions): A current or former officer, director, trustee, or key employee? If "Yes," complete Schedule L, Part IV X 28a A family member of a current or former officer, director, trustee, or key employee? If "Yes," complete X 28b An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If "Yes," complete Schedule L, Part IV X Did the organization receive more than \$25,000 in non-cash contributions? If "Yes," complete Schedule M X 29 29 Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If "Yes," complete Schedule M X 30 Did the organization liquidate, terminate, or dissolve and cease operations? If "Yes," complete Schedule N, X 32 Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If "Yes." complete Schedule N. Part II X 32 Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301,7701-2 and 301,7701-3? If "Yes," complete Schedule R, Part I X 33 Was the organization related to any tax-exempt or taxable entity? If "Yes," complete Schedule R, Parts II, III, or IV, and Part V, line 1 X Did the organization have a controlled entity within the meaning of section 512(b)(13)? If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If "Yes," complete Schedule R, Part V, line 2 35b Section 501(c)(3) organizations. Did the organization make any transfers to an exempt non-charitable related organization? If "Yes," complete Schedule R. Part V, line 2 X 36 Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If "Yes," complete Schedule R, 37 Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? Note. All Form 990 filers are required to complete Schedule O ......

Form 990 (2014) GATEWAY HOMES, INC 91-Part V Statements Regarding Other IRS Filings and Tax Compliance

	Check if Schedule O contains a response or note to any line in this Part V			******		1
		1 1	1	1	Yes	No
a	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable	1a 1b				
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable	10		-		77.7
C	Did the organization comply with backup withholding rules for reportable payments to vendors and			100000	V	3.22.00
	reportable gaming (gambling) winnings to prize winners?			. 1c	X	00000
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax		70			
	Statements, filed for the calendar year ending with or within the year covered by this return	2a	70			(MA)
b	If at least one is reported on line 2a, did the organization file all required federal employment tax retu		*****************	. 2b	X	
	Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions	s)				9293
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year?			. 3a		X
b	If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation in Schedule	Charles and a series of		3b		
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other		ty			
	over, a financial account in a foreign country (such as a bank account, securities account, or other finaccount)?	ancial		4a		х
b	If "Yes," enter the name of the foreign country: ▶					
	See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial	Accoun	ts			
	(FBAR).					
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?			5a		X
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transact	tion?		5b		X
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?			5c		
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did th	e	******************			
	organization solicit any contributions that were not tax deductible as charitable contributions?			6a		X
b	If "Yes," did the organization include with every solicitation an express statement that such contribution	ns or				
	gifts were not tax deductible?			6b		
7	Organizations that may receive deductible contributions under section 170(c).					
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for	goods				
	and services provided to the payor?	***		7a	A A PERSON	X
b	If "Yes," did the organization notify the donor of the value of the goods or services provided?		*****************	7b		
C	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was	S			7.7	
	required to file Form 8282?			7c		X
d	If "Yes," indicate the number of Forms 8282 filed during the year	7d				2000
е	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit or	ontract	?	7e	************************************	Х
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit control			7f.		X
g	If the organization received a contribution of qualified intellectual property, did the organization file Fo		9 as required?	79		
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization			7h		
8	Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintaine		* (A * 4)			32433
	sponsoring organization have excess business holdings at any time during the year?			8	P (\$18.000.00)	V-66/8/58/000
9	Sponsoring organizations maintaining donor advised funds.				2523	200 / 12 / 12 / 12 / 12 / 12 / 12 / 12 /
а	Did the sponsoring organization make any taxable distributions under section 4966?		ere a communication de la communicación de la communicación de la communicación de la communicación de la commu	9a		
b	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?			9b		
10	Section 501(c)(7) organizations. Enter:	arisa isan		1111		
a	Initiation fees and capital contributions included on Part VIII, line 12	10a				
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b				
11	Section 501(c)(12) organizations. Enter:					
a	Gross income from members or shareholders	11a		1000		
b	Gross income from other sources (Do not net amounts due or paid to other sources					
	against amounts due or received from them.)	11b				
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form	10417		12a		10,500
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b				
13	Section 501(c)(29) qualified nonprofit health insurance issuers.			Desir		
a	Is the organization licensed to issue qualified health plans in more than one state?			13a		
	Note. See the instructions for additional information the organization must report on Schedule O.			1000	2.2.2.7. 2.2.2.3.3	
0	Enter the amount of reserves the organization is required to maintain by the states in which				406230	
	the organization is licensed to issue qualified health plans	13b				
C	Enter the amount of reserves on hand	13c				
14a	Did the organization receive any payments for indoor tanning services during the tax year?			14a		X
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule	0	.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	14b		
					200	-

Form 990 (2014) GATEWAY HOMES, INC

91-1865279

Part VI Governance, Management, and Disclosure For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

_	tion A. Governing Body and Management				Yes	No
1a	Enter the number of voting members of the governing body at the end of the tax year	1a	17			
	If there are material differences in voting rights among members of the governing body, or					
	if the governing body delegated broad authority to an executive committee or similar					
	committee, explain in Schedule O.					
b	Enter the number of voting members included in line 1a, above, who are independent	1b	17			
2	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with					
	any other officer, director, trustee, or key employee?			2	112120 113	X
3	Did the organization delegate control over management duties customarily performed by or under the direct				6-59-19	
	supervision of officers, directors, or trustees, or key employees to a management company or other person?			3		X
4	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed	1?		4		X
5	Did the organization become aware during the year of a significant diversion of the organization's assets?			5		X
6	Did the organization have members or stockholders?			6		X
7a	Did the organization have members, stockholders, or other persons who had the power to elect or appoint					
	one or more members of the governing body?			7a		X
b	Are any governance decisions of the organization reserved to (or subject to approval by) members,					15.1
	stockholders, or persons other than the governing body?			7b		X
8	Did the organization contemporaneously document the meetings held or written actions undertaken during the year	ear by t	he following:			
а	The governing body?			8a	X	
b	Each committee with authority to act on behalf of the governing body?			8b	X	
9	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at					
	the organization's mailing address? If "Yes," provide the names and addresses in Schedule O	******		9		X
Sec	tion B. Policies (This Section B requests information about policies not required by the Inte	rnal R	levenue C	ode.)		199
					Yes	No
a	Did the organization have local chapters, branches, or affiliates?	******	**********	10a		X
b	If "Yes," did the organization have written policies and procedures governing the activities of such chapters,			1	- 1	1
	affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?			10b		
11a	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filling	g the fo	orm?	11a	X	
b	Describe in Schedule O the process, if any, used by the organization to review this Form 990.			1000		
12a	Did the organization have a written conflict of interest policy? If "No," go to line 13			12a	X	
b	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give ri-	se to co	onflicts?	12b	X	
c	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes,"				1	1
	describe in Schedule O how this was done			12c	X	
13	Did the organization have a written whistleblower policy?	10,000		13	X	
14	Did the organization have a written document retention and destruction policy?			14	X	
15	Did the process for determining compensation of the following persons include a review and approval by					
	independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?				24.74	
a	The organization's CEO, Executive Director, or top management official	,,,,,,,		15a	X	
b	Other officers or key employees of the organization	incor		15b	X	7777.92
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions).			267	25.00	
16a	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement			1000	200	(A)
	with a taxable entity during the year?			16a	- 10 CO	X
b	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its					
	participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the			24038	14.54	
200	organization's exempt status with respect to such arrangements?	error.		16b		
	tion C. Disclosure  List the states with which a copy of this Form 990 is required to be filed ▶ None	100		-	7	
17	Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 5	01/01/2	)e only)			
10	available for public inspection. Indicate how you made these available. Check all that apply.	o neons	le offis)			
	X   Own website   Another's website   X   Upon request   Other (explain in Schedule O)					
-	Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of inte	est not	icy and			
	financial statements available to the public during the tax year.	July Poli	-,, 5110			

State the name, address, and telephone number of the person who possesses the organization's books and records; >

CHESTERFIELD

GATEWAY HOMES, INC.

VA 23838

11901 REEDY BRANCH ROAD

804-285-4389

Part VII

Form 990 (2014) GATEWAY HOMES, INC

Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and

Independent Contractors

Check if Schedule O contains a response or note to any line in this Part VII

ection A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's current officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
  - List all of the organization's current key employees, if any. See instructions for definition of "key employee."
- List the organization's five current highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's former officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's former directors or trustees that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.
  List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

(B) Average hours per week (list any	Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the	(E) Reportable compensation from related organizations	(F) Estimated amount of other compensation
hours for related organizations below dotted line)	Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former	organization (W-2/1099-MISC)	(W-2/1069-MISC)	from the organization and related organizations:
1.00	x		х				0	0	(
1.00									
	X		X			1	0	0	C
0.00	x		х				0	0	C
1.00	77		v						
s, CTP	A		Λ			1	0	U	
0.00	x						0	0	
1.00	x						0	o	
1.D. 1.00									
0.00 ton, IV	X		-			+	0	0	0
1.00	x		4 1				0	0	0
1.00									
M.D.	X					+	0	0	0
0.00	x						0	0	0
1.00	x						0	0	0
	hours per week (list any hours for related organizations below dotted line)  1.00 0.00	hours per week (list any hours for related organizations below dotted line)	1.00	Nours per week (list any hours for related organizations below dotted line)	1.00	hours per week (list any hours for related organizations below dotted line)  1.00 0.00 X X X  1.00 0.00 X X X  1.00 0.00 X	hours per week (list any hours for related organizations below dotted line)  1.00 0.000 X X  1.000 0.000 X X  1.000 0.000 X	Nours per   Week   (ilist any hours for related organizations below dotted fine)   Nours for related organization for related org	Note   Proceedings   Process   Pro

DAA

Form 990 (2014)

91-18

Part VII Section A. Officers	, Directors, Tru	istee	s, K	ey E	mpl	oyee	s, a	nd Highest Compensated I	Employees (continued)			
(A) Name and title	(B) Average hours per week (list any	bo	x, unli	Pos check ess pe	rson	than o	an	(D) Reportable compensation from the organization	(E) Reportable compensation from related organizations (W-2/1099-MISC)	Estim amou oth comper from	ated nt of er sation	
	hours for related organizations below dotted line)	or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former	(W-2/1099-MISC)		organi and re organiz	zation lated	
(12)Kathleen Markow	1.00 0.00	x						0	0			0
(13)Claiborne Mason Director	1.00	x						0	0			0
(14)Lars Messerschm:	1.00 0.00	x						0	0			0
(15) Florence Z. Sega	1, MSW, 1.00 0.00	A	sv					0	0			0
(16)Barrow Turner	1.00	x						0	0			0
(17)E. Otto N. Will:								0	0			0
xecutive Director	40.00			х				128,801	0		3,	863
(19)												
1b Sub-total	ets to Part VII,	Sect	ion A	\ \ 			A A	128,801				863
d Total (add lines 1b and 1c)  Total number of individuals (in reportable compensation from	cluding but not			thos	e lis	ted a	bove	128,801 a) who received more than \$	100,000 of			863
<ul> <li>Did the organization list any for employee on line 1a? If "Yes,"</li> <li>For any individual listed on line organization and related on line 1</li> </ul>	complete Sche e 1a, is the sum nizations greater	of re	J for	suc able 60,00	com	dividu pens f "Ye:	al ation	n and other compensation from plete Schedule J for such	om the	3	Yes	x
for services rendered to the or Section B. Independent Contracto	ors									5		X
Complete this table for your five compensation from the organi     Name and								ar year ending with or within			(C) ompensa	ition
0												
	ndurate minutas s											
Total number of independent of received more than \$100,000								se listed above) who	0			

Form 990 (2014) GATEWAY HOMES, INC

Statement of Revenue Check if Schedule O contains a response or note to any line in this Part VIII (A) Revenue Unrelated Total revenue excluded from tax exempt business function revenue under sections 512-514 revenue Gifts, Grants ilar Amounts 1a Federated campaigns 1b b Membership dues 10 c Fundraising events 1d d Related organizations 1e e Government grants (contributions) f All other contributions, gifts, grants, and similar amounts not included above 336,631 1f g Noncash contributions included in lines 1a-1f: 336,631 h Total. Add lines 1a-1f Busn. Code Service Revenue 2,135,478 623990 2,135,478 Resident Fees 121,595 121,595 623990 Federal Housing Assistance Program f All other program service revenue .... D 2,257,073 q Total. Add lines 2a-2f..... 3 Investment income (including dividends, interest, 90,391 90,391 and other similar amounts) Income from investment of tax-exempt bond proceeds Royalties (ii) Personal (i) Real 6a Gross rents b Less: rental exps. c Rental Inc. or (loss) d Net rental income or (loss) 7a Gross amount from (ii) Other (i) Securities sales of assels 811,722 800 other than inventory b Less: cost or other 616,983 basis & sales exps. 800 c Gain or (loss) 195,539 195,539 d Net gain or (loss) 8a Gross income from fundraising events Revenue (not including \$ of contributions reported on line 1c). See Part IV, line 18 b Less: direct expenses c Net income or (loss) from fundraising events 9a Gross income from gaming activities. See Part IV, line 19 b Less: direct expenses c Net income or (loss) from gaming activities 10a Gross sales of inventory, less returns and allowances b Less: cost of goods sold c Net income or (loss) from sales of inventory Miscellaneous Revenue Busn. Code 3,054 3,054 11a Miscellaneous Revenue d All other revenue 3,054 Total, Add lines 11a-11d 2,882,688 2,455,666 90,391

Total revenue. See instructions.

# Part IX Statement of Functional Expenses

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

_	Check if Schedule O contains a responsor include amounts reported on lines 6b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1	Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21			200 (1990 - 200 ) 200 - 200 (1990 - 200 ) 200 - 200 (1990 - 200 )	This court
2	Grants and other assistance to domestic individuals, See Part IV, line 22			10 (10 (10 (10 (10 (10 (10 (10 (10 (10 (	(1884) 1884 1884
3	Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16			是 <b>这</b>	And the second s
4	Benefits paid to or for members			44 (5-15-17)	
5	Compensation of current officers, directors, trustees, and key employees	124,857	77,411	31,214	16,232
6	compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7	Other salaries and wages	1,632,560	1,428,298	85,010	119,252
8	Pension plan accruals and contributions (include				
	section 401(k) and 403(b) employer contributions)	43,856	30,699	11,183	1,974
9	Other employee benefits	92,484	64,739	23,583	4,162
10	Payroll taxes	130,482	91,699	33,271	5,512
11	Fees for services (non-employees):	21 722		05 050	
a	Management	81,783	1 000	25,270	56,513
b	Legal	9,117	4,000	5,117	
	Accounting	41,323		41,323	
	Lobbying				
f	Professional fundraising services. See Part IV, line 17 Investment management fees				
g	Other. (If line 11g amount exceeds 10% of line 25, column	70 005	55 200	6 500	
	(A) amount, fist line 11g expenses on Schedule O.)	72,895	66,387	6,508	
12	Advertising and promotion	FF F97	4 405	14 050	6 000
13	Office expenses	55,577	4,405	44,950	6,222
14	Information technology				
15	Royalties	237,279	237,279		
16	Occupancy	231,213	231,213		
17	Payments of travel or entertainment expenses				<del>y</del>
	for any federal, state, or local public officials				
19	Conferences, conventions, and meetings				
20	Interest				
21	Payments to affiliates  Depreciation, depletion, and amortization	135,632	135,632		Matter the second of the
22	Insurance	68,003	54,402	13,601	
24	Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If	70 5 1 1 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2	31,102	23,001	
	line 24e amount exceeds 10% of line 25, column	12 11			
	(A) amount, list line 24e expenses on Schedule O.)  RESIDENT EXPENSES	139,384	139,384		
a	FAIRFAX EXPENSES	53,574	53,574		
0	OTHER OPERATING EXPENSES	44,788	31,253	12,898	637
d	FOOD	43,703	43,703		05,
	All other expenses	92,828	62,228	30,004	596
3	Total functional expenses. Add lines 1 through 24e	3,100,125	2,525,093	363,932	211,100
26	Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundralsing solicitation. Check here ▶ if				
DAA	following SOP 98-2 (ASC 958-720)				Form 990 (2)

Form 990 (2014) GATEWAY HOMES, INC

Part X **Balance Sheet** Check if Schedule O contains a response or note to any line in this Part X (A) Beginning of year End of year 162,017 1 45,913 Cash-non-interest bearing 311,086 2 192,523 Savings and temporary cash investments 2 60,213 Pledges and grants receivable, net 9,204 3 3 324,634 142,426 Accounts receivable, net Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L 5 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary 6 organizations (see instructions). Complete Part II of Schedule L Notes and loans receivable, net 7 Inventories for sale or use 8 22,541 Prepaid expenses and deferred charges 8,679 9 10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D 4,234,504 10a 2,593,621 105 1,632,991 2,601,513 b Less: accumulated depreciation 10c 3,049,070 2,975,339 Investments—publicly traded securities 11 11 Investments—other securities. See Part IV, line 11 12 12 Investments—program-related. See Part IV, line 11 13 13 14 Intangible assets 14 1,011 2,200 15 15 Other assets. See Part IV, line 11 6,510,331 16 Total assets. Add lines 1 through 15 (must equal line 34) ..... 16 5,991,659 146,732 Accounts payable and accrued expenses 17 136,761 17 18 18 Grants payable 75,180 Deferred revenue 19 20 20 Tax-exempt bond liabilities Escrow or custodial account liability. Complete Part IV of Schedule D 21 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L 22 Secured mortgages and notes payable to unrelated third parties 307,927 297,640 23 Unsecured notes and loans payable to unrelated third parties 24 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X 230,093 25 of Schedule D 221,136 684,752 26 Total liabilities. Add lines 17 through 25 730.717 Organizations that follow SFAS 117 (ASC 958), check here ▶ Balances complete lines 27 through 29, and lines 33 and 34. 3,494,580 Unrestricted net assets 3,208,648 27 Temporarily restricted net assets 1,087,342 808,637 28 Fund 1,243,657 1,243,657 Permanently restricted net assets 29 Organizations that do not follow SFAS 117 (ASC 958), check here 0 complete lines 30 through 34. Assets Capital stock or trust principal, or current funds 30 Paid-in or capital surplus, or land, building, or equipment fund 31 Retained earnings, endowment, accumulated income, or other funds 32 5,825,579 Total net assets or fund balances 33 5,260,942 6,510,331 34 5,991,659 Total liabilities and net assets/fund balances

Form 990 (2014)

Form 990 (2014) GATEWAY HOMES,

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Pa	art XI Reconciliation of Net Assets					
	Check if Schedule O contains a response or note to any line in this Part XI					
1	Total revenue (must equal Part VIII, column (A), line 12)	1	2,8		-	
	Total expenses (must equal Part IX, column (A), line 25)	2	3,1	00,	125	
3	Revenue less expenses. Subtract line 2 from line 1	3	-2	17,	437	
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	5,8	25,	579	
5	Net unrealized gains (losses) on investments		-2	59,	956	
6	Donated services and use of facilities	6				
7	Investment expenses	7	-26,202			
8	Prior period adjustments	8	And a specimen			
9	Other changes in net assets or fund balances (explain in Schedule O)	9	-	61,	042	
10	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line					
	33, column (B))	10	5,2	60,	942	
Pa	nt XII Financial Statements and Reporting					
	Check if Schedule O contains a response or note to any line in this Part XII					
				Yes	No	
1	Accounting method used to prepare the Form 990:		_ 800	sales an		
	If the organization changed its method of accounting from a prior year or checked "Other," explain in					
	Schedule O.					
2a	Were the organization's financial statements compiled or reviewed by an independent accountant?		2a		X	
	If "Yes," check a box below to indicate whether the financial statements for the year were compiled or					
	reviewed on a separate basis, consolidated basis, or both:					
	Separate basis Consolidated basis Both consolidated and separate basis					
b	b Were the organization's financial statements audited by an independent accountant?					
	If "Yes," check a box below to indicate whether the financial statements for the year were audited on a					
	separate basis, consolidated basis, or both:					
	Separate basis X Consolidated basis Both consolidated and separate basis		33900			
C	If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight					
	of the audit, review, or compilation of its financial statements and selection of an independent accountant?	********	2c	X		
	If the organization changed either its oversight process or selection process during the tax year, explain in					
	Schedule O.					
3a	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in					
	the Single Audit Act and OMB Circular A-133?		3a		X	
b	If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the			1	- 1	
	required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits		1 3h			

Form 990 (2014)

# SCHEDULE A (Form 990 or 990-EZ)

# **Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

Attach to Form 990 or Form 990-EZ.

OMB No. 1545-0047

2014

Open to Public

Department of the Treasury ternal Revenue Service Name of the organization

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990. Inspection Employer identification number 91-1865279 GATEWAY HOMES, INC

Part	1 Reas	son for Public Charit	y Status (All organization	ns must c	omplete t	his part.) See instruction	ins.					
The org	anization is no	t a private foundation beca	use it is: (For lines 1 through 1	1, check on	ly one box.)							
1	A church, co	onvention of churches, or a	ssociation of churches describe	ed in sectio	n 170(b)(1)	(A)(i).						
2	A school de	scribed in section 170(b)(	1)(A)(ii). (Attach Schedule E.)									
3	A hospital o	al or a cooperative hospital service organization described in section 170(b)(1)(A)(iii).										
4	A medical re	nedical research organization operated in conjunction with a hospital described in section 170(b)(1)(A)(iii). Enter the hospital's name,										
	city, and sta	te:										
5	An organiza	tion operated for the benef	it of a college or university own	ed or opera	ted by a gov	remmental unit described in	*****************************					
-	section 170	(b)(1)(A)(iv). (Complete Pa	art II.)									
6			governmental unit described in	n section 1	70(b)(1)(A)(	v).						
7	An organiza	anization that normally receives a substantial part of its support from a governmental unit or from the general public										
	described in	section 170(b)(1)(A)(vi).	(Complete Part II.)									
8	A communit	y trust described in section	170(b)(1)(A)(vi). (Complete P	art II.)								
9 X	An organiza	tion that normally receives:	(1) more than 33 1/3% of its s	upport from	contribution	s, membership fees, and gr	oss					
	receipts from	n activities related to its ex-	empt functions—subject to cert	ain exception	ons, and (2)	no more than 33 1/3% of its						
	support from	gross investment income	and unrelated business taxable	e income (le	ss section 5	11 tax) from businesses						
	acquired by	the organization after June	30, 1975. See section 509(a)	(2). (Comple	ete Part III.)							
10	An organiza	tion organized and operate	d exclusively to test for public s	afety. See	section 509	(a)(4).						
11	An organiza	tion organized and operate	d exclusively for the benefit of,	to perform I	he functions	of, or to carry out the purpo	oses of					
	one or more	publicly supported organiz	ations described in section 50	9(a)(1) or se	ection 509(a	a)(2). See section 509(a)(3).	. Check					
	the box in lin	es 11a through 11d that de	escribes the type of supporting	organization	and compl	ete lines 11e, 11f, and 11g.						
a	Type I. A su	pporting organization opera	ated, supervised, or controlled	by its suppo	rted organiz	ation(s), typically by giving						
	the supporte	d organization(s) the powe	r to regularly appoint or elect a	majority of	the directors	or trustees of the supportin	g					
	organization	. You must complete Part	t IV, Sections A and B.									
b	Type II. A su	upporting organization supe	ervised or controlled in connect	ion with its	supported or	ganization(s), by having						
	control or ma	anagement of the supporting	ng organization vested in the sa	me persons	that contro	or manage the supported						
perior.	organization	(s). You must complete P	art IV, Sections A and C.									
C	Type III fund	ctionally integrated. A sup	oporting organization operated	in connection	n with, and	functionally integrated with,						
******	its supported	d organization(s) (see instru	ictions). You must complete f	Part IV, Sec	tions A, D,	and E.						
d	Type III non	-functionally integrated.	A supporting organization opera	ated in conn	ection with	its supported organization(s)	)					
	that is not fu	nctionally integrated. The o	organization generally must sati	sfy a distrib	ution require	ement and an attentiveness						
junio .	requirement	(see instructions). You mu	ist complete Part IV, Sections	s A and D,	and Part V.							
е			ved a written determination from			oe I, Type II, Type III						
	그리아 이번의 장면 보기를 받아 걸린다.	아들은 그들은 사람들은 사람들은 사람들이 없는 것이 없는 것이 없었다.	unctionally integrated supporting	ng organizat	ion.							
		r of supported organization										
11, 10		wing information about the	THE DESIGNATION OF THE PROPERTY OF THE PROPERT	Test								
	ne of supported rganization	20명하다 10명 20명이 있는 10명이 되는 10명이 있는 10명이 10명이 10명이 10명이 10명이 10명이 10명이 10명이				(v) Amount of monetary support (see	(vi) Amount of other support (see					
			above or IRC section	document?		instructions]	Instructions)					
			(see instructions))									
A.				Yes	No							
(A)												
D)					-							
B)												
(C)				-								
(C)												
(D)												
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Total		1000 1000										
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Schedule A (Form 990 or 990-EZ) 2014 GATEWAY HOMES, INC

Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi) (Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

e	tion A. Public Support						
	ndar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
1	Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2	Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
3	The value of services or facilities furnished by a governmental unit to the organization without charge						
4	Total. Add lines 1 through 3						
5	The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f)			The second second second			
6	Public support. Subtract line 5 from line 4.			0.000.00.000.0000.000000			
Sec	tion B. Total Support			TO THE PROPERTY OF			
Cale	ndar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
7	Amounts from line 4						
8	Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
	Net income from unrelated business activities, whether or not the business is regularly carried on						
10	Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)						
11	Total support. Add lines 7 through 10						
12	Gross receipts from related activities, etc.	(see instructions)				12	
13	First five years. If the Form 990 is for the	organization's firs	t, second, third, fo	urth, or fifth tax ye	ar as a section 50	1(c)(3)	
	organization, check this box and stop her						
Sec	tion C. Computation of Public Su	THE PORTUGE OF THE PROPERTY OF THE PARTY OF					
14	Public support percentage for 2014 (line 6			in (f))			%
15	Public support percentage from 2013 Scho					15	%
16a	33 1/3% support test—2014. If the organ				33 1/3% or more,	check this	
	box and stop here. The organization quali						▶ ∟
b	33 1/3% support test—2013. If the organ				15 is 33 1/3% or m	iore,	
	check this box and stop here. The organization						<u> </u>
17a	10%-facts-and-circumstances test—201 10% or more, and if the organization meet Part VI how the organization meets the "fa	s the "facts-and-c	ircumstances" test	, check this box ar	nd stop here. Exp	lain in	
	organization						
ь	10%-facts-and-circumstances test—201 15 is 10% or more, and if the organization Explain in Part VI how the organization me	meets the "facts-	and-circumstances	" test, check this t	oox and stop here		
							▶ [
18	Private foundation. If the organization did	not check a box	on line 13, 16a, 16	b, 17a, or 17b, ch	eck this box and s	ee	
	instructions						

DING ANIMATERIO O'EL LIM

Support Schedule for Organizations Described in Section 509(a)(2)

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II.

If the organization fails to qualify under the tests listed below, please complete Part II.)

inc	If the organization fails to q		The state of the s				
'ale	ndar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
1	Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	1,568,311	728,951	664,441	467,090	336,631	3,765,42
2	Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's lax-exempt purpose	1,850,538	2,137,836	2,426,583	2,291,286	2,260,127	10,966,37
3	Gross receipts from activities that are not an unrelated trade or business under section 513						
4	Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5	The value of services or facilities furnished by a governmental unit to the organization without charge						
6	Total. Add lines 1 through 5	3,418,849	2,866,787	3,091,024	2,758,376	2,596,758	14,731,79
7a	Amounts included on lines 1, 2, and 3 received from disqualified persons						
b	Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year					1100	
C	Add lines 7a and 7b		The state of the s				
8	Public support (Subtract line 7c from line 6.)						14,731,79
	tion B. Total Support						the state of the s
alei	ndar year (or fiscal year beginning in)	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
9	Amounts from line 6	3,418,849	2,866,787	3,091,024	2,758,376	2,596,758	14,731,79
10a	Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	28,072	47,142	79,544	88,290	90,391	333,43
b	Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975					2	
С	Add lines 10a and 10b	28,072	47,142	79,544	88,290	90,391	333,43
11	Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12	Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.)			5,794	9,507	3,054	18,355
13	Total support. (Add lines 9, 10c, 11,						
	and 12.)	3,446,921	2,913,929	3,176,362	2,856,173	2,690,203	15,083,588
14	First five years. If the Form 990 is for the o organization, check this box and stop here	***************					<b>&gt;</b> [
Sec	tion C. Computation of Public Sup	port Percenta	ige				
15	Public support percentage for 2014 (line 8, o	column (f) divided I	by line 13, column	(f))		15	97.67%
16	Public support percentage from 2013 Sched	lule A. Part III, line	15		****	16	98.02%
1000	tion D. Computation of Investmen			1 (0)			2%
17	Investment income percentage for 2014 (line	4 (line 10c, column (f) divided by line 13, column (f))  17					
19a							
b	17 is not more than 33 1/3%, check this box 33 1/3% support tests—2013. If the organic	and stop here. Ti	ne organization qui	alifies as a publicly	supported organi	zation	<b>▶</b> [X
	line 18 is not more than 33 1/3%, check this						Þſ
20	Private foundation. If the organization did r						-
	The state of the s	Washington and the same of the	OF REPORTS AND ADDRESS OF THE PERSON OF THE	The state of the s		fule A (Form 990 c	- 000 EZ) 204

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Schedule A (	A 1		. I have more	MARIAN	Provide	TOO DX	planation ny additio	s require	ed by Parmation.	rt II, line (See ins	10; Part	II, line 1 s.)	7a or 1	7b; and	d
Part	III, I	ine	12 -	Othe	r Inc	ome 1	Detail		*******	egovern.			.,		*****
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# Schedule B

DESO UNIVERZUTO U.Z. FM

(Form 990, 990-EZ, or 990-PF)

Department of the Treasury

### Schedule of Contributors

Attach to Form 990, Form 990-EZ, or Form 990-PF.

OMB No. 1545-0047

2014

▶ Information about Schedule B (Form 990, 990-EZ, 990-PF) and its instructions is at www.irs.gov/form990. me of the organization

Employer identification number

GATEWAY HOM	ES, INC	91-1865279
Organization type (chec	:k one):	The second of th
Filers of:	Section:	
Form 990 or 990-EZ	X 501(c)( 3 ) (enter number) organization	
	4947(a)(1) nonexempt charitable trust not treated as a priva	ate foundation
	527 political organization	
Form 990-PF	501(c)(3) exempt private foundation	
	4947(a)(1) nonexempt charitable trust treated as a private for	oundation
	501(c)(3) taxable private foundation	
Organization type (check one):  Filers of: Section:  Form 990 or 990-EZ X 501(c)( 3 ) (enter number) organization  4947(a)(1) nonexempt charitable trust not treated as a private foundation  527 political organization  Form 990-PF 501(c)(3) exempt private foundation  4947(a)(1) nonexempt charitable trust treated as a private foundation		
Note. Only a section 501		ule and a Special Rule. See
General Rule		
Y Cor on organizati	ion filing Form 900, 990 F7, or 990 PE that received during the year or	ontributions totaling \$5,000
or more (in mone	ey or property) from any one contributor. Complete Parts I and II. See in	
	Contributions.	
Special Rules		
regulations under	r sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (For and that received from any one contributor, during the year, total contrib	m 990 or 990-EZ), Part II, line outions of the greater of (1)
	프로마이 그 아니는 이 그의 외자가 있는 경에게 많은 이 것들을 생활하는 말이다고 하는 것이 없는 것들은 가장이 가지 않는 것이다. (1955년 사기 사기 등 5년 기 사기 등 5년 기 기 기 등 5	
contributor, durin	g the year, contributions exclusively for religious, charitable, etc., purpo	ses, but no such
during the year fo	or an exclusively religious, charitable, etc., purpose. Do not complete an	ny of the parts unless the
	wave during the year	
990-EZ, or 990-PF), but i	2012년 1월 12 12 12 12 12 12 12 12 12 12 12 12 12	on line H of its Form 990-EZ or on its

### SCHEDULE D (Form 990)

DAA

rement of the Treasury nal Revenue Service.

Supplemental Financial Statements

> Complete if the organization answered "Yes" to Form 990,
Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.

> Attach to Form 990.

Information about Schedule D (Form 990) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

Open to Public Inspection

Employer identification number

ame of the or			91-1865279
Part I	VAY HOMES, INC Organizations Maintaining Donor Advised F	unds or Other Similar Funds o	r Accounts.
,000,000,000	Complete if the organization answered "Yes" to	(a) Donor advised funds	(b) Funds and other accounts
2 Aggre 3 Aggre	number at end of year egate value of contributions to (during year) egate value of grants from (during year) egate value at end of year		
funds 6 Did th	ne organization inform all donors and donor advisors in writing to are the organization's property, subject to the organization's ene organization inform all grantees, donors, and donor advisors	in writing that grant funds can be used	Yes No
only f	for charitable purposes and not for the benefit of the donor or derring impermissible private benefit?	onor advisor, or for any other purpose	Yes No
Part II	Conservation Easements. Complete if the organization answered "Yes" to		
P P P	ose(s) of conservation easements held by the organization (che reservation of land for public use (e.g., recreation or education protection of natural habitat preservation of open space plete lines 2a through 2d if the organization held a qualified comment on the last day of the tax year.	Preservation of a historically  Preservation of a certified his	toric structure
			2a
	acreage restricted by conservation easements		(BENERAL SECTION OF MICH. 1987) 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1. 1.
d Numl	ber of conservation easements on a certified historic structure in ber of conservation easements included in (c) acquired after 8/ ric structure listed in the National Register		2c 2d
	ber of conservation easements modified, transferred, released,	extinguished, or terminated by the organ	2 1 2 2 C 2 C 2 C 2 C 2 C 2 C 2 C 2 C 2
	ber of states where property subject to conservation easement	is located ▶	
	the organization have a written policy regarding the periodic materials, and enforcement of the conservation easements it holds?		Yes N
>	and volunteer hours devoted to monitoring, inspecting, and enf		
7 Amot	unt of expenses incurred in monitoring, inspecting, and enforcing	ng conservation easements during the ye	ear
	each conservation easement reported on line 2(d) above satissection 170(h)(4)(B)(ii)?	fy the requirements of section 170(h)(4)(	
balan	ort XIII, describe how the organization reports conservation easing sheet, and include, if applicable, the text of the footnote to the footnot	그 하고 하면 하는 것이 하는 것이 하는 것이 하는 것이 하면 하는 것이 없는 것이 없는 것이 없는 것이 없다. 그 없는 것이 없는 것이 없다.	
Part III	Organizations Maintaining Collections of A Complete if the organization answered "Yes" to		er Similar Assets.
	organization elected, as permitted under SFAS 116 (ASC 958 s of art, historical treasures, or other similar assets held for pub	), not to report in its revenue statement a	
	service, provide, in Part XIII, the text of the footnote to its fina		
	organization elected, as permitted under SFAS 116 (ASC 958)	이 경기가 하는 이렇게 하게 되는 것이 하는 것이 없는 것이 되었다면 하는 것이 없어 없어 먹었다.	
	s of art, historical treasures, or other similar assets held for pub c service, provide the following amounts relating to these items		urtnerance of
	Revenues included in Form 990, Part VIII, line 1		<b>&gt;</b> \$
		······································	
	organization received or held works of art, historical treasures,		
	ving amounts required to be reported under SFAS 116 (ASC 95	[10] - [11] [12] - [12] [13] [14] [15] [15] [15] [15] [15] [15] [15] [15	
			<b>▶</b> \$
b Asse	ts included in Form 990, Part X		
For Paper	work Reduction Act Notice, see the Instructions for Form 9	90.	Schedule D (Form 990) 201

CONTRACTOR CONTRACTOR	Organizations Maintaini	ng Collections of A	rt. Historical Tre	easures, or Ot	her Similar A	ssets (	continu	ued)	
Part III	the organization's acquisition, acces	sion, and other records,	check any of the follo	wing that are a sig	mificant use of its				
collec	ction items (check all that apply):								
Da MP	Public exhibition	d Lo	an or exchange prog	rams					
Institut	Scholarly research	e Ot	ther						
Second	reservation for future generations	· · ·	.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,						
4 Provi	de a description of the organization's	collections and explain h	ow they further the o	rganization's exem	pt purpose in Par	rt			
XIII.									
	ig the year, did the organization solici	t or receive donations of	art, historical treasure	es, or other similar					
	ts to be sold to raise funds rather than						Y	es	No
Part IV	Escrow and Custodial A	rrangements.							Citilles In
	Complete if the organization	on answered "Yes" t	o Form 990, Part	IV, line 9, or re	eported an am	ount or	Form		
	990, Part X, line 21.					Total bone			
1a Is the	e organization an agent, trustee, custo	odian or other intermedia	ry for contributions or	other assets not					
	ded on Form 990, Part X?						Ye	es [	No
	es," explain the arrangement in Part X	III and complete the follo	wing table:						
							Amoun	t	
c Begin	nning balance				1c				
d Addit	ions during the year								- 1-
	butions during the year					53.5			
					1f	The state of	300		
2a Did th	ne organization include an amount on	Form 990, Part X, line 2	1, for escrow or custo	odial account liabili	ty?		Ye	es	No
b If "Ye	s," explain the arrangement in Part X	III. Check here if the expl	lanation has been pro	ovided in Part XIII				Total	and a
Part V	Endowment Funds.							V 11-9	argy.
	Complete if the organization	on answered "Yes" to	o Form 990, Part	IV, line 10.					
		(a) Current year	(b) Prior year	(c) Two years back	(d) Three year	s back	(e) Fou	r years	back
1a Begin	nning of year balance	2,643,477	2,412,970	2,107,7	2,047	7,691		620	01
b Contr	ributions				253	3,348	1,	415,	34
c Net in	nvestment earnings, gains, and								100
losse	s	-40,074	326,177	398,7	57 377	7,345		12,	32
d Grant	ts or scholarships						E de la companya de l	13.5	
e Other	expenditures for facilities and		Many Salasan Salasan					7	TIME!
progra	ams	70,000	70,000	72,1	77 556	5,349			
f Admir	nistrative expenses	26,202	25,670	21,36	50 14	,285			
	of year balance	2,507,201	2,643,477	2,412,97	70 2,107	7,750	2,0	047,	69
2 Provid	de the estimated percentage of the co	urrent year end balance (	line 1g, column (a)) h	eld as:				9 11-2	
a Board	d designated or quasi-endowment >	39.69%							
b Perma	anent endowment ▶ 49.60 %								
c Temp	orarily restricted endowment	10.71%							
	ercentages in lines 2a, 2b, and 2c sh								
3a Are th	nere endowment funds not in the poss	session of the organization	in that are held and a	dministered for the	9				
organ	ization by:							Yes	No
(i) ur	nrelated organizations				*****************		3a(i)		X
(ii) re	elated organizations	********************					3a(ii)		X
b If "Yes	s" to 3a(ii), are the related organization	ons listed as required on 5	Schedule R?		***************		3b		
4 Descr	ibe in Part XIII the intended uses of t	he organization's endown	nent funds.						1
Part VI							3- 1		
	Complete if the organization	on answered "Yes" to	Form 990, Part	IV, line 11a. Se	ee Form 990, I	Part X,	line 10	).	2
	Description of property .	(a) Cost or other basis			c) Accumulated		(d) Book	value	
		(investment)	(other)		depreciation				
1a Land			Contract of the Contract of th	6,029				06,	-
b Buildir			3,34	8,258	1,149,802	2	2,19	8,	456
	hold improvements								
d Equip			THE RESERVE OF THE PERSON NAMED IN COLUMN TWO IS NOT THE PERSON NAMED IN COLUMN TWO IS NAMED IN COL	4,292	257,475	-		16,8	
e Other				5,925	225,714	1		0,2	
DIAM ACCO	ines 1a through 1e. (Column (d) mus	equal Form 990. Part X.	column (B) line 10c				2,60	17 1	- 7 2

Investments-Other Securities. IV line 11h See Form 990 Part X line 12

D	(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)	Financial derivatives		
(2)	Closely-held equity interests		
(3)	Other		
	(A)		
4.5	(B)		
	(c)		
	(D)		
	(E)		
	(F)		
	(G)		
	(H)		
Tot	al. (Column (b) must equal Form 990, Part X, col. (B) line 12.) ▶		and the second s

Complete if the organization answered "Yes" to Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
3)		
<i>(</i> 3)		
otal. (Column (b) must equal Form 990, Part X, col. (B) line 13.)		

Part IX Other Assets.

Complete if the organization answered "Yes" to Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

	(a) Description	(b) Book value
(1)		
(2)		
(3)		
(4)		
(5)		117 Mark Coll 12
(6)		
(7)		
(8)		
(9)		
otal, (Column (b) must equal Fo	orm 990. Part X. col. (B) line 15.)	

Part X Other Liabilities.

Complete if the organization answered "Yes" to Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value	
(1) Federal income taxes		
(2) ANNUITY OBLIGATIONS	221,136	
(3)		
(4)		
(5)		
(6)		
7)		
(8)		
(9)		1.50
Total. (Column (b) must equal Form 990, Part X, col. (B) line 25.) ▶	221,136	

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII

193								
9	1	1	8	6	5	2	7	9

Schedule D	(Form 990) 2014 GATEWAY HUMES, INC	atomonte With	Revenue per Ret	urn.	A ALL THE RES
Part XI	Reconciliation of Revenue per Audited Financial So Complete if the organization answered "Yes" to Form So	990. Part IV, line	12a.		
A Total	revenue, gains, and other support per audited financial statements			1	2,535,488
1 Total I	nts included on line 1 but not on Form 990, Part VIII, line 12:	*****************			
		2a	-259,956		
	realized gains (losses) on investments	3 T 1 T 1 T 1 T 1 T 1 T 1 T 1 T 1 T 1 T			
	ed services and use of facilities	4.211			
	reries of prior year grants				
	(Describe in Part XIII.)	*****		2e	-259,956
	nes 2a through 2d			3	2,795,444
	act line 2e from line 1			SERVICE STATES	
	nts included on Form 990, Part VIII, line 12, but not on line 1:	4a	26,202		
	ment expenses not included on Form 990, Part VIII, line 7b	4	61,042		
	(Describe In Part XIII.)	[4b]	01,042	24 M S 25 W S 24	87,244
c Add li	nes 4a and 4b			4c	2,882,688
5 Total	revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12	.)		100	
Part XII		Statements With	n Expenses per h	eturn	
	Complete if the organization answered "Yes" to Form	990, Part IV, line	12a.		2 100 125
	expenses and losses per audited financial statements		.,	3	3,100,125
	nts included on line 1 but not on Form 990, Part IX, line 25:	1 1			
a Donat	ed services and use of facilities				
b Prior	year adjustments	2b			
c Other		2c			
d Other	(Describe in Part XIII.)	2d			
e Add li	nes 2a through 2d			2e	
3 Subtra	act line 2e from line 1			3	3,100,125
4 Amou	nts included on Form 990, Part IX, line 25, but not on line 1:				
a Invest	ment expenses not included on Form 990, Part VIII, line 7b	4a	AL 255-35		
b Other	(Describe in Part XIII.)	4b			
	nes 4a and 4b			4c	
3 Total	expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 1			5	3,100,125

Part XIII Supplemental Information.

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line

2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Part V, Line 4 - Intended Uses for Endowment Funds

The unrestricted portion of the endowment and the income from the permanently restricted portion are available for use for operation of programs.

### Part X - FIN 48 Footnote

Gateway follows the Financial Accounting Standards Board ("FASB") guidance related to accounting for uncertainties in income taxes, which prescribes a minimum recognition threshold that a tax position is required to meet before being recognized in Gateway's financial statements.

In accordance with the guidance, Gateway discloses the expected future tax consequences of uncertain tax positions presuming the tax authorities' full knowledge of the facts and Gateway's position and records unrecognized tax benefits or liabilities for known, or anticipated tax issues based on

Part XIII Supplemental Information (continued)		
Gateway's analysis of whether additional taxes would	d be due to	the
authority given their full knowledge of the tax pos	ition. Gate	way has
completed its assessment and determined that there	were no tax	positions
which would require recognition under guidance.		
WHICH WOULD LOUGHANDED THE STATE OF THE STAT		, 1944 *** (#1848;
Part XI, Line 4b - Revenue Amounts Included on Retu	rn - Other	****************
Change in value - gift annuity	\$	61,042
·		
		Markette (m. 1994) 1987
		*******************************
		*************
······································		***************************************
	••••	
		***************************************

### 6738 05/04/2016 6:27 PM

SCHEDULE L (Form 990 or 990-EZ)

Department of the Treasury nternal Revenue Service

# ransactions With Interested Pe

Complete if the organization answered "Yes" on Form 990, Part IV, line 25a, 25b, 26, 27, 28a, 28b, or 28c, or Form 990-EZ, Part V, line 38a or 40b.

Attach to Form 990 or Form 990-EZ.

Information about Schedule L (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

OMB No. 1545-0047

Open To Public Inspection :

Employer identification number ne of the organization 91-1865279 GATEWAY HOMES, INC Excess Benefit Transactions (section 501(c)(3), section 501(c)(4), and 501(c)(29) organizations only). Part I Complete if the organization answered "Yes" on Form 990, Part IV, line 25a or 25b, or Form 990-EZ, Part V, line 40b (d) Corrected? (b) Relationship between disqualified person and (c) Description of transaction (a) Name of disqualified person organization (1) (2) (3) (4) (5) (6) Enter the amount of tax incurred by the organization managers or disqualified persons during the year P \$ Enter the amount of tax, if any, on line 2, above, reimbursed by the organization Loans to and/or From Interested Persons. Part II Complete if the organization answered "Yes" on Form 990-EZ, Part V, line 38a or Form 990, Part IV, line 26; or if the organization reported an amount on Form 990, Part X, line 5, 6, or 22. (c) Purpose of (g) in default? (i) Written (b) Relationship (e) Original (f) Balance due (h) Approved (a) Name of interested person (d) Loan to with organization or from the principal amount by board or agreement? org.? committee? To From Yes No Yes No Yes No (5) (9) (10)Total Grants or Assistance Benefiting Interested Persons. Part III Complete if the organization answered "Yes" on Form 990, Part IV, line 27 (a) Name of interested person (c) Amount of assistance (b) Relationship between interested (d) Type of assistance (e) Purpose of assistance person and the organization (1) (2) (3) (4)

(7) (8) (9) Schedule L (Form 990 or 990-EZ) 2014 GATEWAY HOMES, INC

Complete if the organization answered	(b) Relationship between	(c) Amount of	(d) Description of transaction	(e) Sharing of org.
(a) Name of interested person	Interested person and the organization	transaction		revenues?
	DIRECTOR		SEE NOTE	X
(1) E. OTTO N. WILLIAMS, JR.	DIRECTOR			
(2)	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1			
(3)				
(4)				
(5) (6)				
(7)				
(8)				
(9)				
Part V Supplemental Information				
Schedule L, Part V - Addi DESCRIPTION OF TRANSACTION		n .		
NOTE:				
	INVESTMENT COMPAN	Y MAKES AI	L THE INVESTMENT	
DECISIONS FOR THE ACCOUNT	EXCEPT THE ALLOC	ATION OF S	STOCKS AND BONDS	WHICH
IS DETERMINED BY GATEWAY	HOMES, INC. THE B	OARD MEMBE	R DOES NOT TAKE	PART I
ANY BUY OR SELL DECISIONS	OF THE ACCOUNTS.			
	THE RESIDENCE OF THE PARTY OF T			

SCHEDULE O (Form 990 or 990-EZ) Supplemental Information to Form 990 or 990-EZ

Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information. 2014

OMB No. 1545-0047

partment of the Treasury ternal Revenue Service ➤ Attach to Form 990 or 990-EZ.

➤ Information about Schedule O (Form 990 or 990-EZ) and its instructions is at www.irs.gov/form990.

Open to Public Inspection

Name of the organization

GATEWAY HOMES, INC

Employer identification number 91-1865279

Form 990 - ORGANIZATION'S MISSION AND ACCOMPLISHMENTS STATEMENT

THE PURPOSE OF THIS CORPORATION, AS A PRIVATE, NONPROFIT ENTITY, IS TO

ESTABLISH AND PROVIDE TRANSITIONAL, RESIDENTIAL TREATMENT FOR INDIVIDUALS

LIVING WITH MENTAL ILLNESS, AND TO DEVELOP COMMUNITY SUPPORT SYSTEMS FOR

SUCH FACILITIES.

Form 990, Part VI, Line 11b - ORGANIZATION'S PROCESS TO REVIEW FORM 990
THE BOARD TREASURER REVIEWS THE FORM 990 BEFORE FILING. ALSO, A COPY IS
PROVIDED TO ALL BOARD MEMBERS BEFORE FILING.

Form 990, Part VI, Line 12c - ENFORCEMENT OF CONFLICTS POLICY

ALL OFFICERS, DIRECTORS, AND DESIGNATED MANAGERIAL EMPLOYEES OF GATEWAY ARE REQUIRED TO REVIEW THE CONFLICT OF INTEREST POLICY AND COMPLETE THE CONFLICT OF INTEREST FORM ON AN ANNUAL BASIS.

Form 990, Part VI, Line 15b - COMPENSATION PROCESS OF OFFICERS

THE BOARD DETERMINES THE COMPENSATION OF THE EXECUTIVE DIRECTOR AND DESIGN

ATED MANAGERIAL EMPLOYEES BASED ON COMPENSATION PAID BY ORGANIZATIONS OF

SIMILAR SIZE AND PURPOSE, AND COMPENSATION SURVEYS COMPILED BY INDEPENDENT

ORGANIZATIONS.

Form 990, Part VI, Line 19 - GOVERNING DOCUMENTS AVAILABILITY DISCLOSURE GOVERNING DOCUMENTS, CONFLICT OF INTEREST POLICY AND FINANCIAL STATEMENTS ARE AVAILABLE TO THE PUBLIC UPON REQUEST.

Form 990, Part XI, Line 9 - Reconciliation of Changes - Other

Schedule O (Form 990 or 9	90-EZ) (2014)	Pag Employer identification number
Name of the organization GATEWAY HOME	s, INC	91-1865279
	lue - gift annuity	\$ -61,042
Form 990, Pa	rt XI, Line 9 - Other Changes i	n Net Assets Explanation
	nuity valuation	\$ 0
.,,		
	en e	
		ti control i con con con con control con control de la
	······································	······································
,	•••••••••••••••••••••••••••••••••••••••	
	e amendala and a kay wind exercise and a construction of the const	
***************************************	••••••••••••••••••••••••	
)		
•		

**Depreciation and Amortization** 

OMB No. 1545-0172

Department of the Treasury rnal Revenue Service me(s) shown on return

(Including Information on Listed Property)

▶ Attach to your tax return.

▶ Information about Form 4562 and its separate instructions is at www.irs.gov/form4562.

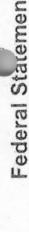
Identifying number

me	GATEW	AY HOMES, IN	IC .			91-	186	5279
	ess or activity to which this form relates							
******	ndirect Deprecia	tion		470				
P	art I Election To Exp	ense Certain Prop	erty Under Section	ofore you c	omolete Part	1		
-			, complete Part V b	eiore you c	ompiete rait		1	500,000
1	Maximum amount (see instructi				*******		2	300,000
2	Total cost of section 179 proper						3	2,000,000
3	Threshold cost of section 179 p			cuons)			4	2,000,000
4	Reduction in limitation. Subtrac						5	
5	Dollar limitation for tax year. Subtract		THE REPORT OF THE PROPERTY OF	ling separately, s lost (business use	CALL THE RESIDENCE OF T	Elected cost	1 2	
6	(a) Descrip	tion of property	toy	Jost (Dusiness use	Only) (c)	Cieciea cost		
					r <u>-</u>			
7	Listed property. Enter the amou				7		Γ.	
8	Total elected cost of section 17		경영하다 보고 있는데 보고 있다면 다시 보고 있었다. 그렇게 다 없다.	and /			8	
9	Tentative deduction. Enter the s				.,.,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		9	
10	Carryover of disallowed deducti		[] [] [] [] [] [] [] [] [] [] [] [] [] [] [] [] [] [] []				10	
11	Business income limitation. Ent						11	
12	Section 179 expense deduction			1 line 11			12	AND COMPANY OF THE CO
13	Carryover of disallowed deducti		THE RESERVE OF THE PARTY OF THE	Þ	13			
CONTRACTO	: Do not use Part II or Part III bel			/5				
habita fina			nd Other Deprecia		(4) (1987年) 日本日本の日本の日本の日本の日本の日本の日本の日本の日本の日本の日本の日本の日本	ed prope	erty.) (	See instructions.)
14	Special depreciation allowance		ther than listed property	) placed in ser	vice			
	during the tax year (see instruct		**; ************				14	
0	Property subject to section 168(	(f)(1) election					15	
-	Other depreciation (including AC	CRS)		120000			16	135,639
Pi	irt III MACRS Depreci	ation (Do not inclu	ide listed property.)	(See instru	ctions.)			
			Section A					
7	MACRS deductions for assets p						17	
8	If you are electing to group any assets place	ced in service during the tax ye	ar into one or more general asse	accounts, check	hère			
-	Section B-	等 2014 (1312) 可用的电影图形的电影图形的电影图像图像图像图像图像图像图像图像图像图像图像图像图像图像图像图像图像图像图像	vice During 2014 Tax Y	ear Using the	General Depre	eciation S	ystem	
	(a) Classification of property	(b) Month and year placed in service	(c) Basis for depreciation (business/investment use only-see instructions)	(d) Recovery period	(e) Convention	(f) Meth	od	(g) Depreciation deduction
9a	3-year property							
b	5-year property							
C	7-year property							
d	10-year property							
е	15-year property							
f	20-year property							
g	25-year property			25 yrs.		S/L		
h	Residential rental			27.5 yrs.	MM	S/L		
	property			27.5 yrs.	MM	S/L		
i	Nonresidential real			39 yrs.	MM	S/L		
	property				MM	S/L		
	Section C—A	Assets Placed in Servi	ce During 2014 Tax Ye	ar Using the A	Alternative Dep	reciation	System	
0a	Class life					S/L		
-	12-year			12 yrs.		S/L		
	40-year			40 yrs.	MM	S/L		
Pa	rt IV Summary (See in							
1	Listed property. Enter amount fro						21	
0	Total. Add amounts from line 12	, lines 14 through 17, li	nes 19 and 20 in column	(g), and line	21. Enter			
	here and on the appropriate lines	s of your return. Partne	rships and S corporation	s-see instruc	tions		22	135,639
3	For assets shown above and pla							
111	portion of the basis attributable to	o section 263A costs			23			
AF D	ananuary Daduction Act Matte					Control of the Control		The state of the s

, INC		
'AY HOMES,		15
GAT	91-1865279	FYE: 9/30/2015
6738	91-18	FYE:

# Form 990, Part IX, Line 11g - Other Fees for Service (Non-employee)

Management & Fund General Raising	5,983 \$	6,508 \$ 0		Management & Fund General Raising	37 \$ \$10,015	19,071 520	918	
	w	s	Si	Manag	ŧs.			1
Program Service	2,999	66,387	Form 990, Part IX, Line 24e - All Other Expenses	Program Service	18,485	041	3,742	000
	w 1	w	24e - AII		₩.			U
Total Expenses	8,982	72,895	art IX, Line	Total	28,576	26,610 5,160	918	92.828
	w	.s.	Form 990, F		v)			w
Description	CONTRACT LABOR	7007		Description	PSR PROGRAM EXPENSES	MEDICAL SUPPLIES PROGRAM INITIATIVE SUPPLI	PENALTIES AND INTEREST HUMAN RIGHTS AFFILIATE	local



6738 GAT )AY HOMES, INC 91-186527 FYE: 9/30/2015

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		Description	Amount
Description  Schedule A, Part III, Line 10a(e)  Schedule A, Part III, Line 10a(e)	Total		
Description  Description		Schedule A, Part III, Line 2(e)	
ng Assistance Revenue Schedule A, Part III, Line 10a(e) Description		Description	Amount
Schedule A, Part III, Line 10a(e)  Description	Resident Fees Federal Housing Assistance Miscellaneous Revenue		
chedule A, Part III, Line 10a(e)	Total		
		Schedule A, Part III, Line 10a(e)	
		Description	Amount
	1 C		100 00

# FAIRFAX-FALLS CHURCH COMMUNITY SERVICES BOARD and HEALTH PLANNING REGION II RFP2000002064 Residential Treatment Services

### **COST PROPOSAL**

# **Original**



Gateway Homes, Inc. 11901 Reedy Branch Road Chesterfield, Virginia 23838

First Organized in 1983 Incorporated in 1983

Federal Identification Number: 541264177 State Identification Number: 00093101

County Identification Number: VS0000155490



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# Cost Proposal

Highly Intensive Residential Services	Tab 1
Supervised Residential Services	Tab 2
Supportive Residential Services.	Tab 3

### **Budget Form for Highly Intensive Services**

Provide one budget for each service level proposed

EXPENSES			
A. DIRECT PERSONNEL COSTS:  Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	40 hours/week	salaried	\$80,000.00
Team Leader (2)	40 hours/week	salaried	\$100,000.00
Peer Specialist (1)	40 hours/week	salaried	\$41,600.00
Nurse (1)	40 hours/week	salaried	\$52,000.00
Psychiatrist (1)	as scheduled monthly	salaried	\$16,000.00
Recovery Support Staff (14 FTE)	40 hours/week per FTE	\$20.00 per hour	\$588,000.00
		\$	\$
		\$	\$
TOTAL PERSONNEL COSTS		The province of	\$877,600.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			2017 ESTIMATED COST/YEAR
Rent/Mortgage	*Note: 2018 and beyond will in	crease to \$62,400/yr	\$31,200.00
Space Utilities/Maintenance			\$12,000.00
Program Costs			\$16,000.00
Financial Servcies			\$0.00
Consultants			\$1,000.00
Insurance			\$3,600.00
Equipment Purchase/Lease			\$3,000.00
Supplies			\$8,000.00
Food			\$32,000.00
Telecommunications			\$7,200.00
Printing/Copying			\$1,200.00
Postage			\$1,200.00
Training	*Note: 2018 and beyond will o	decrease to \$500/yr	\$1,000.00
Vehicle Fuel			\$3,840.00
Vehicle Maintenance			\$2,400.00
Software Purchase/License			\$600.00
Other (Please specify)			\$
			\$
TOTAL OTHER DIRECT			\$124,240.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes	8.00%	\$877,600.00	\$70,208.00
Fringe Benefits	15.00%	\$877,600.00	
Administrative Expenses	15.00%	\$1,203,688.00	
TOTAL INDIRECT COSTS			\$382,400.00
TOTAL EXPENSES (A+B+C)	salah da 2 may 2 Turka salah salah salah		\$1,384,240.00
TO AN EXPOSE HAVE BEEN AND A STATE OF THE ST			100 172 100 100 100 100 100 100 100 100 100 10

### **REVENUE**

REVENUE CATEGORIES: Use the categories below as appropriate	ESTIMATED REVENUE/YEAR
Service Contract Payments	\$0.00

	*Note: This will be a new activity for Gateway in Northern	
Fund Raising/Donations	Virginia.	\$10,000.00
Client Fees	*Note: Estimating Consumers Have SSI @ \$733/mo.	\$11,728.00
Client Benefits		\$0.00
Madiasid/Madiasas	*Note: If licensed as Group Home as per proposal, unable	40.00
Medicaid/Medicare	to bill for Mental Health Skills Building	\$0.00
Federal/State		\$0.00
Other (Please specify)		\$0.00
OTAL REVENUE		\$21,728.00

## Supplemental Budget Form for Highly Intensive Residential Services - Annual Itemized Expenses by Site

		Start Services on July 1, 2017		ed capacity at Annandal
	Estimated Annual Cost for Annandale Site	Estimated annual costs for 2nd ICRT site	Insert column for each site	
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to work at each site. Do not include employee names.				
Clinical Operations Director	40000.00	40000.00	40000.00	
Team Leader	50000.00	50000.00	50000.00	
Peer Specialist	20800.00	20800.00	20800.00	
Nurse	26000.00	26000.00	26000.00	
Psychiatrist	8000.00	8000.00	8000.00	
Recovery Support Staff (7 FTE)	294000.00		294000.00	
TOTAL PERSONNEL COSTS	438800.00	438800.00	438800.00	
Rent/Mortgage	\$0*	31200.00	31200.00	
Space Utilities/Maintenance	6000.00	6000.00	6000.00	
Program Costs	8000.00	8000.00	8000.00	
Financial Servcies	0.00	0.00	0.00	
Consultants	500.00	500.00	500.00	
Insurance	1800.00	1800.00	1800.00	
Equipment Purchase/Lease	1500.00	1500.00	1500.00	
Supplies	4000.00	4000.00	4000.00	
Food	16000.00	16000.00	16000.00	
Telecommunications	3600.00	3600.00	3600.00	
Printing/Copying	600.00	600.00	600.00	
Postage	600.00	600.00	600.00	
Training	0.00	1000.00	500.00	
Vehicles Fuel	1920.00	1920.00	1920.00	
Vehicle Maintenance	1200.00	1200.00	1200.00	
Software Purchase/License	0.00	600.00	0.00	
Other (Please specify)	*			
TOTAL DIRECT COSTS	45720.00	78520.00	77366.00	
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites				
Payroll Taxes 8%	35104.00		35104.00	
Fringe Benefits 15%	65820.00		65820.00	
Administrative Expenses - 15%	87816.00	92736.00	92565.00	
TOTAL INDIRECT COSTS	188740.00	193660.00	193489.00	
TOTAL OPERATING COSTS (A + B + C)	673260.00	710980.00	709655.00	CANADA CARA CARA CARA CARA CARA CARA CARA C
D. START-UP COSTS:	ends to the sales of the sales	THE SECOND SECON		CONTRACTOR AND THE STATE OF THE
Furnishings	5000.00	20000.00	20000.00	
Three computers	0.00		0.00	THE RESERVE OF
Vehicles	0.00	50000.00	50000.00	4 9 7 4 3 5 4 1 3 7
Site Modifications	0.00		1200.00	

TOTAL START-UP COSTS  TOTAL EXPENSES (Operating + Start-Up)	5000.00 678260.00	794580.00	75200.00 784855.00	
Other (Please specify)	5000.00	02500.00	7700000	
Rentai deposits	0.00	4000.00	4000.00	
Copy Machine	0.00	6000.00	0.00	

### PROPOSED BED DAY RATE FOR ALL HIGHLY INTENSIVE RESIDENTIAL SERVICES

\*See RFP Section 10.2 230.00 243.00 243.00

### **Budget Form for Supervised Residential Services**

Provide one budget for each service level proposed

### **EXPENSES**

A. DIRECT PERSONNEL COSTS:  Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	15 hours/week	salaried	\$0.00
Team Leader (6)	40 hours/week	salaried	\$300,000.00
Peer Specialist (2)	40 hours/week	salaried	\$84,000.00
Nurse (2)	40 hours/week	salaried	\$104,000.00
Psychiatrist (1)	as scheduled monthly	salaried	\$44,000.00
Recovery Support Staff (30 FTE)	40 hours/week per FTE	\$20.00 per hour	\$588,000.00
Occupational Therapist (1)	40 hours/week	salaried	\$75,000.00
occupational merupist (1)	40 Hoursy week	\$	\$
TOTAL PERSONNEL COSTS			\$1,195,000.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			2017 ESTIMATED COST/YEAR
Rent/Mortgage			\$165,600.00
Space Utilities/Maintenance			\$43,200.00
Program Costs			\$22,000.00
Financial Servcies		2001 500	\$0.00
Consultants			\$0.00
Insurance			\$7,200.00
Equipment Purchase/Lease			\$4,320.00
Supplies			\$11,200.00
Food	100		\$88,000.00
Telecommunications			\$21,600.00
Printing/Copying			\$0.00
Postage			\$1,800.00
Training	M <sub>2</sub>		\$5,600.00
Vehicle Fuel			\$7,200.00
Vehicle Maintenance			\$7,200.00
Software Purchase/License			\$3,400.00
Other (Please specify)			\$
			\$
TOTAL OTHER DIRECT			\$388,320.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes	8.00%	\$1,195,000.00	\$95,600.00
Fringe Benefits	15.00%	\$1,195,000.00	\$179,250.00
Administrative Expenses	15.00%	\$1,858,170.00	\$278,725.00
TOTAL INDIRECT COSTS	And the second of the second		\$553,575.00
TOTAL EXPENSES (A+B+C)		and the state of t	\$2,136,895.00

### **REVENUE**

REVENUE CATEGORIES: Use the categories below as appropriate	ESTIMATED REVENUE/YEAR
Service Contract Payments	\$0.00

	*Note: This will be a new activity for Gateway in Northern	
<b>Fund Raising/Donations</b>	Virginia.	\$10,000.00
Client Fees	*Note: Estimating Consumers Have SSI @ \$733/mo.	\$300,000.00
Client Benefits		\$0.00
Medicaid/Medicare	*Note: Assuming that 50% of clients are eligible for Medicaid and MHSS	\$145,000.00
Federal/State		\$0.00
Other (Please specify)		\$0.00
OTAL REVENUE		\$455,000.00

RFP2000002064 Appendix B

### Supplemental Budget Form for Supervised Residential Services - Annual Itemized Expenses by Site

	Insert column for each site	THE REAL PROPERTY.	THE RESERVE OF THE PERSON OF T
	7591 Aspenpark Road	2nd supervised	
A DEDCOMMEN COSTS	Lorton, VA 22079 for	living home for	3rd supervised living
A. PERSONNEL COSTS: Provide labor classifications and the annual salary cost for each classification expected to	occupancy of 4	occupancy of 8	home for occupancy of
work at each site. Do not include employee names.	consumers	consumers	8 consumers
Clinical Operations Director	0.00	0.00	0.0
Team Leader	50000.00	50000.00	50000.0
Peer Specialist (shared with 3 homes)	14000.00		14000.0
Nurse LPN (shared with 3 homes)	17333.00		17333.0
Psychiatrist	4000.00		8000.0
Recovery Support Specialists 5 FTEs	210000.00		210000.0
Occupatonal Therapist (shared with 5 homes)	0.00		15000.0
occupatonal merapist (shared with 5 homes)	0.00	13000.00	13000.0
TOTAL PERSONNEL COSTS	295333.00	310333.00	310333.0
B. DIRECT COSTS: Use the categories below as			
appropriate and show how direct costs would be allocated across sites			
Rent/Mortgage	9600.00	31200.00	31200.0
Space Utilities/Maintenance	7200.00	7200.00	7200.0
Program Costs	2000.00	4000.00	4000.0
Financial Servcies	0.00	0.00	0.0
Consultants	0.00	0.00	0.0
Insurance	1200.00	1200.00	1200.0
Equipment Purchase/Lease	720.00	720.00	720.0
Supplies	1200.00	2000.00	2000.0
Food	8000.00	16000.00	16000.0
Telecommunications	3600.00	3600.00	3600.0
Printing/Copying	0.00	0.00	0.0
Postage	300.00	300.00	300.0
Training	600.00	1000.00	1000.0
Vehicle Fuel	1200.00	1200.00	1200.0
Vehicle Maintenance	1200.00	1200.00	1200.0
Software Purchase/License	400.00	600.00	600.0
Other (Please specify)		SAN	
TOTAL DIRECT COSTS	37220.00	70220.00	70220.00
C INDIDECT COSTS:	4		
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)			
and show how indirect costs would be allocated across sites			
Payroll Taxes	23626.00	24826.00	24826.0
Fringe Benefits	44300.00	46550.00	46550.0
Administrative Expenses 15%	60071.00	67789.00	67789.0
TOTAL INDIRECT COSTS	127997.00	139165.00	139165.0
TOTAL OPERATING COSTS (A + B + C)	460550.00	519718.00	519718.0
BANK SAN	<b>《</b> 正》中"人名马克尔瓦尔		
D. START-UP COSTS:	A SHARM WALLES		
Furnishings	10000.00	20000.00	20000.0
Site Modifications	0.00	0.00	0.0
Rental Deposits	0.00	4000.00	4000.0
Vehicle	25000.00	50000.00	50000.0
TOTAL START-UP COSTS	35000.00	74000.00	74000.0
TOTAL EXPENSES (Operating + Start-Up)	495550.00	593718.00	593718.00

RFP2000002064 Appendix B

### Supplemental Budget Form for Supervised Residential Services - Annual Itemized Expenses by Site

	Insert column for each site		THE REAL PROPERTY OF THE PARTY
	misert column for each site	5th supervised	
A DEDGOMMEN COCTO	4th supervised living	living home for	6th supervised living
A. PERSONNEL COSTS: Provide labor classifications	home for occupancy of		home for occupancy of
and the annual salary cost for each classification expected to work at each site. Do not include employee names.	8 consumers	consumers	8 consumers
Clinical Operations Director	0.00	0.00	0.00
Team Leader	50000.00	50000.00	50000.00
Peer Specialist (shared with 3 homes)	14000.00	14000.00	
Nurse LPN (shared with 3 homes)	17333.00	17333.00	
Psychiatrist	8000.00	8000.00	
Recovery Support Specialists 5 FTEs	210000.00	210000.00	
Occupational Therapist (shared with 5 homes)	15000.00	15000.00	
	2000000	25000.00	25000.00
TOTAL PERSONNEL COSTS	310333.00	310333.00	310333.00
B. DIRECT COSTS: Use the categories below as			
appropriate and show how direct costs would be allocated across sites			
Rent/Mortgage	31200.00	31200.00	31200.00
Space Utilities/Maintenance	7200.00	7200.00	7200.00
Program Costs	4000.00	4000.00	4000.00
Financial Servcies	0.00	0.00	0.00
Consultants	0.00	0.00	0.00
Insurance	1200.00	1200.00	1200.00
Equipment Purchase/Lease	720.00	720.00	720.00
Supplies	2000.00	2000.00	2000.00
Food	16000.00	16000.00	16000.00
Telecommunications	3600.00	3600.00	3600.00
Printing/Copying	0.00	0.00	0.00
Postage	300.00	300.00	300.00
Training	1000.00	1000.00	1000.00
Vehicle Fuel	1200.00	1200.00	1200.00
Vehicle Maintenance	1200.00	1200.00	1200.00
Software Purchase/License	600.00	600.00	600.00
Other (Please specify)			
TOTAL DIRECT COSTS	70220.00	70220.00	70220.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.) and show how indirect costs would be allocated across sites			
Payroll Taxes	24826.00	24826.00	24826.00
Fringe Benefits	46550.00	46550.00	46550.00
Administrative Expenses 15%	67789.00	67789.00	67789.00
TOTAL INDIRECT COSTS	139165.00	139165.00	139165.00
TOTAL OPERATING COSTS (A + B + C)	519718.00	519718.00	519718.00
D. START-UP COSTS:			
Furnishings	20000.00	20000.00	20000.00
Site Modifications	0.00	0.00	0.00
Rental Deposits	4000.00	4000.00	4000.00
Vehicle	50000.00	50000.00	50000.00
TOTAL START-UP COSTS	74000.00	74000.00	74000.00
TOTAL EXPENSES (Operating + Start-Up)	593718.00	593718.00	593718.00
CONTRACTOR CONTRACTOR	393718.00	333716.00	333718.00
THE RESERVE OF THE PROPERTY OF	The second state of the second second second		

\$0.00

\$0.00

### **Budget Form for Supportive Residential Services**

Provide one budget for each service level proposed

### **EXPENSES**

Client Fees

**Client Benefits** 

A. DIRECT PERSONNEL COSTS:  Provide labor classifications and the average hourly rate which will be paid each classification expected to work on this service level. Do not include employee names.	ESTIMATED HOURS/WEEK	HOURLY RATE	ESTIMATED COST/YEAR
Clinical Operations Director (1)	5 hours/week	salaried	\$0.00
Psychiatrist (1)	as scheduled monthly	salaried	\$0.00
Case Managers (2 FTE)	40 hours/week per FTE	\$20.00 per hour	\$84,000.00
		\$	\$
TOTAL PERSONNEL COSTS			\$84,000.00
B. OTHER DIRECT COSTS: Use the categories below as appropriate			2017 ESTIMATED COST/YEAR
Rent/Mortgage			\$0.00
Space Utilities/Maintenance			\$0.00
Program Costs			\$0.00
Financial Servcies			\$0.00
Consultants			\$0.00
Insurance	100		\$0.00
Equipment Purchase/Lease			\$1,600.00
Supplies			\$0.00
Food		1,000	\$0.00
Telecommunications			\$0.00
Printing/Copying			\$0.00
Postage			\$0.00
Training			\$0.00
Vehicle Fuel			\$1,200.00
Vehicle Maintenance			\$4,000.00 \$0.00
Software Purchase/License			\$0.00
Other (Please specify)			\$
TOTAL OTHER DIRECT			\$6,800.00
C. INDIRECT COSTS: Specify Indirect Cost Categories (fringe benefits, payroll taxes, administrative expenses, etc.)	RATE (%)	X BASE	ESTIMATED COST/YEAR
Payroll Taxes	8.00%	\$84,000.00	\$6,720.00
Fringe Benefits	15.00%	\$84,000.00	\$12,600.00
Administrative Expenses	15.00%	\$110,120.00	\$16,518.00
TOTAL INDIRECT COSTS			\$35,838.00
TOTAL EXPENSES (A+B+C)			\$126,638.00
REVENUE			
REVENUE CATEGORIES: Use the categories below as appropriate			ESTIMATED REVENUE/YEAR
Service Contract Payments			\$0.00
Fund Raising/Donations			\$0.00
			40.00

Medicaid/Medicare	*Note: Assuming that 50% of clients are eligible for Medicaid and MHSS	\$42,000.00
Federal/State		\$0.00
Other (Please specify)		\$0.00
TOTAL REVENUE		\$42,000.00

# Supplemental Budget Form for Supportive Residential Services - Service Hour Rate & Applicable Start-Up Costs

PROPOSED SERVICE HOUR RATE FOR ALL SUPPORTIVE RESIDENTIAL SERVICES	SUPPORTIVE RES	DENTIAL SERVICES	\$90.00
START-UP COSTS: Specify categories of start-up costs that apply to the Supportive Residential Service Model proposed.	COST	JUSTIFICATION - Provide justification and details for this category of costs	
Training for two staff	\$800.00	Medication administration, CPR, TOVA, First Aid training	
Two vehicles	\$50,000	One vehicle per staff for travel to residences	
Computers	\$1,600	One computer per staff.	
Travel (fuel/maintenance)	\$5,200.00	Estimating \$100.00 per week for travel	
\$			
\$			
TOTAL START-LIP COSTS	57,600		



# Policy Manual

Last update- 2014



# EMPLOYEE PERSONNEL POLICY MANUAL

Last Reviewed by legal Counsel- March, 2013

### Gateway Homes, Inc.

### **Personnel Policies Manual**

Last Reviewed by Legal Counsel - March, 2013

Approved by Board of Directors – November, 2005 Revised Version Approved – May 21, 2013

### Welcome to Gateway Homes, Inc.

The purpose of this organization is to provide a transitional living program for adults who are striving for independence. Our vision is to make recovery a reality for adults with mental illness. We are driven by the belief that individuals with severe mental illness are capable of leading fulfilling lives. Gateway has a proven track record of helping individuals recover, return to school and work, and live as independently as possible in the community of their choice.

All employees must subscribe to the mission of Gateway and be supportive of the full range of services it provides. This is your copy of the organization's personnel policies. If you ever have any questions or concerns as you work with Gateway, please share them with your immediate supervisor. If your questions or concerns relate to harassment, intimidation, or discriminatory treatment, you are encouraged to contact any individual in your chain of command, including the Executive Director.

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### Section I – Introduction

### A. Purpose

This manual is designed to acquaint employees with certain current personnel policies, practices and benefits of Gateway Homes, Inc. Gateway maintains the exclusive right to modify, interpret, or eliminate any of these policies, practices and benefits at any time with or without notice. This manual describes certain practices that Gateway generally prefers to follow, but Gateway at all times maintains the discretion to follow other practices it may find appropriate under the circumstances.

Employment with Gateway is for no specified term or duration. It is undertaken on the basis of mutual consent. All employees are employed at-will and either the employee or Gateway may terminate the employment relationship at any time, with or without cause, and with or without notice.

Nothing in this handbook is intended to create a contract of employment. This handbook shall not be construed to create any express or implied contractual rights or rights in equity. Similarly, any other manual, letter, memorandum, or policy statement Gateway may issue or maintain does not constitute an express or implied contract between Gateway and any employee. Only the Executive Director has the authority to enter into an employment contract on behalf of the organization. Any such contract must be in writing and signed by the Executive Director.

This manual replaces all previous Gateway personnel handbooks and manuals.

### B. Discrimination, Harassment, And Violence In The Workplace

- 1. Equal Opportunity Employment: Gateway is an equal opportunity employer. It is the organization's policy that all employees and all applicants for employment be treated in a non-discriminatory manner. Gateway prohibits discrimination against employees and applicants on the basis of race, color, national origin, religion, sexual orientation, age, sex, disability, marital status or veteran status. This policy shall apply to all aspects of the employment relationship including recruitment, hiring, training, promotion, demotion, transfer, compensation, benefits, layoff and termination.
- 2. Work Environment: It is the organization's policy to provide all employees with a working environment free from all forms of harassment and violence. Gateway's policy prohibits harassment or violence by any Gateway supervisor, employee, contractor, volunteer, visitor, or client.
  - a. Work Place Harassment: is any unwelcome verbal, written or physical conduct that either denigrates or shows hostility or aversion towards a person including (but not limited to) on the basis of race, color, national origin, religion, sexual orientation, age, sex, disability, marital status or veteran status that (a) has the purpose or effect of creating an intimidating, hostile or offensive work

environment; (b) has the purpose or effect of unreasonably interfering with an employee's work performance; or (c) affects an employee's employment opportunities or compensation.

- b. Sexual Harassment includes but is not limited to, the following:
  - i. Physical -- Unwanted touching of body or clothing, holding, grabbing, pinching, fondling, patting, hugging, kissing, "accidental" bumping or brushing against, physical assault, coerced sexual intercourse, attempted rape or rape.
  - ii. Verbal -- Sexual slurs or innuendoes, offensive jokes and language, sexual teasing, sexual comments about a person's body or clothing, personal sexual questions, sexual threats, ongoing sexual descriptions and commentary.
  - iii. Nonverbal -- Staring at a person's body, leaning over someone at a desk, lewd gestures or motions, leering or ogling in a sexually demeaning way, circulating printed material of a sexual nature, persistent unwelcome flirting, displaying sexually suggestive pictures or objects at work.
- b. Work Place Violence: is any physical assault, threatening behavior or verbal abuse occurring in the workplace by employees or third parties. It includes, but is not limited to, beating, stabbing, suicide, shooting, rape, attempted suicide, psychological trauma such as threats, obscene phone calls, an intimidating presence, and harassment of any nature such as stalking, shouting or swearing. Guns and other weapons are prohibited in the workplace.
- c. Reporting Harassment, Discrimination, and/or Violence: Employees who believe they are being subjected to harassment or violence in violation of this policy, or who believe their employment is being adversely affected by discriminatory treatment, shall report the problem in accordance with the grievance procedure outlined in Section VII. If an employee feels uncomfortable or threatened by reporting a problem in this manner, she/he shall report the problem immediately to the Executive Director.

### C. Workplace Accommodations

It is the policy of Gateway to comply with the Americans with Disabilities Act of 1990. Gateway does not discriminate against qualified individuals with disabilities in job application procedures, hiring, firing, advancement, compensation, job training, and other terms, conditions and privileges of employment. A qualified employee or applicant with a disability is an individual who, with or without reasonable accommodation, can perform the essential functions of the job in question. Gateway will make reasonable accommodation for qualified employees provided such accommodations do not impose an undue hardship on Gateway operations. Accommodations may include, but are not limited to (1) making facilities used by employees readily accessible to and usable by persons with disabilities; (2) job restructuring or modifying work schedules; or (3) acquiring or modifying equipment or devices.

### D. Community Relations

No employee shall speak for or on behalf of Gateway on any matter concerning the organization without the expressed prior approval of the Executive Director. When designated as a spokesperson, the employee shall be accurate, exercise proper restraint and show respect for the opinions of others. This policy is not intended to interfere with any governmental efforts to enforce or administer laws, and employees should cooperate in those efforts.

Partisan political activity of any kind is strictly prohibited during work hours. Employees may not work for a candidate on the organization's time, write letters on behalf of a candidate on the organization's stationery, or identify her/himself as a representative of Gateway in support of a candidate. Any employee acting in contradiction with this policy may be subject to termination.

### **Section II- Employment**

### A. Employee Status

normal work week.

- 1. Employees fall into one of the two employee categories as defined by the Fair Labor Standards Act (FLSA).
  - a. Exempt
    Executive, administrative, professional and other employees classified as exempt under FLSA do not qualify for additional pay for hours worked beyond the
  - b. Non-Exempt
    These employees are entitled to receive overtime pay. The employee's supervisor must approve any overtime work in advance.
- 2. Employees are also classified according to the amount of time they are normally scheduled to work.
  - a. <u>Full-time</u>
    All employees who normally are assigned to work from thirty-two (32) to forty (40) hours in a work week. Full-time employees will be eligible for all leave and other benefits described in this manual. Full-time hourly employees work at least 32 hours per week and are also eligible for all leave and other employee benefits described in this manual based upon the ratio of the hours worked to a 40 hour work week.
  - b. <u>Part-time</u>
    All employees who regularly work fewer than thirty-two (32) hours in a work week. Part-time employees are not entitled to leave benefits or other employee benefits.

c. Temporary

All employees who fill a temporary position are paid on an hourly basis. Temporary employees are not entitled to any leave benefits or any other employee benefits. Temporary positions are so designated in the job description given to each employee.

### B. Recruitment and Selection

### 1. Notification of Vacancies

Supervisors will notify the Executive Director, or designee of pending vacancies as soon as possible. When an employee resigns, a letter of resignation or documentation of verbal notice of resignation will be obtained and placed in the employee's personnel file. The supervisor will review the job description for the vacant position if necessary and submit it to the Executive Director, or designee.

### 2. Position Announcements

The Executive Director, or designee, will announce vacancies or positions through an announcement distributed to staff. When outside recruiting is necessary, the position may be announced through local newspapers, including minority publications, the Virginia Employment Commission, or other possible recruitment sources.

### 3. Records of Recruitment

Applications for employment will be accepted when a position is announced. Other applications with be maintained on file until a position becomes vacant. Applications for persons not hired are dated when received and kept for six (6) months.

### 4. Job Descriptions

Each job position is described by a written job description that includes the following:

- Position title;
- Title of immediate supervisor;
- Summary of major objectives of the job;
- Description of duties and responsibilities;
- Titles of positions supervised;
- Required knowledge, experience, skills, and abilities, or professional licensure; and
- FLSA standing

The Executive Director, or designee, is responsible for the development of job descriptions. Each description is evaluated at the employee's annual performance review. Each employee is provided with a copy of his/her job description and a signed copy is kept in their personnel file. The job description is not a contract for

employment and does not modify the at-will employment relationship between Gateway and the employee.

#### 5. Qualifications

An applicant must meet the minimum qualifications of the position as defined in the job description. Gateway job descriptions will include the minimum knowledge, skills and abilities, professional qualification, and experience appropriate to the duties and responsibilities of the position. Gateway will verify professional credentials listed by applicants considered for employment. All employees must comply will the regulations of the Virginia Department of Health Professionals. Any individual who is excluded from participation in Federal Healthcare Programs is not eligible for employment with Gateway.

# 6. Criminal Registry Checks

Gateway requires any applicant who accepts employment for a direct care position to submit to fingerprinting and to provide personal descriptive information to be forwarded through the Central Criminal Records Exchange to the Federal Bureau of Investigation for purposes of a background check. Any applicant who accepts employment must also provide the necessary information for Gateway to obtain a search of the registry of founded child abuse and neglect maintained by the Department of Social Services. Gateway will maintain a disclosure statement documenting whether the applicant and/or employee has been convicted of, or is the subject of a pending charge for any offense. In the event Gateway hires an individual with a criminal conviction or pending charges, the Executive Director, or designee, will document the rationale for this decision. Gateway will also maintain documentation in the applicant or employee's confidential file that Gateway has provided all necessary background information and the results of the registry checks to the Department of Mental Health, Mental Retardation, and Substance Abuse Services.

Gateway employees shall inform their supervisor of any pending criminal charges against them and the outcome of any criminal prosecution. An employee's failure to report a criminal charge against him or her may result in termination of employment.

# C. Appointment and Orientation

# 1. Staff Appointment

With the supervisor's assistance, the new employee shall complete the necessary forms including all orientation information required by licensing and regulatory agencies. . The supervisor will provide the employee with a written job description. These are

reviewed by the Executive Director, or designee, and placed in the employee's personnel file.

In compliance with the Immigration Reform and Control Act of 1986, all employees are required to establish both their authorization to work and their identity prior to employment. The supervisor ensures that the DHS Form I-9 is completed and placed in the employee's personnel file before she/he begins work.

Personnel records are the property of Gateway and access to them shall be restricted. Gateway will maintain personnel records in an organized manner and in a locked filing system to protect the confidentiality of employees. All electronic personnel records will be maintained with data security controls. In compliance with the ADA, employee health related and legal information will be maintained in a separate file from the employee personnel records. Personnel records are subject to disclosure in any court proceeding involving Gateway or the employee.

#### 2. Orientation

- a. The supervisor will arrange for the new employee's orientation to the agency on or before the date of hire and document the orientation in the employee's file
- b. The orientation shall include:
  - Gateway's mission, vision, and values;
  - Confidentiality of the residents' records;
  - Gateway personnel policies;
  - Emergency preparedness;
  - Infection control practices and procedures;
  - Position specific duties and responsibilities; and
  - Any other information required by licensing and regulatory agencies.
- c. Probationary Period: The supervisor will review the new employee's progress after three (3) months and six (6) months of employment. This review is based on the agency's standard format, documented, reviewed by the Executive Director, or designee, and added to the personnel file.

## D. <u>Performance Evaluation</u>

- 1. Supervisors shall prepare Performance Evaluations in accordance with the following procedures.
- 2. The Human Resources Manager, or designee, will prepare the employee's annual Performance Evaluation and forward it to the employee with a copy to the immediate supervisor prior to the date of the annual evaluation.

- 3. The employee will complete his/her self-evaluation and forward it to immediate supervisor. The supervisor will complete his/her evaluation of the employee and discuss the results with the employee. The employee will be given the opportunity to respond in writing and should acknowledge receipt of the evaluation in writing. In signing, the employee acknowledges that she/he has read and understood the document. The signature does not imply agreement. The supervisor/Manager will forward the completed evaluation to the Manager/Director for review and final approval. The Director will send the completed evaluation to the Manager of Human Resources, or designee.
- 4. The supervisor will notify the employee of any changes to assigned job responsibilities between the regularly scheduled Performance Reviews.

## E. Working Hours

The organization's work week normally will consist of forty (40) hours. The immediate supervisor will establish individual work schedules.

#### F. Attendance

Employees must report on time for scheduled hours of work. The employee must notify his or her supervisor immediately if unable to report to work as scheduled. Reporting to work late is considered tardiness, and will result in a negative performance review and may lead to disciplinary action.

# G. Overtime Work For Non-Exempt Employees

Overtime work means actual time worked beyond forty (40) hours per calendar week, beginning on Monday and ending on Sunday. Calendar weeks do not run concurrently with pay periods. Non-exempt employees shall be paid at an overtime rate of one and one-half (1½) times the regular hourly rate for each hour worked over forty (40) hours per week. Overtime requires prior approval from the employee's immediate supervisor. Overtime usage will be reviewed by the Executive Director on a monthly basis.

# **Section III- General Expectations And Requirements**

# A. Confidentiality

As an employer and provider of health care, Gateway requires all staff to act in a manner that ensures all residents are treated with respect and are confident her/his privacy is protected at all times. Gateway employees will be provided with a copy of Gateway's Human Rights Policies and Procedures at the time of hire and each employee shall acknowledge in writing that they agree to recognize, support, and protect residents' rights

to dignity, respect, and confidentiality by fully complying with Gateway Human Rights Policies and Procedures.

#### B. Chain of Command

In the Executive Director's absence, the Clinical Director will serve as Acting Director for Gateway. In the absence of both the Executive and Clinical Directors, the Director of Admissions and Ancillary Services will serve as Acting Director.

#### C. Inclement Weather

In the case of inclement weather, the Executive Director, or designee, will inform the management staff of any impact for the employees. Management staff will inform their staff members and follow all applicable policies and procedures relating to emergency preparedness and response. Employees who are unable to report to work must use paid time off. The Executive Director, or designee, may make exceptions to the use of paid time off in extraordinary circumstances. All employees are to use their discretion if weather conditions are too dangerous to travel to work.

## D. Prohibited Smoking Areas

Smoking is prohibited in all indoor spaces.

# E. Employee Dress

Employees shall dress and maintain hygiene and grooming in a manner that reflects Gateway's mission, vision, and values. Employees shall select clothing that is professionally appropriate for a residential treatment program for individuals with mental illness. Inappropriate clothing includes, but is not limited to the following:

- attire that reveals cleavage, back, chest, stomach, or underwear;
- any sexually provocative or revealing clothing;
- tight fitting jeans, pants spandex, or leggings unless covered by other attire such as a dress or skirt;
- halter tops, spaghetti straps, and two-piece bathing suits when swimming with the residents;
- skirts, shorts, and skorts which are shorter than two inches above the knee;
- facial skin piercings with jewelry with the exception of earrings; and
- inappropriate logos on T-shirts, sweatshirts, or caps that are inconsistent with Gateway's mission and values and/or potentially offensive to residents, their families, and other staff.

## F. Secondary Employment

Employees may hold outside secondary employment except when such employment would interfere with the efficient performance of assigned job responsibilities or present a conflict of interest with duties at Gateway.

No activities involved in the outside secondary employment may be conducted during the employee's normal working hours.

If an employee has reason to believe that secondary employment could result in any of the above conditions she/he shall inform and consult with his or her supervisor immediately.

# **Section IV-Salary Administration**

#### A. Ranges

Salary ranges will be assigned for each position. These ranges are reviewed and adjusted annually by the Executive Director, and as necessary. The ranges reflect the levels of the responsibilities of the position as well as competitive salary ranges in the community for comparable position and equivalent positions within Gateway.

A new employee will be given a starting salary within the range dependent upon experience, knowledge, skills, and abilities relevant to the position.

#### B. Increases

All salary increases except that of the Executive Director may be granted by the Executive Director within budgetary limits at the end of each performance review based upon the results of the employee's performance evaluation. The employee must have been employed at least 6 months prior to the review date to be eligible for consideration of a salary increase. Nothing in this paragraph should be construed to entitle any employee to a salary increase at any time except as in the discretion of the Executive Director in accordance with this Policy.

# C. Pay Schedules

Employees are paid semi-monthly on the fifteenth (15<sup>th</sup>) and the last day of each month. When these days fall on weekends, paychecks will be distributed on the last preceding workday.

Authorized deductions to be made from paychecks include Social Security (FICA), Federal and State Income Taxes and benefit deductions.

# **Section V- Employee Benefits**

#### A. Holidays

The following ten (10) holidays will be observed during the year:

- New Years Day
- Martin Luther King Day
- Memorial Day
- Independence Day
- Labor Day
- Veteran's Day
- Thanksgiving Day and the day after
- Christmas Eve and Christmas Day

Full-time employees will be paid for these holidays. Part-time and temporary employees will not be paid for these holidays. Employees will not receive additional pay when a holiday is observed during their paid time off.

Holidays falling on Saturday will be observed on the preceding Friday. Holidays falling on Sunday will be observed on the following Monday. Nonexempt employees who work during a holiday will receive holiday pay in addition to the hours worked. .

# B. Paid Time Off

All full-time employees will accrue paid time off in the following manner:

Length of Service

Two (2) months – Five (5) years

Two (2) days per month

Six (6) years – Ten (10) years

Two and one half (2 ½) days/month

Over ten (10) years

Three (3) days/month

Paid Time Off

Except in emergencies, employees must schedule use of their paid time off with their supervisor and must obtain his/her written approval, preferably two (2) weeks before the requested leave time. Prior to approving a leave request for paid time off, the supervisor must arrange for adequate coverage of essential clinical services and/or administrative functions performed by the employee requesting leave. Leave requests will not be granted if the employee's absence will adversely impact essential clinical services or administrative functions. When an emergency occurs, the employee must contact his/her supervisor as soon as possible, prior to the beginning of the shift. Supervisors will approve any paid time off with staff schedules and agency needs in mind.

Each employee may carry over no more than ten (10) days or eighty (80) hours of paid time off at the end of the calendar year. If more than ten (10) days or eighty (80) hours of paid time off leave remain, they may be designated as Catastrophic Leave Days. Up to forty (40) days or 320 hours of Catastrophic Leave may be accumulated. Staff should use these in the event of personal or family illness, birth or adoption of a child or other

extraordinary event. Before using Catastrophic Leave Days, the employee shall use all regular paid time off and must obtain prior approval from the Executive Director.

At termination, employees will be compensated for accumulated paid time off up to a maximum of ten (10) days or eighty (80) hours. No compensation will be given for accumulated Catastrophic Leave Days. New employees with less than six (6) months of continuous service will not be compensated for accumulated paid time off upon termination.

# C. Other Leaves of Absence

Various types of leaves may be available to employees who must be temporarily absent from work for acceptable reasons and who have at least six (6) months of continuous service. For short-term leaves (two weeks or less) the employee must obtain approval from the supervisor and the Executive Director, allowing ample time for the revision of work schedules and assignments. The employee must submit the request in writing to the supervisor well in advance of the leave.

# 1. Emergency Family Leaves

In the event of a death of an immediate family member, an employee may be given time off with pay from the day of death to the day of the funeral or three (3) days, whichever is less. For this purpose the immediate family member is defined as parents, grandparents, siblings, spouse, child, adoptive child or parent, and parents-in-law. For other family or other deaths the employee may be given one paid day off if the employee's presence is necessary at the funeral. The Executive Director must approve this paid leave.

# 2. Short Term Leaves (two weeks or less)

Jury Duty: When an employee is summoned to serve as a juror, he/she will be provided time off from work to fulfill this duty. The employee will receive regular pay providing he/she presents proof of attendance. The employee will provide the Director of Finance and Administration with a copy his/her compensation check for jury duty. The amount of compensation for jury duty will then be deducted from his/her regular pay during the following pay period.

Military Reserve Duty: Employees who have military obligations requiring them to attend reserve camp will be granted unpaid leave to perform these duties in accordance with state and federal laws. The employees must notify her/his supervisor and the Executive Director as soon as possible after receiving orders so that they will have ample time to revise work assignments or schedules.

# 3. Long Term Leaves (more than two weeks)

Medical Leave: When an employee becomes temporarily disabled for any medical condition, including pregnancy or pregnancy related problems, uses all vacation, sick and Catastrophic Leave Days accrued to his/her account and is still unable to return to work, she/he may request a medical leave of absence (unpaid) for up to six (6) months. Gateway will require a physician's statement for an employee to be given such leave and/or return to work. Employees must notify their supervisor and the Executive Director well in advance of their expected return to work in order that work assignments and schedules may be prepared. Gateway provides long term disability for approved medical conditions after the employee has been out for ninety days.

<u>Personal Leave without pay</u>: Consideration will be given to granting a personal leave of absence without pay for up to ninety (90) days. Personal leave is intended to accommodate unusual circumstances and may not be used to work elsewhere.

<u>Military Service</u>: Veterans will be re-employed by Gateway in accordance with the provision of applicable state and federal laws.

Maternity and Paternity Leave: The Executive Director may grant an employee up to 12 weeks of maternity or paternity leave without compensation during which time the employee's job will be held. The employee may use previously accumulated paid time off and catastrophic leave. Long term disability does not apply to maternity or paternity leave unless there is a medical reason that prevents the mother or father from performing the duties of their job.

While on long-term leave of absence, the employee does not accumulate paid time off.

Although Gateway normally contributes to medical and dental insurance and other employee benefits for full-time employees while they are working, whenever an employee is on a long term leave of absence, it may be necessary for her/him to convert their insurance and make monthly payments to Gateway, preferably prior to the beginning of the leave, but at least on a monthly basis in advance. The employee must make all necessary arrangements for coverage prior to beginning a leave of absence.

Upon expiration of an approved long-term leave, the employee may return to work if an opening is available for which she/he is qualified. If such an opening is not available or if the employee refuses to accept an available opening or if the employee is unable to return to work at the end of the leave, the employment will be considered ended. If the employee returns to work, for purposes of review and

salary treatment, the length of service shall include all time actually worked, and the date for future reviews shall be the date of return.

# D. Expense Reimbursement

Agency reimbursement for authorized business travel and related expenses will be made from completed expense reports that must include receipts. Auto travel will be reimbursed at a rate set by the organization and allowed by the Internal Revenue Service as adjusted annually.

## E. Training and Development

## General Training

Gateway encourages and supports the professional growth of the staff through the provision of education and training.

Work related educational opportunities may be provided for staff. The Executive Director or designated supervisor shall make the decisions about staff training based on appropriateness of training and availability of agency funds.

In-service training is provided from time to time for all staff. Staff members may be asked to provide training in their areas of expertise and are expected to attend and take part in training provided.

# Specific Training For Staff Who Provide Direct Care:

Direct care staff shall receive training as required by licensing and regulatory agencies at the time of employment and annually thereafter.

# **Documentation Of Training**

All staff training and development will be documented and filed in the employee's personnel file.

#### F. Other Benefits

Gateway provides to full-time employees other benefits that may include group health and dental insurance (family coverage is available under payroll deduction). A Simple Plan (401K) is made available to all employees. Gateway will match up to 3% of salary, group term life insurance, accidental death and disability insurance, and long term disability insurance. Full-time employees are eligible for insurance programs when they become employed with Gateway and they are eligible to participate in the pension plan immediately. Gateway provides workers' compensation benefits to all employees.

These benefits are more fully described in the Summary Plan Descriptions and the Benefit Plan documents, copies of which shall be provided to each employee. The terms of the Benefit Plan describe the exact scope of coverage and provide the specific procedures for administration. Questions about benefits should be directed to the Director of Admissions and Ancillary Services.

Upon termination of employment (and upon certain other events such as divorce or the attainment of majority status by a child), the employee and his/her dependents may be eligible to convert the organization's health insurance plan into an individual policy and to convert group life insurance into an individual policy. In either event the employee is responsible for the full cost of the coverage. A more detailed explanation of these opportunities including the events that permit the coverage and the procedures for extending the coverage should termination or any other events occur is contained in the Summary Plan Descriptions and the Benefit Plan documents.

# Section VI- Corrective Action and Employment Termination

#### A. Forms of Corrective Action

In order to ensure the proper delivery of services to residents and the community, the organization's management may be required to address problems related to work habits, performance, and conduct. When corrective action is necessary, the amount and type of action taken depends on the particular circumstances. Gateway maintains the discretion to determine what corrective action is appropriate in each situation, regardless of what correction the employee may have received previously. For example, in some circumstances, it may be appropriate to give an additional written warning before taking any stronger action, while in other circumstances it may be appropriate to take strong action including discharge, without any previous warnings or suspensions. Though other forms of corrective action are also possible, these are the types most often taken.

# 1. Counseling:

When the supervisor becomes concerned about an employee's performance at work, he/she may meet with the employee to discuss concerns and develop ways to address the concerns. The supervisor shall document the conversation and forward the documentation to the Directory of Admissions and Ancillary Services for placement in the employee's personnel record.

# 2. Notice of Need For Improvement:

If the employee's performance does not improve after counseling or if circumstances otherwise warrant, it may be necessary to give a written warning to an employee which may include the following:

- Current level of performance and areas requiring improvement;
- Specific level of performance expected in each of the identified deficiencies;
- Time frame for improvement;
- Steps the supervisor will take to support improvement;
- Specified time for follow-up meeting; and
- Potential consequences if performance does not improve

The employee will read and sign the written warning. In signing, the employee acknowledges that she/he has read and understood the document. The signature does not imply agreement.

#### 3. Dismissal:

Notwithstanding anything set forth above, Gateway retains the right to dismiss an employee when this action is in the best interest of the organization, or its residents, without prior warning, counseling or other corrective action. Employees should remember that employment with Gateway is at-will. Both employee and the organization are free to terminate the employment relationship at any time and for any reason.

## B. Occasions for Corrective Action

Listed below are some of the kinds of behavior or performance that may lead to corrective action. It is, of course, not possible to list all of the kinds of problems that may occur in the work place, and other kinds of behavior or performance may also lead to corrective action.

- Unsatisfactory job performance;
- Excessive absenteeism or tardiness, or failure to contact supervisor about absence;
- Violation of Gateway procedures or rules;
- Falsification of Gateway documents, including time records;
- Breach of confidentiality;
- Conflict of interest;
- Supplying false or misleading information as a means of obtaining employment;
- Use of intoxicating liquor or drugs either during the work day or off the job in such a way that it interferes with work attendance or ability to work;
- Theft or willful damage of the property of the agency or other employees;
- Illegal activity involving agency resources or business, or that interferes with the employee's ability to perform their assigned duties;
- Refusal to perform work as directed or willful neglect of duties;
- Violent or abusive behavior or language;
- Unlawful harassment or other discrimination;

- Acceptance of any gifts, favors, other remuneration from any individual or firm having or proposing to have any relationship with Gateway;
- Neglect in providing care and services to a client; and
- Verbal, physical, or sexual abuse of other employees or any client.

#### C. Reduction in Force

Because it is impossible to predict future events, the organization may face an unexpected need to reduce force. The decisions about force reduction will be based on the particular circumstances at the time.

## D. Voluntary Termination

Although an employee is free to terminate the employment relationship at any time and for any reason, employees voluntarily terminating their employment are expected to give at least two (2) weeks notice in writing.

If written notice is not given, the employee's supervisor should document the oral notice and include this in the personnel file.

# **Section VII- Grievance Procedure**

An employee is encouraged to make use of the following grievance procedure after she/he has made a good faith effort to approach the supervisor in an attempt to correct a perceived wrong.

Step 1: The employee shall present the initial grievance in writing to the immediate supervisor within ten (10) working days after the event or action which is the basis for the grievance. Within three (3) working days of receipt of the grievance, the immediate supervisor will arrange a meeting with the employee. Within three (3) working days of the meeting with the employee, the supervisor will provide the employee with a written response to the grievance. If the employee does not agree with the response, the employee may forward the grievance to the Executive Director within (3) working days of receipt of the supervisor's written response.

Step 2: Within three (3) working days of receipt of a grievance, the Executive Director will meet with the employee and the supervisor. Following this meeting the Executive Director will promptly provide a written response to the employee. If the employee does not agree with the response, the employee may forward the grievance to the Executive Committee within five (5) working days of receipt of the Executive Director's written response. (The Executive Director will supply the contact information to the employee.)

The Executive Committee will meet promptly to hear the employee's grievance. Under most circumstances, the meeting shall be within five (5) working days of receipt of the request for an appeal. The Executive Committee will promptly furnish its findings to the

Executive Director and the employee. The decision of the Executive Committee shall be final and binding.

If the employee feels intimidated or threatened by pursuing any of the steps in this grievance procedure, she/he is urged to bring this concern directly and immediately to the Executive Director.

Nothing in this section shall prohibit the employee from taking action with the EEOC or appropriate state agency.

# Section VIII- Affirmative Action Policy and Implementation

## A. Affirmative Action Policy Statement:

Gateway recognizes the necessity of providing equal employment opportunity without regard to race, religion, color, sex, age, national origin, marital status, sexual orientation, disability, or veteran status. This practice of non-discrimination applies to all employees, volunteers and applicants for employment. The organization's activities in providing services to the community in recruiting, hiring, conditions and privileges of employment, compensation, training, upgrading and promotion, and terminations of employees will actively and aggressively promote this policy.

Gateway seeks to maintain a Board of Directors and staffing compliment representative of the community and open to all segments of the public.

# Section IX: Electronic Equipment Security

Gateway employees are advised that computers are not truly private because knowledgeable computer users may gain access to Gateway computers or computer transmissions. Employees should keep computer systems secure; this includes hard drives, discs, email, ccmail, and voice mail. Passwords for computers and voice mail that are Gateway property must be registered with the Manager of Benefits and Quality Improvement who will secure them in the administrative files. Employees may be liable for the replacement costs of Gateway's electronic equipment when such equipment is damaged, lost, or destroyed due to negligence on the part of the employee.

#### **Email**

The email system is the property of Gateway. Personal use by employees should be on a limited basis.

Gateway employees should refrain from sending, downloading, or forwarding discriminatory or otherwise offensive comments, vulgarities, obscenities, or jokes in email messages. The use of such language is grounds for disciplinary action or dismissal.

Employees are advised that email is not truly private and that knowledgeable computer users can gain access to Gateway's computer transmissions. Therefore, employees should not make confidential communications by email. An email message is never totally deleted and may be retrieved by computer experts long after the user deletes the message.

If Gateway becomes involved in an investigation, litigation or any other proceeding that may necessitate the review or production of Gateway records, the organization may, with or without notice, review email messages. Email messages to and from Gateway employees may be produced as evidence in litigation.

# Section X Use Of Gateway And Personal Vehicles:

Gateway company vehicles may only be used for authorized company business. The use of company vehicles is restricted to authorized drivers. Non-employees, including residents of Gateway, are not authorized to drive company vehicles at any time. Gateway will consider any unauthorized use of company vehicles as the equivalent of theft and the driver may be held liable for the consequences of any accidents.

Authorized drivers are determined at the time of their employment with Gateway and annually thereafter. Gateway will require the employee to provide proof of a valid Virginia driver's license and review of the Motor Vehicle Record. All approved employees will be asked to sign an "Employee Driver Agreement Form" and to maintain a valid Virginia Drivers License.

# Section XI Use Of Gateway Credit Cards:

Gateway credit cards may only be used for authorized purchases for company business.

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	DBH	270-300	Building Modifications, Climate, Water, Inspections, &	
			Repairs	
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	DBH	310	Weapons	
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	DBH	520	Risk Management	
	DBH	520	Special Management Procedures	
	DSH	520.1/710/800	Crisis Intervention/Serious Incident Report	
	DBH	520.2	Serious Injury/Death Report	
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	DBH	520.5	Fire Safety Inspection Log	
	DBH	520.6	Vehicle Care Log	
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Maintenance & Repair Log

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DBH



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DBH

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DBH	160.C.3	Human Rights Poster
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DBH	520.1/710/800	Crisis Intervention/Serious Incident Report
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DBH	870	Managing Confidential Information In Service Records
DBH	80.B.4	Release Of Information
DBH	80.B.4 (b)	Consent For Use Of Name
DBH	850	Transfer Between Agency Services
DBH	850	Transfer Summary
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		Supported Apartment Program Tenant Agreement
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DBH	600	<b>Nutrition Monitoring</b>
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DBH	600.2 a - d	Monthly Menus
DRH	600.3	Staple Food Inventory



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DBH	600.4	Emergency Foods
DBH	720	Medical Care
DBH	740	Physical Examination
DBH	650	Preliminary Assessment
DBH	740	Physical Examination
DBH	740	Physical Examination
DBH	740.1	Report of Tuberculosis Screening
DBH	750	Emergency Medical Information
DBH	750.1/770	Medication Record
DBH	760	Medical Equipment
DBH	760	Medical Equipment Instructions
DBH	770/780/790	Medication Management
DBH	520.1/710/800	Crisis Intervention/Serious Incident Report
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# **Board Polices**

BRD	56	Organizational Bylaws
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Gateway Homes, Inc			
Policy and Procedures			
Category: Public Relations And	Reference: Code of Ethical Conduct; GW 02 Gift		
Fundraising	Acceptance		
Title: Donor Relations	Number: 01		
Issued: September 2009	Pages: 1		
Revised: June 2011; December 2013;	Attachments:		
April, 2014			

- **I. Purpose:** The purpose of this policy is to establish procedures for maintaining relationships with Gateway's donors.
- II. Policy: Gateway Homes will use truthful and relevant material when soliciting funds, respect the privacy concerns of donors, and expend the funds consistent with donor intent.

#### III. General Guidance And Procedures

- **a. Solicitation**: When soliciting funds and support, Gateway staff will encourage the donor to ask questions, provide relevant and truthful information, including such things as Gateway's mission, the intended use of resources, and Gateway's capacity to use the donation for its intended purposes.
- **b. Donor Intent**: Donors' wishes will be considered to the extent possible, as long as their intended use of funds is in keeping with the mission of Gateway and its priorities. Gateway will not accept a gift when it is incapable of honoring donor intent.

## c. Acknowledgment And Recognition:

- i. <u>Written Substantiation of Gift</u>: The Director of Development will acknowledge all gifts in writing, regardless of value, form, or stipulations.
- **ii.** <u>Informal Acknowledgement</u>: When appropriate, the Director of Development will convey Gateway's appreciation informally through a thank-you note, telephone call, email, or etc.
- iii. <u>Public Recognition</u>: Gateway will seek out and create opportunities to acknowledge donor's contributions in public forums and other media.
- d. Public Notice: Gateway will respect a donor's wish to remain anonymous.
- e. Confidentiality: The Director of Development will maintain confidentiality concerning all correspondence regarding contributions, gift records, prospect cards, and other data on donors, and will ensure that this donor information is used on a need-to-know-basis only for the support of Gateway's fund development.

Gateway Homes, Inc		
Policy and Procedures		
Category: Public Relations And Reference: Code of Ethical Conduct		
Fundraising		
Title: Gift Acceptance	Number: 02	
Issued: September 2009	Pages: 1	
Revised: June 2011; December 2013;	Attachments: None	
April, 2014		

- I. Purpose: The purpose of this policy is to clarify Gateway's right to refuse a gift.
- II. Policy: The Board and staff of Gateway Homes have the right to refuse contributions that do not enhance or promote Gateway's mission and long-range financial viability.

Gateway Homes, Inc		
Policy and Procedures		
Category: Public Relations And	Reference: Code of Ethical Conduct; GH01 Donor	
Fundraising	Relations	
<b>Fitle:</b> Website Privacy Number: 03		
Issued: September 2009	Pages: 2	
Revised: June 2011; December 2013;	Attachments: None	
April, 2014		

- **I. Purpose:** The purpose of this policy is to establish procedures for maintaining the privacy of visitors to and users of Gateway's website.
- II. Policy: Gateway Homes will respect, maintain, and protect the privacy of visitors to and users of Gateway's website.

## III. General Guidance And Procedures

- a. Collection of Information: Gateway does not collect or retain information from visitors to or users of Gateway's website. The only information collected retained by Gateway is from individuals who contact Gateway by email through the <a href="mailto:info@gatewayhomes.org">info@gatewayhomes.org</a> address. Gateway does not use any cookies.
- b. Disclosing And Protecting Information: Information obtained through <a href="info@gatewayhomes.org">info@gatewayhomes.org</a> correspondence is strictly confidential and not shared with any external person or organization without the user's prior authorization. Gateway has implemented a variety of security measures to maintain the confidentiality of any personal information shared with the organization. All staff are responsible for understanding and adhering to these security and privacy measures.
- **c.** Review Of Confidential Information: Any user who wishes to review, correct, or change confidential information may do so by contacting Gateway at <a href="mailto:info@gatewayhomes.org">info@gatewayhomes.org</a>.
- d. Questions About Gateway's Privacy Policy: Any questions about Gateway's privacy policy should be directed to <a href="mailto:info@gatewayhomes.org">info@gatewayhomes.org</a>.
- e. Third Party Links: Gateway's website contains various third party links and an online contribution link. These third party links have separate and independent privacy policies. Therefore Gateway has no responsibility or liability for the content and activities of these linked sites. Nevertheless, Gateway seeks to protect the integrity of its site and welcomes any feedback about these links.

**f. Posting Of Privacy Policy:** Gateway's Website Privacy Policy will be posted on its website.

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Gateway Homes, Inc		
Policy and Procedures		
Category: Financial & Accounting Reference:		
Title: Credit/Debit Cards and Program	Number: 201 (formerly 710)	
Checks		
Issued: November 2011	Pages: 2	
Revised: July 2012; December 2013;	Attachments: Form 201 Credit/Debit Card Log	
April, 2014		

- **I. Purpose:** The purpose of this policy is to establish procedures for the use of Credit/Debit Cards issued by Gateway Homes.
- II. **Policy:** Gateway Homes will issue Credit/Debit Cards to staff, as appropriate, to ensure the needs of residents and staff are met in a timely fashion.

#### III. General Guidance And Procedures:

- a. <u>General Guidance</u>: Requests for routine purchases, with the exception of food and gas, should be forwarded to the Director of Administration. The Credit/Debit Cards should only be used for urgent, non-routine operational needs that cannot be met in a timely manner through the routine purchase processes.
- b. <u>Credit Card Issuance:</u> The Executive Director may issue Credit/Debit Cards to staff at his or her discretion.
- c. <u>Credit Card Limit</u>: Each card shall normally have a credit limit of \$5,000. The Executive Director may authorize higher credit limits at her/his discretion.
- d. <u>Use Of Credit/Debit Cards</u>: Cards may only be used for authorized Gateway Homes' business.
  - i. Generally acceptable use includes, but is not limited to, items which cannot be paid for in advance or through the routine purchase processes such as travel expenses, training activities, community-based psychosocial rehabilitation activities, food and supplies for resident use, and etc. Cards may be used for over-the-counter transactions and over-the-phone and internet purchases.
  - ii. The cards may not be used for:
    - 1. Personal or non-official expenditures;
    - 2. Cash advances;
    - 3. Purchases that are beyond approved expenditure limits; and

## 4. Regular or periodic payments.

#### e. Cardholder Responsibilities: The cardholder is

- i. responsible for every transaction on his or her credit card;
- ii. keeping the card securely and guarding against unauthorized and improper use;
- iii. providing the Director of Finance with a completed *Form 201 Credit/Debit Card and Program Check Documentation Log* on Monday each week for the proceeding week (this form must be completed whether or not any purchases have been made); and
- iv. returning the card to the Director of Finance when leaving his or her position or terminating employment with Gateway.

#### f. Cancellation

- i. A card may be cancelled at anytime at the discretion of the Executive Director.
- ii. If a card is lost or stolen, the employee must contact SunTrust immediately and request that the card be cancelled. The employee must also notify the Director of Finance and the Executive Director no later than the next business day.

## g. Program Checking Account

i. Any checks written from the Program Checking account must be entered on Form 201 Credit/Debit Card and Program Check Documentation Log along with the receipts and submitted to the Director of Finance on Monday each week for the proceeding week.

# h. Audit Of Credit/Debit Card and Program Checking Account Use:

- i. The Director of Finance will complete an audit of credit/debit card and program checking account usage each month during account reconciliation.
- ii. The Director of Finance will inform the Executive Director of any breaches or possible breaches of this Policy.
- iii. The Executive Director will promptly investigate and take the appropriate corrective action.

# Credit/Debit Card & Program Check Documentation Log Card Holder \_\_\_\_\_\_ Last Four Digits of Card Number \_\_\_\_\_

ate	Card Sign-Out Signature (& Check #)	Name of Store/Vendor	Description of Purchase	A4	Receipt		
		Store / Char	Description of Furchase	Amount	Attached	Card Return Signature	Date
							-

Gateway Homes, Inc			
Policy and Procedures			
Category: Financial & Accounting Reference: 12VAC 35-105-210			
Title: Fiscal Accountability	Number: 210		
Issued: June 2004	Pages: 2		
Revised: July 2011; December 2013;	Attachments: None		
April, 2014			

- 1) **Purpose:** The purpose of this policy is to establish procedures for management of and accounting for Gateway's finances and assets.
- 2) Policy: Gateway Homes will follow the accounting principles generally accepted in the United States.

#### 3) General Guidance And Procedures:

- a) <u>Financial Reserves</u>: Gateway will maintain financial reserves sufficient to cover a minimum of 90 days of operating expenses.
- b) <u>Audit:</u> an independent external audit of Gateway's financial records will be conducted annually by a Certified Public Accountant using generally accepted accounting principles. The audit will include:
  - i) An operating statement showing revenues and expenses for the fiscal year just ended; and
  - ii) A balance sheet showing assets and liabilities.

#### c) Internal Controls/Segregation Of Duties:

- (i) *Receipts:* All incoming checks and/or cash shall be received by a staff person separate from the Director of finance and will frequently compile a daily cash receipt list. Deposits will be made daily by the Director of Finance.
- (ii) *Disbursements*: The Director of Finance has the primary responsibility for disbursing funds. Other staff as authorized by the Board of Directors can make disbursements on an as needed basis. In lieu of petty cash, staff approved by the Executive Director will use agency credit cards to pay for goods and services. The Executive Director or Director of Administration will initial supporting documentation indicating approval for all disbursements over \$1,000, except utilities, prior to the disbursement. All electronic payments, including payroll, will need the approval of the Executive Director or Director of Administration.
- (iii) Cash Reconciliation: All bank statements will be opened and initialed by the Director of Administration. After reconciliations are completed by the Director of Finance, they will be reviewed and initialed by the Executive Director.
- d) <u>Accounting System:</u> Gateway Homes will maintain an accounting system that provides for internal and external reports reflecting its financial condition on an accrual basis.

- e) <u>Reports To The Board of Directors:</u> Monthly statements will be prepared and disseminated to the Finance Committee. Year end reports showing all revenues and expenses for the year will be presented annually to the Board of Directors.
- f) <u>Agency Budget:</u> In consultation with the Executive Director, the Director of Finance and Director of Administration will prepare a draft budget for review by the Finance Committee and subsequent presentation to the Board of Directors at least one month in advance of the new fiscal year.
- g) <u>Authorized Signatures:</u> The Board of Directors will review and authorize signatures for each of Gateway's accounts at its annual Directors' meeting. Dual signatures will be required for any check written in the amount of \$10,000 or greater.
- h) <u>Purchasing:</u> All purchases over \$1,000 will be made with the approval of the Executive Director or the Director of Administration. Receipts for all purchases will be submitted to the Director of Finance. Three bids shall be obtained for all items costing \$10,000 and over.
- i) <u>Asset Valuation:</u> Please see FA04 Inventory of Moveable Assets and FA05 Contributed Goods and Materials.

Gateway Homes, Inc		
Policy and Procedures		
Category: Risk Management Reference: 12VAC 35-105-220 (1) through (4)		
Title: Indemnity Coverage	Number: 220	
Issued: June 2004 Pages: 1		
Revised: June 2011; December 2013; Attachments: None April, 2014		

- **I. Purpose:** The purpose of this policy is to protect the interests of individuals, employees, and the organization from risks of liability.
- II. Policy: Gateway Homes will maintain indemnity coverage.

## III. General Guidance And Procedures:

- 1. <u>Indemnity Coverage</u>: Gateway's Director of Administration will maintain indemnity coverage which includes:
  - i) General liability with an aggregate limit to coverage of \$3,000,0000;
  - ii) Commercial Crime Policy which covers employee theft (\$75,000 per occurrence) and forgery or alteration (\$25,000 per occurrence); theft of money or securities on premises (\$10,000 per occurrence); robbery or burglary on premises (\$10,000 per occurrence);
  - iii) Professional liability with an aggregate limit of \$4,000,000;
  - iv) Vehicular liability for each vehicle owned by Gateway which exceeds the minimum limits established by law; and
  - v) Property damage liability for all buildings and property with a value in excess of \$1,000.

Gateway Homes, Inc		
Policy and Procedures		
Category: Financial & Accounting	<b>DBHDS Reference</b> : 12VAC 35-105-230	
Title: Written Schedule Of Rates	Number: 230	
Subtitle:	Pages: 1	
Issued: June 2004	Attachments: Form 230.1 Rate Schedule;	
Revised: June 2011; December 2013;	Form 230.2 Financial Agreement	
April, 2014		

- I. Purpose: The purpose of this policy is to establish a process for determining rate schedules, disclosing fees, and entering into financial agreements.
- **II. Policy:** Gateway Homes will fully disclose the rate schedule upon request. All applicants will enter into a signed financial agreement prior to admission.

#### III. General Guidance And Procedures:

- **a.** <u>Disclosure Upon Request</u>: Gateway's Director of Finance, or designee, will make the rate schedule available upon request to any interested party.
- **b.** Change In Fee Schedule: The Director of Finance, or designee, is responsible for informing referring agencies, the individual and the authorized representative of any changes to the rate schedule at least sixty days in advance of a change.
- c. <u>Determination Of Fees</u>: The Director of Finance, or designee will;
  - i. review every applicant's financial and insurance status to ensure the applicant has applied for all entitlements from the federal, state, and local governments;
  - ii. consult with the individual, the authorized representative, family, or other support systems, as appropriate, to pursue all available options for payment; and
  - iii. enter into a signed financial agreement with the responsible party prior to admission.



# Rate Schedule

Supported Living Center

\$5,000 per month

Supported Apartments

\$3,600 per month

Community Support Services

\$800 per month

\* The rate does not include the cost of medication or primary medical care.



# Financial Agreement

By my signature below, I	hereby agree to the following terms
(financially responsib	le party)
and conditions for payment of the residential, trans	portation, educational, vocational, clinical, nursing,
and psychiatric services INDIVIDUAL'S NAME will re (individual receiving services)	
and Supplemental Security Income. I also agree to	ot limited to, such things as Social Security Disability, promptly endorse and submit to Gateway all Social of any unpaid service fee resulting from Name's care at nacy costs, lab work, medical care, and any other
of about \$1,000. Therefore, I agree to provide	yed, I understand that this leaves a monthly balance \$each month. maining cost of care will be raised by Gateway in
	nncial agreement described above and agree to the this agreement is effective for one year and will be om Gateway Homes, Inc.
Party with Financial Responsibility	Date

Gateway Homes, Inc			
Policy and Procedures			
Category: Financial & Accounting Reference: 12VAC 35-105-240			
Title: Funds of Service Recipients	Number: 240		
Subtitle:	Pages: 2		
Issued: June 2004	Attachments: Form 240 Log for Cash		
Revised: June 2011; December 2013;	,		
April, 2014			

- **I. Purpose:** The purpose of this policy is to establish a procedure for handling funds of individuals receiving services.
- II. **Policy:** Gateway Homes will maintain documented financial controls to minimize the risk of theft or embezzlement of funds of individuals receiving services.

#### III. General Guidance And Procedures:

- 1. Gateway provides individual skills training and class room education focused on helping individuals acquire the skills needed to manage their personal funds. Gateway's goal is to empower each individual to manage personal funds as independently as possible.
- 2. Gateway will hold funds in trust for an individual if there are clearly identified clinical, behavioral, or risk management reasons for doing so. Examples include an individual who
  - i) has such poor reality testing that he/she is unable to keep track of their funds;
  - ii) requests staff assistance due to concerns about his/her inability to keep track of funds, impulsive spending of funds needed for other purposes, or vulnerability to giving funds to other peers; or
  - iii) unexpectedly receives a large sum of money and does not have a secure setting in which to maintain those funds.
- 3. <u>Cash Funds Held In Trust:</u> Gateway will use the following financial controls when handling individual's funds.
  - i) Any cash funds held for an individual will be kept in a locked safe in a secure area only accessible by staff;
  - ii) The staff member receiving cash funds in trust from an individual or disbursing such funds at the request of the individual will complete Form 240 Log for Cash sign it, and ensure the individual receiving the funds also signs Form 240 Log for Cash.
- 4. Other Funds Held In Trust: Gateway will use the following financial controls when handling noncash funds for individuals.
  - a. An individual's checks shall be received by a staff person separate from the Director of Finance and will compile a daily cash receipt list.

- b. Deposits will be made frequently by the Director of Finance.
- c. The Director of Finance will
  - i. maintain a journal of the date and amount of any deposit made for an individual;
  - ii. maintain a journal including the date, amount, purpose, of any disbursements made at the request of the individual; and
  - iii. upon request, provide an individual with an accounting of any funds held in trust.
- 5. <u>Security Of Funds</u>: The security of resident funds is provided by Gateway's insurance which covers theft, forgery, or misappropriation by employees and volunteers.

# LOG FOR CASH HELD BY STAFF

Resident's Name	
	••••••••••••••••••••••••••••••••••••••

Date	Purpose of Transaction	Deposit	Withdrawal	Rolanes	Ctoff C:	<b>D</b> 11 (3)	
		Deposit	Withurawai	Dalance	Staff Signature	Resident Signature	
					•		
	•						
			:				
***							
		:			,		
			,				
						,	
				*			

Form 240 Log For Cash

Gateway Homes, Inc Policy and Procedures			
Category: Financial & Accounting	Reference:		
Title: Agency As Payee	Number: 05		
Issued: December 2009	Pages: 1		
Revised: June 2011; December 2013,	Attachments: None		
April, 2014			

- **I. Purpose:** The purpose of this policy is to establish a process for serving as a representative payee Gateway residents' social security disability benefits.
- II. Policy: Gateway Homes will manage the benefits in the best interest of the resident beneficiary, ensuring that resident needs are properly meet and good records are maintained.

### III. General Guidance And Procedures:

- a. Case Manger's Responsibilities:
  - i. Involve the beneficiary as much as possible in financial decisions;
  - ii. Explain Social Security and SSI payments and the resident's expenses to him or her:
  - iii. Advise the resident of current and past due benefits;
  - iv. Help the resident find other benefits and services he or she needs (for example, food stamps, Medicaid, Auxiliary Grants, etc.); and
  - v. Help the resident cooperate with caseworkers from the Social Security Administration.

### b. Director of Finance's Responsibilities:

- i. Determine the resident's fee for services at Gateway, current needs for day-to-day living (e.g., food, clothing, housing, medical expenses and personal items) and use his or her payments to meet those needs;
- ii. Save any money left after meeting the resident's needs in a checking or savings account (preferably interest bearing);
- iii. Report any event that affects the resident's payment or entitlement to benefits and promptly return any payment that the beneficiary is not due;
- iv. Keep written records for at least two years of all payments received from SSA, bank statements and cancelled checks, receipts or cancelled checks for rent, utilities, and major purchases made for the beneficiary;
- v. Notify SSA of any changes or circumstances that would affect Gateway's performance as a payee or decision to continue to serve as a payee;
- vi. Return any conserved funds to SSA or the new payee if Gateway stops serving as the resident's payee; and
- vii. Complete an annual accountings of benefits received.

Gateway Homes, Inc				
Policy and Procedures				
Category: Financial & Accounting	Reference:			
Title: Inventory of Moveable Assets	Number: 06			
Issued: April 2005	Pages: 1			
Revised: June 2011; December 2013;	Attachments: None			
April, 2014				

- **I. Purpose:** The purpose of this policy is to establish procedures for performing periodic physical inventories of moveable assets such as furniture and equipment.
- II. Policy: Gateway Homes will maintain an accurate record of the all moveable assets, such as furniture and equipment, with a value of \$500.00 or more at the time of purchase. The physical inventory will be reconciled with the fixed asset records to safeguard against loss of moveable assets.

### III. General Guidance And Procedures

- **a.** All employees who purchase a moveable asset with a purchase value of \$500 or more shall provide the Director of Finance with a receipt of the purchase.
- **b.** The Director of Finance will maintain an accurate record of all moveable assets over \$500.00 at the time of purchase.
- **c.** The Director of Administration will be responsible for scheduling a physical inventory of assets on an annually, during the first quarter of the calendar year, and for appointing the staff to conduct the inventory.
- **d.** The physical inventory will be compared with the record of all moveable assets.

Gateway Homes, Inc Policy and Procedures				
Category: Financial & Accounting	Reference:			
Title: Contributed Materials And Services	Number: 07			
Issued: February 2005	Pages: 2			
Revised: June 2011; December 2013;	Attachments: None			
April, 2014				

- **I. Purpose:** The purpose of this policy is to establish procedures to account for the value of contributed materials and services.
- II. Policy: Gateway Homes will maintain an accurate record of the accumulated value of materials and qualifying services in excess of \$1,000.00 at the time of contribution. Gateway will recognize the contributed value of services if such services (a) create or enhance non-financial (capital) assets or (b) require specialized skills, are provided by individuals possessing such skills, and would typically be purchased, if not provided by donation.

### III. Definitions:

Qualified Materials: donated materials valued by the donor to be in excess of \$1,000.00

Qualified Services: donated services which

- (a) create or enhance non-financial (capital) assets; or
- (b) require specialized skills, are provided by individuals possessing such skills, and would typically be purchased, if not provided by donation; and
- (c) are valued by the donor to be in excess of \$1,000

### IV. Specific Guidance And Procedures:

- **a.** <u>Donations To Administrative Functions/Areas:</u> The Director of Finance will approve and accept donations of materials and services in administrative areas and inform the Director of Development of all such donations.
- **b.** <u>Donations To Clinical Programs</u>: The Director of Administration will approve and accept donations of materials and services for clinical programs and inform the Director of Development of all such donations.
- c. Valuation Of Materials and Services:

- i. The staff member coordinating the donation will:
  - 1. contact the donor to verify the donor's valuation of the donated materials and services; and
  - **2.** inform the Director of Finance of the value of any qualifying materials and/or services.
- **ii.** If a volunteer does not provide a valuation of donated time, Gateway will use the *State Occupational Employment and Wage Estimates Report* to determine the value of donated services.
- **d.** Record of Accumulated Value: The Director of Development will record the gift of material(s) or service(s) as a contribution to operating revenue.

Gateway Homes, Inc Policy and Procedures				
Category: Health, Safety, Risk	<b>Reference</b> : 12VAC 35-105-270, 280, 290, & 300			
Management				
Title: Building Modifications, Climate, Number: 270/280/290/300				
Water, Inspections, & Repairs				
Issued: June 2004	Pages: 2			
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 520.4 Water Temperature Log			
	Form 520.9 Maintenance & Repair Log			

- **I. Purpose:** The purpose of this policy is to establish procedures for maintaining the physical environment.
- II. **Policy:** Gateway Homes will maintain a physical environment appropriate to the population served, the services provided, and accessible to individuals with physical and sensory disabilities.

### III. General Guidance And Procedures:

- 1. <u>Building Modifications:</u> The Executive Director will submit to the DBHDS any plans for building new construction and changing the use or making any structural modifications to existing locations where services are being provided. The plans will not be implemented until the DBHDS has determined the plans are incompliance with licensing regulations.
- 2. Building Temperatures: Staff on duty are responsible for maintaining the physical environment between 65° and 80 ° F.
- 3. <u>Water Temperatures:</u> Hot water accessible to individuals being served shall be maintained within a range of 100 120° F. The water temperature will be checked monthly and recorded on Form 520.4 Water Temperature Log.
- 4. <u>Food Service Inspections</u>: There will be a routine annual inspection and approval of Gateway's food service by the state or local health department. The Administrative Office will maintain a file of the three most recent inspections and approvals.
- 5. <u>Sewer and Water Inspections</u>: There will be a routine annual inspection and approval of Gateway's sewer and water by the state or local health department. The Administrative Office will maintain a file of the three most recent inspections and approvals.
- 6. <u>Facility Inspections</u>: Routine facility inspections will be conducted in accordance with Policy 520 Risk Management. Inspections will be documented on Form 520.8 Facility Inspection.
- 7. <u>Repair Requests</u>: A staff member who observes any aspect of the physical environment to be in need of repair is responsible for immediately informing the Program Supervisor/Logistics

  Modifications, Climate, Water, Inspections, & Repairs Page 1

Manager of the need for repair. The Program Supervisor will coordinate the repair in accordance with the Policy 520 Risk Management. Repair requests will be tracked using Form 520.9 Maintenance & Repair Log.

### Water Temperature Log For \_\_\_

Year

	Water Heater In					
	Date:	Date:	Date:	Date:	Date:	Date:
January	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
<u> </u>	Date:	Date:	Date:	Date:	Date:	Date:
February	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
March	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
April	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
<del>*</del>	Date:	Date:	Date:	Date:	Date:	Date:
May	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
June	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
July	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
August	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
<u> </u>	Date:	Date:	Date:	Date:	Date:	Date:
September	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
October	Temp:	Temp:	Temp:	Temp:	Тетр:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
Vovember	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:
	Date:	Date:	Date:	Date:	Date:	Date:
December	Temp:	Temp:	Temp:	Temp:	Temp:	Temp:

**Staff Instructions:** 

# Maintenance & Repair Log

Request Date / Staff Name	Location	Description of Repair Request C	Date ompleted	Completed By	

Form 590.9 Maintenance & Repair Log

Gateway Homes, Inc Policy and Procedures			
Category: Health, Safety, Risk Management	<b>Reference</b> : 12VAC 35-105-310		
Title: Weapons	Number: 310		
Issued: June 2004	Pages: 1		
Revised: June 2011; December 2013; April, 2014	Attachments: None		

- **I. Purpose:** The purpose of this policy is to establish procedures governing the use and possession of firearms and other weapons on Gateway's premises.
- II. **Policy:** Gateway Homes does not permit firearms, pellet guns, air rifles, or other weapons on its premises unless they are in the possession of sworn law-enforcement personnel.
- III. **Definitions**: Weapon means any device or instrument whose primary purpose is to inflict bodily injury or death.

### IV. General Guidance And Procedures:

- 1. <u>Service Guidelines</u>: Admitting staff will review Gateway's Service Guidelines prohibiting firearms and weapons on the premises with all individuals at the time of admission.
- 2. <u>Violations:</u> Individuals who possess firearms or weapons on the premises may be discharged from the program.

Gateway Homes, Inc Policy and Procedures			
Category: Human Resources; Health,	<b>Reference</b> : 12VAC 35-105-510		
Safety, and Risk Management			
Title: Tuberculosis Screening of Staff, Number: 510			
Students, and Volunteers			
Issued: June 2004	Pages: 1		
Revised: June 2011; December 2013;	Attachments: None.		
April, 2014			

- **I. Purpose:** The purpose of this policy is to establish procedures for tuberculosis screening of staff, volunteers, and students.
- **II. Policy:** Gateway Homes will ensure staff, volunteers, and students having direct contact with individuals receiving services are free of active symptoms of tuberculosis.

### III. General Guidance And Procedures:

- 1. All new employees, volunteers, and students shall provide Gateway with a statement of certification by a qualified provider indicating the absence of tuberculosis in a communicable form within 30 days of hire or direct contact with individuals receiving services.
- 2. All employees, students, and volunteers are required to have an annual recertification indicating the absence of tuberculosis in a communicable form.
- 3. Any employee, student, or volunteer who comes in contact with a known case of active tuberculosis, or who develops symptoms of active tuberculosis of three weeks duration, must be screened as determined appropriated based on consultation with the local health department.
- 4. Any employee, student, or volunteer suspected of having active tuberculosis is not permitted to return to work or have direct contact with employees, students, volunteers, or individuals receiving services until a physician has determined that the person is free of active tuberculosis.
- 5. Staff, students, or volunteers who do not comply with the requirements of this policy will not be allowed to work.

Gateway Homes, Inc				
	Policy and Procedures			
Category: Health & Safety	<b>Reference</b> : 12VAC 35-105-520			
Title: Risk Management &	Number: 520			
Serious Incidents				
Issued: June 2004	Pages: 4			
Revised: June 2011; December	Attachments:			
2013; April, 2014	Form 520 Special Management Procedures;			
Form 520.1/710/800 Crisis Intervention & Serious Incide				
	Form 520.2 Serious Injury/Death Report			
	Form 520.4 Water Temperature Log			
·	Form 520.5 Fire Safety Inspection Log			
	Form 520.6 Vehicle Care Log			
Form 520.7 Refrigerator Temperature Log				
	Form 520.8 Facility Inspection Log			
	Form 520.9 Maintenance & Repair Log			

- I. Purpose: The purpose of this policy is to establish procedures for managing risk.
- II. Policy: Gateway Homes will actively identify, monitor, reduce, and minimize risks associated with personal injury, property damage or loss, and other sources of potential liability. Each staff member is responsible for the ensuring the safety of our residents through proactive identification of risks, managing risks as they occur, and documenting the management of those risks.

### III. Definitions:

Significant Events consist of such things as any injury requiring intervention on the part of staff to prevent a serious incident.

Serious Incident: A significant event becomes a serious incident if it meets any of the following criteria: physical injury requiring professional medical attention; unexplained injuries (even if they don't require medical attention); medication errors or suspected drug reaction; hospitalization (medical and psychiatric); accidents involving vehicles, equipment, or buildings; or death.

Special Management Procedures – are specific instructions for managing residents with special legal status such as Not-Guilty-By-Reason-Of-Insanity-Acquittees, individuals under the supervision of the Department of Probation and Parole, and persons adjudicated incompetent who have court appointed legal guardians or committees.

### IV. General Guidance And Procedures:

1. Responsibilities:

- i) The Manager of Benefits and Quality Improvement has overall responsibility for risk management, the implementation of the risk management plan, and conducting an annual review of all serious injuries.
- ii) Each staff member is responsible for the ensuring the safety of our residents through proactive identification of risks, managing risks as they occur, and documenting the management of those risks.
- iii) Any staff member who has knowledge of a potential risk is responsible for informing his or her supervisor immediately.

2. General Risk Management Procedures

- i) Staff members are expected to use sound judgment and common sense in the management of situations which carry a potential risk of harm to residents, staff, visitors, and/or property.
- ii) All staff members on site are responsible for assisting in, diffusing, and managing situations with a potential of risk. This includes such things as removing other residents from the area, providing first aid, contacting 911 to request emergency medical or law enforcement assistance, seeking emergency psychiatric consultation from CSB Emergency Services, and/or any other actions that are warranted by the situation at hand.

3. Physical Plant Safety Inspections:

- i) The Program Manager for Fairfax and the Supervisor of Physical Plant for each physical site is responsible for assigning a staff member to conduct an inspection of each building's general condition, major appliances, water temperatures, fire safety systems, and each vehicle on a monthly basis and complete the appropriate inspection forms (Form 520.4 Water Temperature Log; Form 520.5 Fire Safety Inspection Log; Form 520.6 Vehicle Care Log; Form 520.7 Refrigerator Temperature Inspection Log; and Form 520.8 Facility Inspection Log).
- ii) The Program Manager for Fairfax and the Supervisor of Physical Plant will track and coordinate all requests for repairs and safety improvements using Form 520.9 Maintenance & Repair Log.
- iii) The Program Manager for Fairfax and the Supervisor of Physical Plant will maintain inspection forms and repair tracking data for three years.

4. Special Management Procedures

The Assistant Clinical Director will complete a "Special Management Procedures" form for all residents under the supervision of a court, Department of Probation and Parole, Community Services Board, legal guardian, or committee.

- ii) All staff members involved in managing significant events involving a Gateway resident will review the resident's medical record as soon as possible and follow all the instructions contained in the Special Management Procedures for that resident.
- 5. <u>Infection Control</u>: Staff will use universal precautions and follow the procedures set forth in Policy 520.F Infection Control.

### 6. Documentation Of Significant Events

- i) Responsible Staff The staff managing the significant event is responsible for ensuring the documentation requirements are completed within the established time frame.
- ii) Documenting Significant Events: The responsible staff member must:
  - (1) Phone: Notify their immediate supervisor, the Benefits & Quality Improvement Manager or the Director of Administration if the Benefits & Quality Improvement Manager is unavailable, by phone;
  - (2) E-Mail: inform the clinical team by email (shift report or stand alone email) of all significant events; and
  - (3) Medical Record: document the event on a treatment note in the resident's medical record.

### iii) Documenting Serious Incidents: The responsible staff member must

- (1) Phone: Notify their immediate supervisor, the Benefits & Quality Improvement Manager or the Director of Administration if the Benefits & Quality Improvement Manager is unavailable, by phone;
- (2) E-Mail: inform the clinical team by email (shift report or stand alone email) of all significant events;
- (3) Medical Record: document the event on a progress note in the resident's medical record; and
- (4) Serious Incident Report: complete Form 520.1/710/800 Crisis Intervention & Serious Incident Report before the end of the shift and forward it to the Benefits & Quality Improvement Manager or the Director of Admissions if the Benefits & Quality Improvement Manager is unavailable.
  - (i) the Benefits & Quality Improvement Manager will enter the serious incident report, along with any follow up action and resolutions into the Comprehensive Human Rights Information System (CHRIS).
  - (ii) the Benefits & Quality Improvement Manager will also maintain a paper system to serve as the back-up system in the event of an emergency when the CHRIS system is unavailable.

### 7. Reporting And Review Of Serious Incidents And Injuries:

- i) The Benefits & Quality Improvement Manager will
  - (1) Review all serious incidents within two working days;

(2) consult with the Executive Director when appropriate;

(3) implement and document any corrective actions that are needed; and

(4) maintain a file of all serious incident reports for three years from the date of the incident.

ii) The Benefits & Quality Improvement Manager will

- (1) Report all serious injuries to and deaths of employees, students, volunteers, visitors, and individuals receiving services to the Licensing Office and Office of Human Rights within 24 hours using the Form 520.2 Serious Injury/Death Report;
- (2) Report as appropriate and required by law injuries and deaths of clients receiving services to the Department of Behavioral Health and Developmental Services.

(3) Review all such injuries and deaths at least annually;

- (4) Review serious incidents, including serious injuries and deaths, with the Clinical Committee of the Board of Directors at least annually and these reviews will be part of the Board's official record of meetings; and
- (5) Implement recommendations made by the Clinical Committee of the Board of Directors.

# Gateway Homes, Inc. **Special Management Procedures**

Effective Date:	Resi	dent Nam	e:	000 0				
The Special Management followed.	t Procedures ou	utlined be	elow are lo	egal requirem	ents and	I must l	be strictl	y
Criminal Legal Status #1 Placement; Probation/Paro	· -	ox with the	e following	g selections –	None; N	GRI; Co	ourt Orde	red
Criminal Legal Status #2 Placement; Probation/Paro	· -	ox with the	e following	g selections –	None; N	GRI; Co	ourt Orde	red
Civil Legal Status (drop s	selections – Nor	ne; Legal	Guardian)					
Contact Person #1: Name down box with the following Agency:	ng							
Address:								
Office ()=	reet Cell (			City Home (			State	Zip code
This person must be notified noncompliance; change of a This person must be notified—Consent to treatment/ISP:	address; visits o d and/or make t	off campus	s; AWOL; ring decision	otherons: (drop dov	Plea	se describ	e)	
Contact Person #2: Name				·	Relation	ship/Tit	le:	
down box with the following Agency:	-							_
Address:								
Office ()	reet Cell (			City Home (			State	Zip code
This person must be notified noncompliance; change of a					_			eatment
This person must be notified – Consent to treatment/ISP;							ollowing	selections
Contact Person #3: Name: down box with the followin				1	Relations	ship/Titl	e:	<del></del>

## **CRISIS INTERVENTION & SERIOUS INCIDENT REPORT**

Individual's Name:	Date:	Time:	
Nature of Crisis/Emergency/Incident:			
Precipitating Factors:			
Treatment or Interventions Provided:			
Outcome (including severity of injuries if			
Employees or Contractors Involved:			
Notifications Made To:			
Name & Signature	Date		
Review Of Crisis Intervention/Serio	us Incident		
Findings And Recommended Corrective A	Action (if any):		

Name, Signature, Title of person reviewing report
Form 520/710/800 Crisis Intervention & Serious Incident Report

Date

DMH 966E 1156 R04/16/2002

# REPORT TO OFFICE OF LICENSING SERIOUS INJURIES OR DEATHS IN A LICENSED PROGRAM

Serious injury-any injury that results in bodily hurt, damage, harm or loss that requires medical attention by a Licensed physician. Provider and Address: \_\_\_\_\_ Service name and license number where individual was receiving services. (Ex: Outpatient- 000-07-004) Specific Service: \_\_ License Number: INDIVIDUAL'S NAME: \_\_\_\_\_ Date of Birth \_\_\_\_/\_\_\_ Date of death/injury \_\_\_\_/ \_\_\_\_ Date of Discovery of death/injury \_\_\_\_\_/\_\_\_\_ Did the incident involve (check all that apply)? ☐ Seclusion? ☐ Restraint? ☐ Abuse Allegation? ☐ Neglect Allegation? ☐ Assault by Client? Self-injurious Behavior? Unexplained? Other? COMPLETE FOR CRITICAL INCIDENTS ONLY Did the incident involve? Loss of consciousness resulting from a serious injury? Other serious injury: Type of medical attention required: Status of medical resolution: COMPLETE FOR DEATHS ONLY Cause (from death certificate) \_\_\_ Is autopsy to be performed? Yes No If yes, status Was death (check all that apply)? Expected? Unexpected? Suicide? Referred to Medical Examiner? State other known facts regarding injury or death (attach additional notes, if necessary): Was an internal investigation initiated? Tes No If yes, indicate date begun: \_\_\_/\_\_\_/\_\_ External notifications made (check all that apply and indicate date of notification): Dept. of Health Professions DSS Local Law Enforcement agency Dept. of Health Office of Human Rights ☐ State Police

NAME OF PERSON FILING REPORT:

PHONE NUMBER:

# Water Temperature Log For \_\_\_\_\_\_\_

	Water Heater In						
January							
February							
March							
April							
May							
June							
July							
August							
September					-		
October							
November							
December							

**Staff Instructions:** 

Building	
Fire Safety Inspection Log For	
	Year

						Fire Ext	inguisher	S
	Exit Signs	Emergency Lights	Smoke Detectors	Exit Routes	#1	#2	#3	#4
January								
February								
March								
April				-				
May				- 1070H-100				
June								
July						,		
August								
September								
October								
November								
December								

**Staff Instructions:** 

Vehicle Maintenance Log For	(year)
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G 1		•	٠													
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	_		•	~.	•				v			a	u	v		

	Due Date	Date work done	Mileage	Comments
Vehicle Inspection				Continents
Rotate Tires				
Rotate Tires				
Oil and Filter Change				
Oil and Filter Change				
Oil and Filter Change				
Oil and Filter Change				
Air Filter Change				
Air Filter Change				
Replace Tires		·		
Replace Wiper Blades				
Other				
Other				
Other			<u> </u>	
Other				
Please check tire pressure of	on a monthly has	zic		

520.6 Vehicle Care Log

Program Name	
Refrigerator	Temperature Log Sheet
Inspection I	Form for

year Refrig- 1 Refrig- 2 Refrig- 3 Refrig- 4 Refrig- 5 Refrig- 6 Refrig- 7 Temp/Date Temp/Date Temp/Date Temp/Date Temp/Date Temp/Date Temp/Date January February March April May June July lugust September October November

\*Refrigerators are labeled with numbers 1 through \_\_\_\_ on the front of each unit\*

**Staff Comments:** 

December

# **Facility Inspection**

Completed for:	onth		Year	· · · · · · · · · · · · · · · · · · ·		
<u> </u>	D '11'	D '11'	T 20 11 11	T		
	Building	Building	Building	Building	Comments	
	. ]					
Restrooms (cleanliness)						
Dryer (including lint traps)						
Washer		1			-	
Extension Cords						
Safety hazards						
Inside lights/lamps						
Floors						
Furniture						
Bedroom Towel rods						
Bedroom Closet doors						
Bedroom lamp/chair/dresser						
Windows & screens						
Doors & locks work						
Toilet paper, paper towels	·					
Cleaning supplies						
Laundry supplies						
Personal hygiene products						
Emergency Food & Water						
Emergency blankets/pillows						
Electrical panels locked						
Emergency Call System						
Outside lighting						
Walkway						
Driveway						
Bushes/Trees						
Lawn						
Please use the following abbre	viations: N/	for not or	nlicable: V f	or satisfacts	my: D for romain a	ا مام می دریناداد
			pricable, v r	oi salistacio	ory; <b>R</b> for repair a	iong with
description of repair needed in	the comment so	ection.				
ame and signature of person comple	ting form	Date				

# Maintenance & Repair Log

equest Date / Staff Name	Location	Description of Repair Request	Date Completed	Completed By
				-

Form 590.9 Maintenance & Repair Log

Gateway Homes, Inc					
Policy and Procedures					
Category: Health, Safety, Risk	<b>Reference:</b> 12VAC 35-105-520E				
Management					
Title: Infection Control	Number: 520E				
Issued: June 2004	Pages: 2				
Revised: June 2011; December 2013;	Attachments: Form 520E First Aid Kit				
April, 2014	Supplies				

- I. Purpose: The purpose of this policy is to establish procedures for managing communicable diseases.
- II. Policy: Gateway Homes employees, volunteers, students, and contractors will use universal precautions in all instances of potential or actual exposure to bodily fluids. First aid kits will be readily available to treat minor injuries as soon as they occur.

### III. General Guidance And Procedures:

- 1. <u>Notification</u>: All new employees, volunteers, students, and contractors will be provided with a written copy of this policy.
- 2. <u>Exposure To Bodily Fluids</u>: All employees, volunteers, students, and contracts must adhere to the following procedures in the event of an exposure to bodily fluids of any kind.
  - i) Obtain the necessary supplies from the staff office or cleaning supply closet to protect from direct contact with potentially infections material. This includes gloves, protective gown, shoe masks, goggles, or any other protective gear that is needed to cover areas that may be exposed.
  - ii) Obtain a red biohazard bag from the staff office or cleaning closet to collect all exposed items, material, and cleaning equipment.
  - iii) Prepare a water and bleach solution to clean the area. The solution consists of 10 cups of water to one cup of bleach.
  - iv) After putting on the protective gear, proceed to clean the area.
  - v) Once the cleaning is completed, carefully review the area to make sure that all potentially infections material has been removed.
  - vi) Place any exposed clothing, towels, cleaning items, protective supplies, and etc. in the red biohazard bag for disposal. Put the original bag inside a second red bag and notify the Nurse that a biohazard bag requires disposal.
  - vii) All persons involved must wash their hands thoroughly before returning to any other activity.
  - viii) The Nurse will arrange for the proper disposal of the bio-hazardous bag with a designated contractor.

- 3. <u>First Aid Kits</u>: Well stocked first aid kits will be kept in each building and vehicle. Employees will provide first aid treatment to minor injuries as soon as they occur.
  - i) The first aid kits will include the items listed on Form 520E.
  - ii) The Program Supervisor is responsible for assigning an individual to check and restock the supplies on a monthly basis.
- 4. <u>Sharps Disposal</u>: The Nurse will place syringes, needles and any other sharps in the red plastic sharps container in the staff office immediately after use. The Nurse will arrange for the proper disposal of the sharps container with a designated contractor.

## First Aid Kit Supplies

The first aid kit must include the items below and be checked monthly.

and has the following supplies:	
☐ Activated charcoal (check expiration date)	☐ Adhesive tape
☐ Antiseptic ointment/first aid cream	☐ Band-aids (assorted sizes)
☐ Blankets (disposable or other)	☐ Disposable breathing barriers for CPR
☐ Cold pack	☐ Disposable waterproof gloves
☐ Gauze pads and roller (assorted sizes)	☐ Hand cleaner
☐ Plastic bags	□ Scissors
☐ Small flashlight and extra batteries	☐ Thermometer
☐ Thermometer	☐ Triangular bandages
☐ Tweezers	☐ The first aid instructional manual
☐ Saline Solution	☐ Instant Ice Pac
☐ Antiseptic Soap	☐ 30 cc Syrup of Ipecac (check expiration date)
The following items need to be ordered:	
Other Comments:	
Review Completed by:	
Staff Name & Signature	Date

Gateway Homes, Inc					
Policy and Procedures					
Category: Health, Safety, Risk	<b>Reference</b> : 12VAC 35-105-530				
Management					
Title: Emergency Preparedness &	Number: 530				
Response/Continuity of Operations					
Issued: June 2004	Pages: 4				
Revised: June 2011; December 2013;	Attachments:				
April, 2014	Form 440.1 Emergency Practice and Procedures;				
1 /	Form 530 Employee Emergency Call List				
	Form 530.1 Major Resources for Evacuation				
	Form 530.6 Fire Safety Drill				
	Form 540B Emergency Preparedness Numbers				

- I. Purpose: The purpose of this policy is to establish procedures for maintaining continuity of operations by preparing for and responding to emergencies.
- II. Policy: Gateway will have a written emergency preparedness and response Plan to ensure the continuity of operations for each service location. All employees, volunteers, students, and contractors will participate in an initial orientation and an annual review of the plan. All employees are responsible for handling emergencies in accordance with this Plan and for engaging in practice exercises.

### III. General Guidance And Procedures:

- 1. <u>Coordination with Local Emergency Coordinator</u>: The Director of Administration will contact the local emergency coordinator for each service location to determine local disaster risks and community-wide emergency plans to address different disasters and emergency situations. Documentation of this contact will be maintained with the Plan.
- 2. <u>Annual Review</u>: The Director of Administration is responsible for reviewing the Plan on an annual basis, updating the plan, and ensuring employees, volunteers, students, and contractors are notified of any changes.
- 3. Analysis Of Capabilities & Potential Hazards:
  - i) Natural Disasters, Severe Weather, and Flooding ~ Gateway's management staff will respond to predictions of natural phenomenon by proactively reviewing staffing plans, building safety, and evacuation alternatives. When appropriate, the Executive Director, or designee, will institute the Plan prior to the predicted event in collaboration with the local emergency coordinator.

ii) Fire ~

- (a) Each public building and residential program will post an evacuation route for the site at each exit door and maintain a current listing of relevant emergency contact numbers.
- (b) A Fire Drill will be conducted on each shift on a monthly basis and documented on Form 530.6 Fire Safety Drill. A record of the completed Form will be maintained for three years in the Program Director's office.
- (c) Any staff member on duty identifying a fire is responsible for activating a central fire alarm, if one exists, evacuating individuals receiving services using the evacuation route, contacting the emergency response number, and if appropriate using a fire extinguisher to put out the fire.
- with a workplace free of violence and proactively taking all steps needed to maintain a violence free environment. Should violence or terrorism occur, the Executive Director, or designee will immediately notify the appropriate law enforcement personnel and work collaboratively with them to take whatever measures are needed to ensure the safety of all involved.
- iv) Missing Persons, Severe Injuries, and Other Emergencies ~ Employees will follow the procedures set forth in Policy 520 Risk Management.
- 4. <u>Coordination/Management Of Response Activities</u>: The Executive Director, and in his absence or unavailability, the Director of Administration, is responsible for managing, directing, and coordinating logistics and communications during the emergency to ensure the life safety of employees, volunteers, students, staff, contractors, and residents receiving services. The Executive Director, or designee, is responsible for property protection, community outreach, recovery, and restoration.

### 5. Emergency Procedures:

- i) *Identification Of Emergency*: All staff are responsible for proactively identifying and responding to emergency situations as they arise.
- ii) Notification and Initiation Of Plan: The Program Supervisor or senior staff member on duty is responsible for contacting the Executive Director, or designee to inform of the emergency and initiating the implementation of the Plan.
- iii) Communications: The Executive Director, or designee, will implement a process for informing all employees of the Plan and for coordinating this Plan with community responders. Human Resources will maintain a current listing of all employees work,

home, and cell phone numbers on Form 530 Employee Emergency Call List to facilitate the communications process.

- Notification To Individuals Receiving Services: The Executive Director, or designee, will implement a process for notifying all individuals receiving services of the Plan. In most situations, the direct care staff will be responsible for notifying individuals in 24 hour residential programs and case management staff will notify individuals in other service locations.
- v) Emergency Access To Secure Areas & Locked Doors: All staff providing direct care will maintain master keys at their work site which provide access to all areas of the buildings and open all locked doors.
- vi) Evacuations And Relocations Of Individuals In Residential Programs: The objective for evacuations and relocations is to provide for individual safety in the least disruptive manner possible.
  - (a) Evacuation/Relocation On Campus: In keeping with this objective, individuals will be relocated to another building on Gateway's main campus, such as the Activity Center or Assessment Center I whenever possible. This includes assisting individuals with packing a minimum amount of clothing, medications, bedding, and mattresses to be moved to the main campus.
  - (b) Evacuation/Relocation To Another Facility: If individuals are not able to be relocated on the main campus, the back-up plan is to relocate residents into another congregate care facility as identified on Form 530.1 Major Resources for Evacuation.
- vii) Notifying Family Members and Legal Guardians: The Executive Director, or designee, will implement a process for notifying family members and legal guardians of the Plan. In most situations, the responsible case manager will notify family members and legal guardians.
- viii) Alerting Emergency Personnel: In most situations, the staff member responding to the emergency will make the initial notification to the emergency personnel. Once the Executive Director, or designee, has assumed oversight responsibility for the emergency, he or she will coordinate the response with emergency personnel.
- ix) Locating And Shutting Off Utilities: The Executive Director, or designee, is responsible for locating and shutting off utilities.

x) Supporting Documents:

(a) Form 530 Employee Emergency Call list will be maintained by the Program Supervisor and maintained as an attachment to this policy.

(b) Building and Site Maps will be maintained in the Administration office.

Emergency Preparedness And Response Plan Page 3 of 4

- (c) Form 530.1 List of Major Resources will be maintained as an attachment to this policy and include emergency shelters and contact information.
- xi) Schedule For Implementing Plan And Conducting Drills: All employees, volunteers, students, and contractors will participate in an initial orientation and quarterly review of the Plan including a practice exercise of handing resident emergencies in the manner set forth in Policy 440 Orientation, Training, Retraining, and Development.
- xii) Report Of Disaster, Fire, Or Emergency Conditions: After the disaster or emergency is stabilized, the Executive Director, or designee will report the disaster or emergency to the Office of Licensing not later than 72 hours after the incident occurred.

## PRACTICE EXERCISE FOR RESIDENT EMERGENCIES

	rgencies including identifying the staff person responsible for (i) resident's physician, or Poison Control Center, and (ii) providing
Procedures for handling a resident wit violation of the conditions of the Plan.	th a Special Management Plan who is absent from the facility in
Procedures for handling mental health the need for a temporary detention order.	n emergencies such as, but not limited to, catastrophic reaction or
	cal information and history available to the rescue squad and tion on medications and any advance directives.
	t that a resident is missing, including but not limited to (i) enforcement agency, and others as needed; (ii) areas to be resident; and (iv) documentation of the event.
Procedures for notifying the resident's responsible social agency.	family, legal representative, designated contact person, and any
EMERGENCY PREPAREDN	IESS & RESPONSE PLAN PROCEDURES
<ol> <li>Alerting emergency personnel and sour</li> <li>Implementing evacuation procedures, i</li> <li>Using, maintaining, and operating eme</li> <li>Accessing emergency medical information</li> <li>Utilizing community support services.</li> </ol>	including individuals with special needs ergency equipment
• •	resident emergencies checked above and have also reviewed as and Response Plan described in the preceding paragraph.
Staff Signature	Date
Supervisory Signature	Date

## Employee Emergency Call List

Last Name	First Name	Gateway Phone	Cell Phone	Home Phone	Other Numbers
Assessment	Center	504-5136		A STATE OF THE STA	
Gateway Fax		1-888-642-0930			
Dr. Yaratha	Pager>	804-861-7469			
		500.44.54	F2C 2CCC	862-4032	
Bailey	Eddie	590-1164	536-3666		
Bonner	Ben	712-4001	721-2896	732-4507	
Bowles	Mike	614-2376		271-0821	
Bowles	Molly	712-4133	720-7833	the state of the s	FAX 1-888-642-0930
Branch	Ronald		712-2080	712-2080	
Brooks	Leon		720-3897	732-8372	524-7864-CSH
Brown	Lori	804-868-5221	868-5221		
Chapman	Lisa	712-3778	536-4574	530-8615	
Fussell	James	539-3317		262-1412	
Hewett	Lenaye	490-6714	721-3202	732-5084	
Howerton	Nakita	90-1164 or 590-1125	931-2303	732-1703	
Hunt	Royal	712-3774	943-2110		
Hyatt	Lynda	490-6658	767-0292	804-829-9843	
Kennedy	Lois	720-2683	920-2565	378-0709	
ewis	David	347-0109	347-0109	798-3106	
Parrish	Heather	490-6710	647-3317		
Sperry	Liz	481-1804	357-0345		
Stiltoner	Melissa	712-4058	715-2802		
Vaughan	Kelisa		731-6280	478-6043	
Walker	Leonard		721-9384	520-2045	
Williams	Richard		920-3079		
Wilson	Jenine	704-1053	306-9432		
Wilson-Hill	Joan		661-0484	834-9998	
	William Control of the Control of th				

# **Major Resources For Evacuation**

Facility	Description	<b>Contact Persons</b>	Contact Info
Children's Home for	Has two vacant 15 plus bed	Dr. Jean Cobbs	(804) 590-2080
Virginia Baptists	group homes that are fully		
	furnished and ready for	•	
	occupancy. The facility is		
	located on Hickory Road in		
	Chesterfield.		
Virginia Boys and	Has one vacant 14 bed Claiborne Mason (		(804) 270-6566
Girls Home	shelter that is fully		
	furnished and ready for		
	occupancy. The facility is		
	located on Gaskins Road in		
	Richmond.		
Central State Hospital	Has multiple large areas	Vicki Montgomery	(804) 524-7000
	capable of housing two to		
	three dozen individuals who		
	supply their own mattresses		
	and bedding. The facility is		
	located in Petersburg.		
CARITAS	Has a large array of shelter	Karen Stanley	(804) 358-0964
	opportunities provided by		
	faith-based community in		
	the Richmond area.		

## Fire Safety & Evacuation Drill Log

Date: Shift: Start Time	ne: Staff Conducting Drill:
Staff Participating:	Drill Announced by: voice alarm other
Number of Clients:	Finish Time: Total Time:
Census Count: out of on cen	sus Special Conditions/Problems/Weather:
Staff Signature Date	
Date: Shift: Start Tim	e: Staff Conducting Drill:
Staff Participating:	Drill Announced by: voice alarm other
Number of Clients:	Finish Time: Total Time:
ensus Count: out of on cens	sus Special Conditions/Problems/Weather:
Staff Signature Date	
Date: Shift: Start Time	e: Staff Conducting Drill:
Staff Participating:	Drill Announced by: voice alarm other
Number of Clients:	Finish Time: Total Time:
Census Count: out of on cens	Special Conditions/Problems/Weather:
Staff Signature Date	

# **Emergency Preparedness Numbers**

Fire: 911 or (804) 748-1360

Police: 911 or non-emergency at (804) 748-1251

Poison Control: 1-800-222-1222

## **Nearest Hospitals:**

Southside Regional- 765-5000; Poplar Springs- 733-6874; Bon Secours St. Mary's Hospital- 285-2011; Tucker's Pavilion Intake- 323-8846; CJW Medical Center- 320-3911; John Randolph Medical Center- 541-1600; Henrico Doctor's Hospital- Parham- 747-5600; Bon Secours Richmond Community- 225-1700; Bon Secours St. Francis- 594-7300

Ambulance Service: Non-emergency- 748-1251

Rescue Squad: 911 or 748-1360

## Administrators' Cell Phones:

Executive and Clinical Director: Lynda Hyatt (804) 767-0292 Eddie Bailey (804) 536-3666 Molly Bowles (804) 712-4133 Melissa Stiltoner (804) 712-4058

Gateway Homes, Inc			
Policy and Procedures			
Category: Health, Safety, And Risk Management	Reference: Virginia Code Ann. §46.2-472 Fair Credit Reporting Act 15 U.S.C. §1681 et. seq.		
Title: Use Of Company And Personal Vehicles	Number: 08		
Issued: July 2005	Pages: 3		
Revised: June 2011; December 2013	Attachments: Form 08 Employee Driver Agreement And Consent Form		

I. Purpose: The purpose of this policy is to establish procedures for using company and personal vehicles while conducting Gateway business.

II. Policy:

Gateway will review employees' Motor Vehicle Driving Records when determining employee eligibility to operate a vehicle while conducting company business. Gateway vehicles may only be used by approved Gateway employees for authorized business purposes. Gateway's insurance covers liabilities incurred by approved drivers while operating Gateway vehicles for authorized purposes.

However, Gateway's insurance does not provide liability coverage for employees who use their own vehicles while conducting company business. Therefore, employees who use their personal vehicles to conduct company business will be responsible for any liabilities incurred while operating their vehicle. An employee who chooses to transport Gateway residents in their own vehicle must maintain the minimum automobile liability insurance required by this policy.

#### III. Definitions:

Minimum Limits For Personal Automobile Liability Insurance: The minimum limits for automobile liability insurance are established by Virginia Code section 46.2-472 and are subject to a limit, exclusive of interests and costs, of \$25,000 because of bodily injury to or death of one person in any one accident, and subject to the limit for one person, to a limit of \$50,000 because of because of bodily injury to or death of two or more persons in any one accident, and to a limit of \$20,000 because of injury to or destruction of property of others in any one accident.

**Type A Violations** include but are not limited to such things as: DWI/DUI with drugs or alcohol; refusing to take a substance test; driving with an open container of alcohol; manslaughter using a vehicle; driving while license is suspended or revoked; operating a motor vehicle for the commission of a felony; aggravated assault with a motor vehicle; permitting an unlicensed person to drive; reckless driving; fleeing or evading police or roadblock; hit and run; failure to report an accident; and illegal passing of a school bus.

**Type B Violations** include but are not limited to such moving traffic violations as: speeding; improper lane change; failure to yield; failure to obey traffic signal or sign; careless driving; and at fault accidents.

## IV. Specific Guidance And Procedures:

a. General Requirements

- i. Gateway will request an employee's Motor Vehicle Records at the beginning of employment and yearly thereafter in order to review an employee's continued eligibility to operate company and/or personal vehicles while conducting company business and for continued employment.
- ii. Employees will authorize the Department of Motor Vehicles to provide Gateway with a copy of their Motor Vehicle Record by completing the appropriate form provided by Gateway's Human Resource Department.
- iii. Gateway vehicles are available to transport Gateway residents. Employees who choose to transport Gateway residents in their own vehicle must provide Gateway with a copy of their automobile liability insurance at the time of hire and annually thereafter during regularly scheduled performance evaluations.
- iv. Employees will notify their immediate supervisor if any of the following should occur:
  - 1. Receipt of any moving violations resulting in demerit points given by the DMV; Type A or B violation; Suspension of Driver's License for any reason;
  - 2. Involvement in a vehicle accident while conducting company business; and
  - 3. Lack of required minimum personal automobile liability insurance coverage (for employees who transport Gateway residents in their own vehicles).

# b. Authorization To Operate Company and Personal Vehicles For Company Business: The Director of Administration will:

- i. Review each employee's Motor Vehicle Record for eligibility to operate a vehicle while conducting company business at the time of hire, for cause, and annually at the time of performance evaluation;
- ii. In the determination of an employee's eligibility to safely operate a vehicle while conducting agency business, review the number and type of violations, and the employee's overall performance; to be determined as follows:
  - 1. At -1 the employee will be given a written warning about their driving history and the need to improve.

- 2. At -3 the employee will be asked to attend driving improvement class, put on probation, and not allowed to drive residents in company vehicles.
- 3. At a score of -5 the employee may be terminated for stated score.
- iii. Authorize eligible employees to operate company and personal vehicles for company business.
- c. Use Of Company Vehicles: Gateway vehicles will only be used by authorized Gateway employees for bona fide business purposes. Non-employees and Gateway residents are prohibited from driving Gateway's vehicles. Employees who have been authorized to use company vehicles while conducting company business will:
  - i. Maintain their Driver's License on their person at all times while operating the company vehicle;
  - ii. Use seat belts/restraints at all times and request that all passengers use the seat belts/restraints;
  - iii. Comply with all company policies and state and federal laws while operating the vehicle;
  - iv. Maintain the security of the company vehicle;
  - v. Conduct company business in a professional manner consistent with Gateway's mission and values;
  - vi. Complete and sign the Vehicle Record when they have completed their use of the company vehicle; and
  - vii. Inform their supervisor immediately if they are involved in an accident or receive a traffic ticket.
- d. Use Of Personal Vehicles: Gateway employees who choose to transport residents in their personal vehicles must maintain the minimum personal automobile liability insurance coverage. Employees who use their personal vehicles will:
  - i. Maintain their Driver's License on their person at all times while operating the company vehicle;
  - ii. Use seat belts/restraints at all times and request that all passengers use the seat belts/restraints;
  - iii. Comply with all company policies and state and federal laws while operating the vehicle;
  - iv. Conduct company business in a professional manner consistent with Gateway's mission and values; and
  - v. Inform their supervisor immediately if they are involved in an accident.

## Employee Driver Agreement And Consent Form

I hereby acknowledge that I have been provided with a copy of Policy *GH 08* entitled *The Use Of Company and Personal Vehicles*. I have also been given the opportunity to ask any questions I have regarding this policy.

In accordance with the Fair Credit Reporting Act, I have, I have been informed that Gateway will request my Motor Vehicle Records periodically as part of Gateway's process to review my eligibility to operate a vehicle while conducting agency business.

I hereby consent to the disclosure of my Motor Vehicle Record and authorize Gateway's and/or its designated agent, to obtain a Motor Vehicle Record report. This authorization is valid as long as I am an employee of Gateway and may only be rescinded in writing.

Date

cc: Employee's File

Reviewer's Signature

Gat	eway Homes, Inc	
Polic	ey and Procedures	
Category: Human Resources	<b>Reference</b> : 12VAC 35-105-400	
Title: Background Checks	Number: 400	
Issued: June 2004	Pages:1	
Revised: June 2011; April, 2014	Attachments: Fingerprint Card	
110/18001 0322 2123) 1	Barrier Crimes list	

- I. Purpose: The purpose of this policy is establish procedures for conducting background checks on all employees, contractors, students, and volunteers.
- **II. Policy:** Gateway Homes will conduct background checks on all employees, contractors, students, and volunteers.

- 1. <u>Criminal History & Registry Checks:</u> Prior to beginning employment, volunteering, or an academic placement, Gateway will require such individuals to provide written consent and the personal information necessary to:
  - obtain a search of the registry of founded complaints of child abuse and neglect maintained by the Department of Social Services; and
  - ii) complete a background check conducted by the DBHDS.
- Submission of Requests: Gateway will submit requests for background checks to the appropriate state departments within 15 working days of employment, volunteering, or academic placement.
- 3. <u>Records Of Background Checks:</u> Gateway will maintain in the record of the employee, contractor, student, or volunteer:
  - i) a disclosure statement concerning whether the individual has ever been convicted of, or is the subject of, pending charges for any offense; and
  - documentation that Gateway submitted all of the information required by the DBHDS to complete the background and registry checks as well as the memoranda from the DBHDS transmitting the results to the provider.

#### SCREENABLE CRIMES FOR DBHDS DIRECT CONSUMER CARE PROVIDERS (BARRIER CRIMES)

## Code of Virginia § 37.2-416

The following offenses fall within the screening criteria and would result in a "Not Eligible" letter if an applicant was convicted of one or more.

OFFENSE	CODE SECTION
Abduction with Intent to Extort Money or for Immoral Purpose	18.2-48
Abduction (Kidnapping)	18.2-47 A & B
Abuse and Neglect of Children	18.2-371.1
Abuse and Neglect of Incapacitated Adults	18.2-369
Adulteration of Food, Drink, Drugs, Cosmetics, etc.	18.2-54.2
Aggravated Malicious Wounding	18.2-51.2
Aggressive Use of a Machine Gun	18.2-290
<b>Assault and Battery</b> (Exception: May hire individual convicted of not more than one misdemeanor offense if 10 years have elapsed following the conviction, unless the person committed such offense in the scope of employment in a direct consumer care position.)	18.2-57
Assault and Battery Against a Family or Household Member (Exception: May hire individual convicted of not more than one misdemeanor offense if 10 years have elapsed following the conviction, unless the person committed such offense in the scope of employment in a direct consumer care position.)	18.2-57.2
Assault and Battery Against Law Enforcement (Pertains to convictions prior to 1997 when law was repealed)	18.2-57.1
Attempted Aggravated Sexual Battery	18.2-67.5
Attempted Forcible Sodomy	18.2-67.5
Attempted Object Sexual Penetration	18.2-67.5
Attempted Rape	18.2-67.5
Attempted Sexual Battery	18.2-67.5
Attempts to Poison	18.2-54.1
Bodily Injuries Caused by Prisoners, Probationers, or Parolees	18.2-55
Breaking and Entering Dwelling House with Intent to Commit Other Misdemeanor	18.2-92
Burglary	18.2-89
Burning Building or Structure While in such Building or Structure with Intent to Commit Felony	18.2-82
Burning or Destroying any Other Building or Structure	18.2-80
Burning or Destroying Dwelling House, etc.	18.2-77
Burning or Destroying Meeting House, etc.	18.2-79
Burning or Destroying Personal Property, Standing Grain, etc.	18.2-81
Carelessly Damaging Property by Fire	18.2-88
Carjacking	18.2-58.1

OFFENSE	CODE SECTION
Carnal Knowledge of Certain Minor	18.2-64.1
Carnal Knowledge of Child Between 13 and 15	18.2-63
Carnal Knowledge of Inmate, Parolee, Probationer and Pretrial or Post trial Offender	18.2-64.2
Causing, Inciting, etc. Threats to Bomb or Damage Buildings or Means of Transportation; False Information as to Danger to such Buildings, etc.	18.2-84
Certain Premises Deemed Common Nuisance	18.2-258
Crimes Against Nature Involving Children	18.2-361
Delivery of Drugs to Prisoners	18.2-474.1
Disarming a law-enforcement or correctional officer	18.2-57.02
Distribution of Certain Drugs to Persons Under 18	18.2-255
Drive-By Shooting	18.2-286.1
Drug Attempts (Felony convictions)	18.2-257
Drug Conspiracy (Felony convictions)	18.2-256
Electronic Facilitation of Pornography	18.2-374.3
Employing or Permitting Minor to Assist in Obscenity and Related Offenses	18.2-379
Entering Bank, Armed, with Intent to Commit Larceny	18.2-93
Enter Dwelling House, etc. with Intent to Commit Larceny, Assault and Battery or Other Felony	18.2-91
Enter Dwelling House, etc. with Intent to Commit Murder, Rape, Robbery or Arson	18.2-90
Escape from Jail	18.2-477
Extortion by Threat	18.2-59
Failing to Secure Medial Attention for Injured Child	18.2-314
Felonies by Prisoner	53.1-203
Firearms – Allowing Access by Children	18.2-56.2
Hazing	18.2-56
Homicide	18.2-33
Incest	18.2-33
Involuntary Manslaughter	18.2-36
Maiming, etc. of Another Resulting from Driving While Intoxicated	18.2-51.4
Maiming, etc. of Another Resulting from Operating a Watercraft While Intoxicated	18.2-51.5
Maintaining a Fortified Drug House (Felony convictions)	18.2-258.02
Malicious Bodily Injury by Means of any Caustic Substance or Agent or Use of any Explosive	18.2-52
Malicious Bodily Injury to Law Enforcement Officers	18.2-51.1
Malicious Wounding by Mob	18.2-41
Manufacture, Possession, Use, etc. of Fire Bombs or Explosive Materials or Devices	18.2-85
Manufacturing, Selling, Giving, or Distributing a Controlled Substance or an Imitation Controlled Substance (Felony convictions)	18.2-248
Manufacturing, Selling, Giving, or Distributing or Possessing with Intent to Manufacture, Sell, Give, or Distribute Methamphetamine (Felony convictions)	18.2-248.03

OFFENSE	CODE SECTION
Money Laundering (Pertains to convictions prior to 1999, when law was repealed)	18.2-248.7
Murder, Capital	18.2-31
Murder, First and Second Degree	18.2-32
Murder of a Pregnant Woman	18.2-32.1
Obscenity Offenses	18.2-374.1
Obtaining Drugs, Procuring Administration of Controlled Substances, etc., by Fraud, Deceit or Forgery (Felony)	18.2-258.1
Pandering	18.2-355
Pointing Laser at Law Enforcement	18.2-57.01
Possession and Distribution of Flunitrazepam	18.2-251.2
Possession and Distribution of Gamma-Butyrolactone or 1, 4 – Butanediol	18.2-251.3
Possession and Distribution of Illegal Stimulants and Steroids	18.2-248.5
Possession of Burglarious Tools, etc.	18.2-94
Possession of Child Pornography	18.2-374.1:1
Possession of Drugs (Felony) and Continue on Probation or Parole or Have Failed to Pay Required Court Costs	18.2-248/250
Possession of Drugs (Felony) in the Five Years Prior to Application Date	18.2-248/250
Possession of Infectious Biological Substances	18.2-52.1
Possession or Use of a Sawed-off Shotgun in a Crime of Violence	18.2-300 A
Production, Publication, Sale, Possession with Intent to Distribute, Financing, etc. of Sexually Explicit Items Involving Children	18.2-374.1
Rape	18.2-61
Reckless Endangerment	18.2-51.3
Reckless Handling of Firearms; Reckless Handling While Hunting	18.2-56.1
Robbery	18.2-58
Sale of Drugs on or near Certain Properties	18.2-255.2
Setting Fire to Woods, Fences, Grass, etc.	18.2-86
Setting off Chemical Bombs Capable of Producing Smoke	18.2-87.1
Setting Woods, etc. on Fire Intentionally Whereby Another is Damaged or Jeopardized	18.2-87
Sexual Abuse of a Child between 13 and 15 yrs old	18.2-67.4:2
Sexual Battery	18.2-67.4
Sexual Battery – Aggravated	18.2-67.3
Sexual Battery – Infected	18.2-67.4:1
Sexual Penetration – Object	18.2-67.2
Shooting, etc. in Committing or Attempting a Felony	18.2-53
Shooting, Stabbing, etc. with Intent to Maim, Kill, etc.	18.2-51
Sodomy – Forcible	18.2-67.1
Stalking (Felony)	18.2-60.3
Taking, Detaining, etc. Person for Prostitution etc. or Consenting Thereto	18.2-355

OFFENSE	
Taking Indecent Liberties with Child by Person in Custodial or Supervisory Relationship	18.2-370.1
Taking Indecent Liberties with Children	18.2-370
Threats of Death or Bodily Injury	18.2-60
Threats to Bomb or Damage Buildings or Means of Transportation; False Information as to Danger to Such Buildings, etc.	18.2-83
Transporting Controlled Substances into the Commonwealth	18.2-248.01
Use of a Machine Gun in a Crime of Violence	18.2-289
Use or Display of Firearm in Committing a Felony	18.2-53.1
Voluntary Manslaughter	18.2-35

If you need help to determine if an offense is considered screenable, you may contact DBHDS' Background Investigations Unit at (804) 786-6384 or (804) 786-6326.

Gateway Homes, Inc		
Policy and Procedures		
Category: Human Resources	<b>Reference</b> : 12VAC 35-105-410, 420	
Title: Job Descriptions & Qualifications	Number: 410	
Issued: June 2004	Pages:1	
Revised: June 2011; December 2013;	Attachments:	
April, 2014	Form 410 Direct Care Job Description	
	Form 410.1 Job Description-Generic	
	Form 410.2 Reference Check/Employment	
	Verification	
·	Form 410.3 Supervision	

- I. Purpose: The purpose of this policy is to establish procedures for job descriptions.
- **II. Policy:** Gateway Homes will provide each employee and contractor with a written job description.

- 1. Gateway will provide each employee and contractor with a written job description prior at the time of hire.
- 2. The job description will include:
  - i) Job title;
  - ii) Duties and responsibilities required by the position;
  - iii) Job title of the immediate supervisor;
  - iv) Minimum knowledge, skills, and abilities; and
  - v) Experience or professional qualifications required for entry level.
- 3. The Human Resources office is responsible for changing an employee's job description when there is a change in duties or responsibilities.
- 4. The Human Resources office, or designated supervisor is responsible for making a reasonable effort to verify credentials and contact references. The Human Resources office will use Form 410.2 Reference Checks / Employment Verification to document these efforts.

# Gateway Homes, Inc. Direct Care Job Description

Job Title:	
Program/Department:	
Supervisor:	Title:
Date:	

#### **Position Summary**:

This position is responsible for providing direct care to individuals with serious mental illness in a residential setting.

#### **Duties and Responsibilities:**

•

• Keep current with all mandatory training requirements including CPR, First Aid, TOVA, and

#### Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of simple nursing care, first-aid, behavioral management, personal and environmental hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- Ability to engage in the care, training, and rehabilitation of seriously mentally ill clients
- Ability to provide basic personal care and hygiene
- Ability to perform established training, care, and programmatic activities
- Ability to teach clients eating, bathing, dressing, grooming, and other self-care skills
- Ability to participate with professional staff I the design and implementation of training and programmatic activities
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' behavior, attitude, and physical condition
- Ability to perform simple math and communicate effectively, both orally and in writing
- Ability to maintain effective working relationships with clients and other employees

#### Required Experience or professional qualifications:

- Minimum Qualifications: Education equivalent to graduation from high school and at least 21 years of age
- Experience: One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.

I have received and reviewed a copy of n	at Gateway	
Homes.		
Employee's Signature	Date	

# Gateway Homes, Inc. Job Description

Job Title: Program/Department: Supervisor: Date:	
Position Summary:	
<ul> <li>Duties and Responsibilities:</li> <li>Keep current with all mandatory training requirements including CPR, First Ai TOVA,</li> </ul>	d,
Minimum Knowledge, Skills, And Abilities:	
Required Experience or professional qualifications:	
I have received and reviewed a copy of my job description for a at Gateway Home	s.
Employee's Signature Date	

## Reference Checks And Employment Verification

Employee's Name.		
Name of Contact:		
Title or Relationship to Employee:		
Company/Organization:		
Summary of Conversation:		
		•
Name of Contact:		
Title or Relationship to Employee:		
Company/Organization:		
Summary of Conversation:		
	-	
Name of Contact:		
Title or Relationship to Employee:		
Company/Organization:		
Summary of Conversation:		
2	D.4	
Supervisor's Name & Signature	Date	

## Gateway Homes, Inc.

## **Tracking Sheet for Supervision Hours**

Supervisor's Marrie:			
Date:			
Employee's Name:			
Time Spent with Employee:			
Topic/Notes/Comments:			
			· ,
Supervisor's Signature and Date	-	Employee's Signatu	re and Date

Gateway Homes, Inc				
Policy and Procedures				
Category: Human Resources	<b>Reference</b> : 12VAC 35-105-440, 450, 460,470			
Title: Orientation, Training, Retraining, Number: 440				
& Staff Development				
Issued: June 2004 Pages: 2				
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 440 Orientation & Retraining			
1	Form 440.1 Emergency Practice and Procedures			

- **I. Purpose:** The purpose of this policy is to establish procedures for orienting new employees, contractors, volunteers, and students.
- II. Policy: Gateway Homes will provide orientation to all new employees, contractors, volunteers, and students and ensure such individuals receive ongoing training and development to enable them to perform the responsibilities of their job.

- 1. <u>Orientation</u>: All new employees, contractors, volunteers and students will be oriented commensurate with their function or job specific responsibilities within 15 business days. The Orientation will include:
  - i) Gateway's objectives and philosophy;
  - ii) Practices of confidentiality including access, duplication, and dissemination of any part of an individual's record;
  - iii) Practices that assure an individual's rights including orientation to human rights regulations;
  - iv) Applicable personnel policies including the grievance process;
  - v) Emergency preparedness procedures;
  - vi) Infection control practices and measures; and
  - vii) Other policies and procedures that apply to specific positions, duties, and responsibilities.
- 2. <u>Mandatory Training Requirements</u>: Mandatory training requirements will be listed on each employees job description and are a condition of continued employment with Gateway.
  - i) All employees, contractors, volunteers, and students will receive annual retraining in all of the areas listed in the section on Orientation, including Emergency Preparedness and Human Rights.
  - ii) Every six months employees will engage in a practice exercise for managing resident emergencies and document the practice on Form 440.1 Emergency Practice.

- iii) All employees will receive an initial training and annual retraining in Therapeutic Options of Virginia (TOVA).
- iv) All employees will receive an initial training and an annual retraining in CPR and First Aid.
- v) All direct care employees responsible for medication administration will receive the training necessary to receive and maintain registration as a medication aide in accordance with §54.1-3408 et seq. of the Code of Virginia, as amended.

#### 3. Scheduling and Tracking Training:

- i) The Logistics Manager will track all training and notify each supervisor of the need for retraining.
- ii) Each supervisor is responsible for ensuring his/her supervisees receive all required training in a timely manner.
- 4. <u>Policy Changes</u>: Employees will be notified of policy changes that affect performance of duties by receiving a copy of the policy and having an opportunity to review the policy with their supervisor.
- 5. <u>Employee Development</u>: Gateway is committed to supporting the professional development of its workforce. All employees are required to establish goals for professional growth and development. These goals will be included in the employee's performance plan and progress toward such goals are a measure of each employee's performance.
- 6. <u>Record of Training</u>: A record of all orientation, training, retraining, registration, and certification will be maintained in the personnel file.

# Orientation & Retraining Checklist For Employees, Contractors, Volunteers, & Students

Employee Name:	
Objective and philosophy of Gateway	Homes
Practices of confidentiality, including a	access, duplication, and dissemination of resident's information
Practices to assure resident's rights	
Emergency Preparedness Procedures	
Infection control practices and measur	es
Monitoring Nutrition	
Risk Management Procedures	
Reporting Work Related Injuries	
Whistleblower Policy	
Document Retention and Destruction P	olicy
Code of Ethics Policy	
Use of Company and Personal Vehicle	es .
Organizational Structure	
Job Duties and Responsibilities	
Location of Gateway's Personnel Police	ies
	y, I hereby acknowledge that I have reviewed this been provided with the opportunity to ask questions and d I wish to review them in greater detail.
Employee's Signature	Date
Supervisor's Signature	Date

## **Orientation Handouts**

## **Objective & Philosophy**

**Mission** Gateway provides a transitional residential treatment program for adults with mental illness who are striving for independence.

Vision (what we strive to achieve) The vision of Gateway Homes is to make recovery a reality for adults with mental illness.

#### Values (how we do what we do):

Diversity

Creativity

Compassion	Treating individuals with serious mental illness requires specialized and compassionate
	care. Gateway is strongly committed to providing continuing professional development for
	staff to enhance their expertise in mental health and program effectiveness.

Integrity	As a mission-driven organization, integrity is of utmost importance in every aspect of
	Gateway Homes – from administration to clinical services to community collaboration.
	We insist on accountability in every decision we make.

Respect Gateway honors the choices of people with disabilities, encouraging each individual to take control of his/her life. We respect the role that individuals and families have in shaping these choices. Self-determination, culturally competent services, and expertise-based advocacy establish the cornerstone of Gateway's individualized treatment programs.

Collaboration Collaboration is a critical component of Gateway's success. We benefit our community by sharing our expertise with others. We leverage our impact through relationships with local universities and other human service agencies. Our donors are integral partners in our mission to make recovery a reality for persons with mental illness.

The inclusion of multiple perspectives, diverse cultures and communities, and relevant stakeholders is the foundation for our culturally competent services which enriches every aspect of our organization. Gateway welcomes and respects a diversity of experiences, ideas, talents and choices.

Gateway recognizes that successful treatment of serious mental illness requires a thoughtful and person-centered approach to every situation. We encourage staff, residents, families and community partners to bring forth creative options for consideration.

Transparency Gateway values transparency in all aspects of its business and programmatic practices. Strong board oversight ensures fiduciary responsibility. Our actions demonstrate honesty and openness.

## Confidentiality

- 1) Keep all resident information confidential unless:
  - a) You have written permission to share the information;
  - b) You have verbal permission and documented this permission in the chart;
  - c) You are coordinating treatment and discharge services; or
  - d) The law or a court order allows you to disclose information.
- 2) Medical records must be kept in a secure area, may not be taken home, and must be returned to the Assessment Center before you leave work.
- 3) You may not share your password for the electronic services record with any other individual.

## **Human Rights**

- 1) You must immediately report any suspected allegation of abuse, neglect, or exploitation to the Executive Director immediately by calling his cell phone at (804) 896-1445. Telling your supervisor is not enough and it is not the staff member's job to determine whether or not abuse occurred.
- 2) All resident must receive a copy of DSS and DBHDS rights at the time of admission. Residents must also be given a copy of their DBHDS annually in January.
- 3) A copy of DSS and DBHDS rights are posted on the bulletin board at the Assessment Center.
- 4) Each member of Gateway's clinical and administrative team is responsible for treating each resident with dignity and respect and ensuring each individual is accorded their full rights.
  - a) All Staff are responsible for promptly responding to residents' concerns and attempting to resolve them in a timely manner. If a resident expresses dissatisfaction with the staff member's response, the staff will provide the resident with a Complaint Resolution form and tell the resident to give the completed form to the Clinical Director.
  - b) Abuse includes calling a resident names such as "lazy", "stupid", or other words that make them feel bad.
  - c) *Exploitation* includes taking a gift from a resident if the resident feels obligated to give the gift or expects certain favors or treatment in return for the gift.
  - d) Neglect includes failure to intervene when one resident is taking advantage of or hitting another resident.

## **Emergency Preparedness Plan**

- 1) Emergency Management Procedures include the following:
  - a) Orientation for staff and volunteers will include a review of Gateway's Emergency Management Plan.
  - b) This Plan will also be reviewed with staff, volunteers, and residents on a quarterly basis.
  - **c)** All staff are responsible for handling emergencies in accordance with this Plan and for engaging in practice exercises.

## Risk Management

- 1) Each member of Gateway's clinical and administrative team responsible for the ensuring the safety of our residents through proactive identification of risks, managing risks as they occur, and documenting the management of those risks. The policy requires that staff
  - a) Report Significant Events on the shift report so all staff are aware; and
  - b) Complete a Serious Incident Report before you leave for the day for any serious incident.
  - c) Please review the policy for any questions about what constitutes a Serious Incident.

## **Infection Control**

Infection Control Procedures require the practice Universal Precautions in very situation.

L) There are First Aid Kits in every office and in each vehicle.

## **Monitoring Nutrition**

- 3) Direct care staff must document food consumption, monitor eating habits, complete the nutrition form daily, and weigh residents monthly.
- 4) All staff must be aware of nutritional needs on ISP and document as needed.
- 5) All staff must be aware of physical and mental symptoms that are nutritionally related such as confusion, dizziness, low blood sugar, lethargy, and etc.

## **Reporting Work Related Injuries**

- 1) You must report all work related injuries immediately before leaving work by doing the following
  - a) Completing a Serious Incident Report
  - b) Notifying your supervisor in person or by telephone
  - c) Calling 1-800-425-3222 to report the injury as required by law; and
  - d) Calling 1-888-663-4339 to arrange for medical care, if needed

#### **Document Retention and Destruction Policy**

- 1) The policy requires an employee to
  - a) Notify the Executive Director of any pending lawsuit or audit
  - b) Create and store all organizational documents and medical records in accordance with Gateway's policies; and
  - c) Refrain for destroying any document unless explicitly authorized by Gateway's policy.

## **Code Of Ethics Policy**

- 1) All staff, board members, and volunteers of Gateway are expected to act with honesty, integrity, and opennes in all their dealings as representatives of the organization.
- 2) The organization promotes a working environment that values diversity, respect, fairness, and integrity.
- 3) Gateway's reputation for integrity and excellence requires the careful observance of all applicable laws and regulations, as well as a scrupulous regard for personal integrity and the highest standards of professional, legal, and ethical conduct.
- 4) Gateway regularly reviews program effectiveness and has mechanisms to incorporate lessons learned into future programs.

## Whistleblower Policy

- 1) Staff, board members, consultants, and volunteers should report suspected illegal, fraudulent, unethical, or dishonest conduct (i.e., to act as "whistleblower") to their supervisor, Executive Director, or Board President.
- 2) Gateway will investigate any suspected illegal, fraudulent, unethical, or dishonest conduct by staff, board members, consultants, or volunteers.

## **Use Of Company and Personal Vehicles Policy**

- 1) Gateway will review employees' Motor Vehicle Driving Records when determining employee eligibility to operate a vehicle while conducting company business.
- Gateway vehicles may only be used by approved Gateway employees for authorized business purposes.
   Gateway's insurance covers liabilities incurred by approved drivers while operating Gateway vehicles for authorized purposes.
- 3) Gateway's insurance does not provide liability coverage for employees who use their own vehicles while conducting company business. Therefore, employees who use their personal vehicles to conduct company business will be responsible for any liabilities incurred while operating their vehicle. An employee who

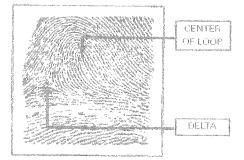
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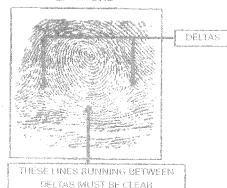
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chooses to transport Gateway residents in their own vehicle must maintain the minimum automobile liability insurance required by this policy.

 $Organizational\ Structure \sim {\tt Please\ see\ Attachment}$ 

Job Duties and Responsibilities ~ Please see Attachment

**Personnel Policies** ~ are kept in the Main Staff Office/Nursing Station, Program Supervisor's Office, the Clinical Director's Office, the Logistics Manager's Office, and in the Administrative Office

# PRACTICE EXERCISE FOR RESIDENT EMERGENCIES

calling th		nding identifying the staff person responsible for (i) vsician, or Poison Control Center, and (ii) providing
	rocedures for handling a resident with a Special N of the conditions of the Plan.	Management Plan who is absent from the facility in
	rocedures for handling mental health emergencies for a temporary detention order.	s such as, but not limited to, catastrophic reaction or
	rocedures for making pertinent medical information including but not limited to information on medic	
involvem	rocedures to be followed in the event that a reside ent of facility staff, appropriate law-enforcement (iii) expectations upon locating the resident; and	agency, and others as needed; (ii) areas to be
	rocedures for notifying the resident's family, legal le social agency.	representative, designated contact person, and any
EME	RGENCY PREPAREDNESS & I	RESPONSE PLAN PROCEDURES
<ol> <li>Im</li> <li>Us</li> <li>Ac</li> </ol>	erting emergency personnel and sounding alarms aplementing evacuation procedures, including indising, maintaining, and operating emergency equipocessing emergency medical information ilizing community support services.	ividuals with special needs
l have eng	gaged in the practice exercise for resident eme nts in the Emergency Preparedness and Respo	rgencies checked above and have also reviewed onse Plan described in the preceding paragraph.
Staff Signa	ature	Date
unervisor	ry Signature	Date

Gateway Homes, Inc Policy and Procedures			
Category: Human Resources Reference: 12VAC 35-105-480			
Title: Performance Plan & Evaluation Number: 480			
Issued: June 2004	Pages:1		
Revised: June 2011; December 2013; Attachments:			
April, 2014	Form 480 Performance Plan & Evaluation		
Form 570 Mission, Vision, & Values			

- **I. Purpose:** The purpose of this policy is to establish procedures for establishing and evaluating performance plans for all employees and contractors.
- **II. Policy:** Gateway Homes will create a performance plan for each employee and contractor at the time of hire and annually evaluate performance based upon the established plan.

- 1. <u>Initial Performance Plans</u>: At the time of hire, the direct supervisor will provide an employee or contractor with a performance plan based upon the job description. The supervisor will review the Plan with the employee or contractor and he/she will sign the Plan.
- 2. <u>Annual Review:</u> The supervisor and the employee or contractor will review and evaluate the employee or contractor's performance annually. This evaluation will be based upon the performance plan established at the time of hire or during the preceding evaluation.
- 3. <u>Subsequent Performance Plans:</u> Based upon the results of the evaluation of an employee's or contractor's performance during the past year, the supervisor will modify the performance plan for the upcoming year as needed.
- 4. Professional Development Goals & Training Objectives: During the annual review, the employee or contractor is responsible for working with the supervisor to identify professional development goals and training objectives for the upcoming year. As part of this process, the employee and the supervisor will identify the support or resources the employee or contractor needs from Gateway to achieve these goals and objectives. These professional development goals and training objectives will be included in the employee's or contractor's performance plan for the next year and the employee or contractor will be rated on the progress made toward the professional development goals and training objectives.
- 5. <u>Gateway's Mission, Vision, & Values</u>: Gateway expects each employee and contractor to actively contribute to the organization's mission, vision, and values in the performance of all of duties. Each employee and contracted will be evaluated annually on his/her performance in this area.



## PERFORMANCE PLAN & EVALUATION

Employee/Contractor Name:

Job Title:

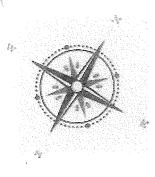
Supervisor:

Date Plan Established:

By my signature below, I hereby acknowledge that I have reviewed this Performance Plan with my supervisor and understand that my performance evaluation for the upcoming year will be based upon this Plan.					
Employee/Contractor	's Signature	Date	Sur	pervisor's Signature	Date
Key Objective/Probjectives and/or	<b>riority:</b> Contribut priorities listed bel	es to Gateway'	s mission, v	ision, and values in th	e performance the key
Self Evaluation Comments:	☐ Spectacular	☐ Exceeds	☐ Good	☐ More Expected	☐ Unacceptable
Supervisor Evalu Comments:	ation   Spect	acular 🗆 E	xceeds $\square$	Good □ More Ex	xpected   Unacceptable
Key Objective/Pr	iority:				
Self Evaluation Comments:	☐ Spectacular	☐ Exceeds	☐ Good	☐ More Expected	□ Unacceptable
Supervisor Evalu Comments:	ation   Spect	acular $\square$ Ex	ceeds $\square$	Good 🗆 More Ex	pected   Unacceptable

<b>Professional Dev</b>	Professional Development Goals & Training Objectives:						
Support resource	Support resources needed to achieve goals & objectives:						*
Self Evaluation Comments:	☐ Spectacular	☐ Exceeds	☐ Good	□ Мо	ore Expected	□ Una	cceptable
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Employee/Contractor'	s Signature	Date	Supe	ervisor's S	Signature		Date





# Charting Our Future 2014 - 2016

Guided by our mission, vision, and values, our strategic plan has three overarching goals: (1) enhancing community partnerships; (2) ensuring financial resiliency; and (3) strengthening organizational infrastructure.

Our Mission (what we do) To provide a transitional residential program for adults with mental illness who are striving for independence.

Our Vision (what we strive to achieve) To make recovery a reality for adults with mental illness

Our Values - The Three C's of Success (how we do what we do)

Commassion

Treating individuals with serious mental illness requires specialized and compassionate care. Gateway is strongly committed to providing continuing professional development for staff to enhance their expertise in mental health and program effectiveness and to increase their understanding of the individuals they support.

Collaboration Collaboration is a critical component of Gateway's success. We benefit our community by sharing our expertise with others. We leverage our impact through relationships with health planning regions, community service boards, state hospitals, local universities and other human service agencies. Our donors are integral partners in our mission to make recovery a reality for persons with mental illness.

Creativity

Gateway recognizes that successful treatment of serious mental illness requires a thoughtful and person-centered approach to every situation. We encourage staff, residents, families and community partners to bring forth creative options for consideration to ensure successful recovery.

Gateway Homes, Inc				
Policy and Procedures				
Category: Human Resources	<b>Reference</b> : 12VAC 35-105-500			
Title: Students & Volunteers Number: 500				
Issued: June 2004 Pages: 2				
Revised: June 2011; December 2013; April, 2014	Attachments: None			

- **I. Purpose:** The purpose of this policy is to establish procedures for the use, responsibilities, and supervision of students and volunteers.
- II. Policy: Gateway is committed to providing meaningful educational experiences for students and opportunities for volunteers to support Gateway's mission, vision, and values. Students and volunteers will not be used in Gateway's staffing plans. Gateway will assess all volunteer and student applicants to ensure such persons are properly qualified and appropriately trained for their roles.

#### III. Definitions:

- **a.** <u>Direct Service Volunteers</u>: is a person, who by her or his own volition and without remuneration, provides services to Gateway which involve direct contact and interaction with residents. This includes students who provide direct services to residents as part of their educational training.
- **b.** Other Volunteers: is a person, who by her or his own volition and without remuneration, provides services to Gateway which does not involve direct contact or interaction with individuals receiving services.

#### IV. General Guidance And Procedures

#### c. Direct Service Volunteers and Students:

- i. The Program Manager is responsible for assessing all direct service volunteers and students and determining the appropriateness of the match between the individual and the needs of the program.
- ii. Students and volunteers must adhere to all of the applicable policies and procedures of Gateway Homes. Prior to assigning a student or volunteer to provide services, the Program Manager, or designee will
  - 1. Review and approve the educational institution's curriculum plan, and finalize all relevant negotiations for students;

- 2. Screen volunteers by checking their references and reviewing their educational and work history;
- **3.** Ensure a criminal background check has been completed in accordance with *Policy 400* titled *Background Checks*;
- **4.** Provide the orientation required in *Policy 440* titled *Orientation*, *Training*, *Retraining*, & *Staff Development*, along with any other policies or procedures specifically applicable to the student's or volunteer's role;
- 5. Arrange for training, supervision, and evaluation; and
- **6.** Keep the following written documentation for each volunteer: Name; Address; Telephone number; and Emergency contact information

#### d. Volunteers For Non-direct Services:

- i. The Program Manager, or designee, is responsible for
  - 1. Assessing all non-direct service volunteers and students, determining the appropriateness of the match between the individual volunteer and/or agency and the needs of Gateway;
  - 2. providing the volunteer(s) with the needed training, supervision, and evaluation, as needed.

Gateway Homes, Inc				
Policy and Procedures				
Category: Human Resources; Health,	<b>Reference</b> : 12VAC 35-105-510			
Safety, and Risk Management				
Title: Tuberculosis Screening of Staff,	Number: 510			
Students, and Volunteers				
Issued: June 2004	Pages: 1			
Revised: June 2011; December 2013;	Attachments: None.			
April, 2014				

- **I. Purpose:** The purpose of this policy is to establish procedures for tuberculosis screening of staff, volunteers, and students.
- II. Policy: Gateway Homes will ensure staff, volunteers, and students having direct contact with individuals receiving services are free of active symptoms of tuberculosis.

- 1. All new employees, volunteers, and students shall provide Gateway with a statement of certification by a qualified provider indicating the absence of tuberculosis in a communicable form within 30 days of hire or direct contact with individuals receiving services.
- 2. All employees, students, and volunteers are required to have an annual recertification indicating the absence of tuberculosis in a communicable form.
- 3. Any employee, student, or volunteer who comes in contact with a known case of active tuberculosis, or who develops symptoms of active tuberculosis of three weeks duration, must be screened as determined appropriated based on consultation with the local health department.
- 4. Any employee, student, or volunteer suspected of having active tuberculosis is not permitted to return to work or have direct contact with employees, students, volunteers, or individuals receiving services until a physician has determined that the person is free of active tuberculosis.
- 5. Staff, students, or volunteers who do not comply with the requirements of this policy will not be allowed to work.

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## PRELIMINARY INDIVIDUALIZED SERVICE PLAN

		If applicable: Medicaid #
		DMAS Provider ID#
esident's Name:	Name of Program:	Gateway Homes, Inc.
ee reverse side for signatures and additional information.		
escription of needs is based upon the UAI, medical reports, and any additio	nal assessments neces	sary to meet the care needs of the resident.
A. If the resident lives in a building housing 19 or fewer residents, does the resi	dent need to have a staf	f member awake and on duty at night? 1 Yes 1 No

<u>B.</u>	Description of Needs and Date Identified	Services to be Provided	Persons Who will Provide Services	When and Where Services will be Provided	Expected Outcomes/Goals (Include Time Frames)
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<u>B.</u>	Description of Needs and Date Identified	Services to be	e Provided	Persons Who will Provide Services	When and Where Services will be Provided		itcomes/Goals ime Frames)
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SIGN	ATURES:						
· · · · · · · · · · · · · · · · · · ·	Staff Person Who Comp	leted Plan	Date	Plan Completed	Residen	<u>t</u>	Date
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Staff	Person Designated to Review	, Monitor, Ensure In	nplementation,	and Make Appropriate M	lodifications to Plan: _		
Dates	Implementation Monitored a	and Initials:	<u> </u>				
SIGN	JATURES:						
				· -	ho Completed Plan Re		

Gateway Homes, Inc					
Policy and Procedures					
Category: Treatment	<b>Reference</b> : 12VAC 35-105-650				
Title: Assessment	Number: 650				
Issued: June 1988	Pages: 1				
Revised: June 2011; December 2013;	Attachments:				
April, 2014	Form 650.1 Admissions Assessment (on Lauris)				
	Form 650.2 Annual Assessment (on Lauris)				

- **I. Purpose:** The purpose of this policy is to establish procedures for conducting assessments of individuals receiving services.
- II. Policy: Gateway Homes will conduct a preliminary assessment prior to admission, a full assessment within 30 days of admission, and a re-assessment whenever indicated, or no less frequently than annually for all individuals receiving services.

- a. <u>Preliminary Assessment:</u> The Manager of Benefits and Quality Improvement, or designee, will complete a preliminary assessment during the applicant screening process using Form 650 Preliminary Assessment.
- b. <u>Previous Assessments/Other Provider Records</u>: At the time of the applicant screening process, the screener will identify other assessments or provider records which could assist with Gateway's assessment process. The Clinical Director, or designee, will request authorization from the applicant to obtain such records, and when approved, request those records from other providers.
- c. <u>Full Assessment</u>: The Assistant Clinical Director will update and finalize the full admission assessment within 48 hours of admission and prior to the completion of the individualized services plan. The QMHP will complete the final assessment using Form 650.1 Assessment.
- d. <u>Re-Assessment</u>: The Assistant Clinical Director will assign a QMHP to conduct a reassessment whenever indicated and at least annually. The QMHP will complete the annual reassessment using Form 650.2 Annual Assessment.

Gateway Homes, Inc Policy and Procedures				
Polic	/			
Category: Treatment	<b>Reference</b> : 12VAC 35-105-660			
Title: Individualized Services Plans	Number: 660			
Issued: June 2004	Pages: 1			
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 660 Preliminary Individualized Services Plan			
	Form 660.1 Individualized Services Plan (on Lauris)			
	Form 660.2 Individualized Services Plan Review (on			
	Lauris)			

- **I. Purpose:** The purpose of this policy is to establish procedures for individualized services plans (ISP).
- **II. Policy:** Gateway Homes will develop a preliminary individualized services plan (ISP) within 24 hours of admission, a full plan within 30 days of admission, and conduct a quarterly review of the plan on an ongoing basis.

#### III. General Guidance And Procedures:

- a. <u>Preliminary ISP:</u> The Manager of Benefits and Quality Improvement, or designee will complete a preliminary ISP within 24 hours of admission using the information obtained on Form 650 Preliminary Assessment. The preliminary ISP will be completed using Form 660 Preliminary Individualized Services Plan and this Plan will be in effect until a full ISP is developed.
- b. <u>Full ISP</u>: The Assistant Clinical Director will assign a QMHP to complete a full ISP within 48 hours of admission. The full ISP will be completed using Form 660.1 Individualized Services Plan. The QMHP will include the individual, his/her family, and legally authorized decision maker in the development of the ISP.
- c. <u>ISP Review</u>: The Psychosocial Rehabilitation Manager will assign a QMHP to conduct a review of the ISP every quarter (90 days) and evaluate the individual's progress toward meeting the plan's objectives using Form 650.2 Individualized Services Plan Review. The goals, objectives, and interventions will be updated as indicated. The QMHP will include the individual, his/her family, and legally authorized decision maker in the review of the ISP.

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## PRELIMINARY INDIVIDUALIZED SERVICE PLAN

				Medicaid #
esident's Name:		Name of Program:	Gateway Homes, Inc	DMAS Provider ID#
ee reverse side for signatures and a	additional information.			
escription of needs is based upon th	he UAI, medical reports, and any add	itional assessments necess	ary to meet the care ne	eeds of the resident.
A. If the resident lives in a building h	ousing 19 or fewer residents, does the r	esident need to have a staff	member awake and on	duty at night? 1 Yes 1 No
B. Description of Needs and Date Identified	Services to be Provided	Persons Who will Provide Services	When and Where Services will be Provided	Expected Outcomes/Goals (Include Time Frames)
				· .

Resid	ent's ame:						
B. Description of Needs and Services t Date Identified		Services to b	oe Provided	Persons Who will Provide Services	When and Where Services will be Provided	Expected Outcomes/Goa (Include Time Frames)	
			***************************************				
SIGN	ATURES:						
	Staff Person Who Comp	leted Plan	Date I	Plan Completed	Residen	t	Date
Licensed Health Care Professional (630.J) (For Assisted Living Care Residents)			Date	Other, if any, Involved in Development of Plan (Specify Title/Relationship)			Date
PLAN	REVIEW/MODIFICATION	<u>IS</u>					
NOTE (630.J)	: Changes in plan should be init	tialed by staff person	making change, r	esident, and for assisted livi	ng care residents, licens	ed health care	professional
Staff 1	Person Designated to Review,	Monitor, Ensure In	nplementation, a	nd Make Appropriate M	odifications to Plan: _		
Dates	Implementation Monitored a	nd Initials:	<del></del>				
SIGN	ATURES:						
Sta	ff Person Who Completed Pla	n Review	Date	Staff Person W	ho Completed Plan Ro	eview	Date

Gateway Homes, Inc Policy and Procedures			
Category: Treatment	<b>Reference</b> : 12VAC 35-105-690		
Title: Orientation To Services	Number: 690		
Issued: June 2004	Pages: 3		
Revised: June 2011; December	Attachments:		
2013; April, 2014	Form 160.C.1 DBHDS Rights		
	Form 160.C.3 DBHDS Human Rights Poster		
	Form 160.C.5 Complaint Resolution		
	Form 160.C.7 Service Guidelines		
	Form 690 Orientation Checklist (on Lauris)		
	Form 690.1 Free Choice Of Providers/Right To Appeal		
	(on Lauris)		

- I. **Purpose:** The purpose of this policy is to establish procedures for orienting individuals and their authorized representatives to services.
- II. Policy: Gateway Homes will provide timely and comprehensive orientation to services for all individuals and their legally authorized representatives.

#### III. General Guidance And Procedures:

- a. Gateway's Assistant Clinical Director and Psychosocial Rehabilitation Manager, or designee, will assign a staff member to orient individuals and their legally authorized representatives. The orientation will occur during the admission intake and signed documentation of the orientation will be maintained in the individual's services record.
- b. At a minimum, the orientation will include staff elaboration on following elements:
  - i. <u>Mission:</u> Gateway's mission is to provide residential programs for adults with mental illness who are striving for independence.
  - ii. <u>Confidentiality</u>: Gateway will not disclose confidential treatment information unless the individual or his/her authorized representative provides consent for the disclosure, there is a need for emergency treatment necessitating the sharing of confidential information, or there is a court order requiring such a disclosure.
  - iii. <u>Human Rights</u>: The individual will be provided with *Form160.C.1 DBHDS Rights* for individuals in programs licensed by the Department of Behavioral Health and Disability Services, and shown the posters on the bulletin boards with the names and contract

information for the regional advocate, adult protective services, ombudsman, and Virginia Office of Protection and Advocacy.

- i. <u>Participation In Treatment & Discharge Planning</u>: The individual's and authorized representative's participation in treatment and discharge planning is a basic right and core component of Gateway's treatment philosophy. A comprehensive individualized service plan is developed within 30 days in collaboration with the individual and the authorized representative and reviewed every 90 days. The individual will be encouraged to exercise the same right and same level of involvement in discharge planning.
- ii. <u>Fire Safety & Emergency Preparedness</u>: Fire drills and evacuation routes will be reviewed along with basic emergency preparedness and response plan procedures including:
  - 1. Alerting emergency personnel and sounding alarms;
  - 2. Implementing evacuation procedures;
  - 3. Using and operating emergency equipment;
  - 4. Accessing emergency medical information; and
  - 5. Utilizing community support services.
- b. Grievance Procedure: In accordance with Policy 160 Human Rights, all Staff are responsible for promptly responding to residents' concerns and attempting to resolve them in a timely manner. If a resident expresses dissatisfaction with the staff member's response, the staff will provide the individual with Form 160.1 Complaint Resolution, provide any needed assistance to complete the Form, and ensure the Form is given to the Manager of Benefits and Quality Improvement. The Manager of Benefits and Quality Improvement, or designee, will meet with the resident in person and attempt to resolve the complaint to the resident's satisfaction. If the complaint is not resolved within five days, the complaint form shall be forwarded to Human Rights through CHRIS. The Manager of Benefits and Quality Improvement will notify the Regional Advocate and meet with the individual within 24 hours or the next working day to resolve the matter. The Executive Director will provide the resident with a written plan of action within 10 days including notice to the individual (a) of the appeals process, (b) on how to contact the advocate; and (c) that the complaint will be closed if the individual does not respond.
- c. <u>Service Guidelines</u>: The individual and authorized representative will receive a copy of 160.2 Service Guidelines, have an opportunity to review them, ask questions, and affix their signature indicating this review has occurred.
- d. <u>Choice Of Providers</u>: The individual and authorized representative will be informed that they have free choice of providers of mental health services and other medical care and notified of the right to appeal and fair hearing for Medicaid Services. The individual and/or authorized representative will be asked to sign Form 690.1 Free Choice Of Providers And Right To Appeal.
- e. <u>Physical Plant & Building Lay-Out</u>: The individual and authorized representative will be provided with a tour of the facility and be oriented to the lay-out of all of the building(s).

#### **Hours And Days Of Operation:**

Supportive Living Center: 24 hour per day, 7 days per week

Supported Apartment Programs: 7 AM to 9 PM, 7 days per week with on call support.

Mental Health Support Services: as determined by the Individual Services Plan.

Psychosocial Rehabilitation Services: as determined by the Individual Services Plan.

Outpatient Services: as determined by the Individual Services Plan.

<u>Availability Of After-Hours Services</u>: After-hour services are available for individuals who are not in 24 hour programs.

#### **DBHDS** Rights For Gateway Residents

VA CODE § 37.2-400. Rights of consumers

A. Each person who is a consumer in a hospital, training center, other facility, or program operated, funded, or licensed by the Department, excluding those operated by the Department of Corrections, shall be assured his legal rights and care consistent with basic human dignity insofar as it is within the reasonable capabilities and limitations of the Department, funded program, or licensee and is consistent with sound therapeutic treatment. Each person admitted to a hospital, training center, other facility, or program operated, funded, or licensed by the Department shall:

- 1. Retain his legal rights as provided by state and federal law;
- 2. Receive prompt evaluation and treatment or training about which he is informed insofar as he is capable of understanding;
- 3. Be treated with dignity as a human being and be free from abuse or neglect;
- 4. Not be the subject of experimental or investigational research without his prior written and informed consent or that of his legally authorized representative;
- 5. Be afforded an opportunity to have access to consultation with a private physician at his own expense and, in the case of hazardous treatment or irreversible surgical procedures, have, upon request, an impartial review prior to implementation, except in case of emergency procedures required for the preservation of his health;
- 5. Be treated under the least restrictive conditions consistent with his condition and not be subjected to unnecessary physical restraint and isolation;
- 7. Be allowed to send and receive sealed letter mail;
- 8. Have access to his medical and clinical treatment, training, or habilitation records and be assured of their confidentiality but, notwithstanding other provisions of law, this right shall be limited to access consistent with his condition and sound therapeutic treatment;
- 9. Have the right to an impartial review of violations of the rights assured under this section and the right of access to legal counsel; and
- 10. Be afforded appropriate opportunities, consistent with the person's capabilities and capacity, to participate in the development and implementation of his individualized services plan.

have received and reviewed a convert the Dights of Consumers. I have been

i,, have received and reviewed a copy of the regalts of Consumers. I have	ave been
provided the opportunity to receive clarification and or further detail. I have also been infor	med of and
understand the rules of the Gateway Homes as they relate to these rights and responsibilities	•

Resident's Signature)	Date	(Witness' Signature)

# It is your RIGHT

- ❖ To be treated with dignity and respect;
- ❖ To be told about your treatment;
- To have a say in your treatment;
- ❖ To speak to others in private;
- ❖ To have your complaints resolved;
- ❖ To say what you prefer;
- To ask questions and be told about your rights;
- ❖ To get help with your rights.

If you have questions or need help, see the program contact person or the human rights advocate:

Program contact person:	
Human rights advocate:	, 1-888-207-2961

## **Resident Complaint Resolution**

Date of Complaint:/	Resident Name:
Description Of Complaint:	
·	
	Resident's Signature
Part B (to be completed by Clinical Director)	
Description Of Attempts To Resolve Complaint:	
Description of Attempts to Resolve Complaint.	
	Clinical Director's Signature
eate Resolved:/ (if unresolved, an	t day 5. the complaint must be referred to the ED)
Pate Referred to Executive Director://_	<del>_</del>
art C (to be completed by Executive Director)	
ate Advocate Notified:// Date	e of Meeting with Resident://
	Date Action Plan Provided://
ate of Notice On How To Respond & Contact Adv	ocate:/

Form 160.5 Complaint Resolution

#### Gateway Homes, Inc.

#### Service Guidelines

#### The following behaviors may result in immediate dismissal from Gateway Homes.

- 1. The use of alcohol or drugs;
- 2. Possession of weapons of any type;
- 3. Threatening or engaging in physical harm toward others;
- 4. Destruction of property; and
- 5. Engaging in illegal activities that violate local, state, or federal laws.

#### All residents are expected to adhere to the following code of conduct.

- 1. Conduct themselves respectful manner at all times including:
  - a. Using only their own personal property and not stealing from others;
  - b. Wearing appropriate attire outside of the bedroom;
  - c. Engaging in physical intimacy and sexual behavior only in private places;
  - d. Being courteous toward others, limiting profanity to private conversations, and maintaining an appropriate level of noise when talking.
- 2. Keeping bedrooms, common areas, and apartments clean and sanitary.
- 3. Actively participating in treatment and working toward the goal of recovery and independence by:
  - a. Taking medications as prescribed by the doctor;
  - b. Completing chores and assignments that are part of the program;
  - c. Participating in scheduled activities; and
  - d. Attending community meetings.
- 4. Following safety guidelines including
  - a. Adhering to the nonsmoking policy for the house and grounds;
  - b. Not using candles or other flammable materials;
  - c. Adhering to the curfew times posted for the program;
  - d. Signing out when leaving the grounds; and
  - e. Asking visitors to sign in when they arrive at the house.

I, the undersigned, have read Gateway's Ser to ask questions about them. By signing bel	vice Guidelines, understand them, and had an oppow, I agree to abide by these Guidelines.	ortunity
Individual's Signature	Date	
Staff Witness	Date	

Gateway Homes, Inc				
Policy and Procedures				
Category: Treatment Reference: 12VAC 35-105-700 & 710				
Title: Crisis Intervention And	<b>Number</b> : 700/710			
Emergencies				
Issued: June 2004	Pages: 2			
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 540 B Emergency Preparedness Numbers			
	Form 520.1/710/800 Crisis Intervention &			
	Serious Incident Report			
	Form 750.1/770 Medication Record (example)			
	Form 890A Face Sheet (on Lauris)			

- I. **Purpose:** The purpose of this policy is to establish procedures for handling a crisis or an emergency.
- **II. Policy:** Gateway Homes will provide prompt intervention for crisis or emergencies at any time during screening, admission, and service provision and document the provision of crisis intervention and emergency services.

#### III. General Guidance And Procedures:

#### a. Definition:

- i. *Crisis* means any situation which carries of a high risk of harm to individuals receiving services and/or to staff and which requires immediate staff intervention to ameliorate and resolve. Examples include such things as residents engaging in a verbal altercation and threatening physical violence to each other or individuals placing themselves at risk of immediate and serious injury due to impulsive behavior and poor judgment.
- ii. Clinical Emergency means any medical or clinical condition which requires immediate staff intervention and specialized treatment services. A medical emergency includes such things as choking, cessation of breathing, seizures, adverse reaction to medications, or an acute exacerbation of any chronic medical condition such as diabetes. A clinical emergency includes such things as an individual experiencing an acute exacerbation of symptoms or behaviors which could result in self harm or violence toward others, or exceeds the ability of the program to safely treat and monitor.

#### b. Procedures:

*i. Proactive Identification:* All staff are responsible for proactively identifying potential crisis and clinical emergencies and providing prompt intervention.

- ii. *Intervention:* All staff members on site are responsible for assisting in, diffusing and, managing crisis and clinical emergencies. Staff members are expected to use sound clinical judgment and common sense in the management of these situations. This includes such things as:
  - 1. removing other residents from the area;
  - 2. contacting 911 to request emergency medical or law enforcement assistance for such things as seizures, behavior which carries a significant risk for harm, loss of consciousness, respiratory distress, and etc:
  - providing First Aid for relatively minor medical care needs such as band aids for minor scratches or lacerations, cold compresses for minor bruises, and prescribed over-the-counter medications for low-grade fevers;
  - 4. administering CPR as indicated;
  - 5. seeking emergency consultation and/or pre-screenings from CSB Emergency Services; and/or
  - 6. any other actions that are warranted by the situation at hand.
- iii. Community Service Providers: Staff will use the Form 890A Face Sheet to obtain contact information for the individual's medical, psychiatric, and other healthcare providers. Staff will use Form 540B Emergency Preparedness Numbers to contact needed emergency medical, clinical, or law enforcement assistance.
- c. <u>Location Of Emergency Medical Information</u>: The staff will access the Form 890A Face Sheet and Form 750.1/770 Medication Record in the electronic medical record for medical information and communicate the information needed by community emergency service providers to conduct emergency assessments and treatment.
- d. <u>Documentation</u>: The staff member providing the intervention(s) is responsible for completing Form 520.1/710/800 Crisis Intervention & Serious Incident Report.
- e. <u>Reporting The Event or Incident:</u> The staff member providing the crisis intervention services is responsible for following all of the documentation and notification requirements for significant events or serious incidents outlined in Policy 520 Risk Management and Policy 160 on Human Rights. This includes notification of the Authorized Representative, if applicable.

## **Emergency Preparedness Numbers**

Fire: 911 or (804) 748-1360

Police: 911 or non-emergency at (804) 748-1251

Poison Control: 1-800-222-1222

#### **Nearest Hospitals:**

Southside Regional- 765-5000;
Poplar Springs- 733-6874;
Bon Secours St. Mary's Hospital- 285-2011;
Tucker's Pavilion Intake- 323-8846;
CJW Medical Center- 320-3911;
John Randolph Medical Center- 541-1600;
Henrico Doctor's Hospital- Parham- 747-5600;
Bon Secours Richmond Community- 225-1700;
Bon Secours St. Francis- 594-7300

Ambulance Service: Non-emergency- 748-1251

**Rescue Squad**: 911 or 748-1360

#### **Administrators' Cell Phones:**

Executive and Clinical Director: Lynda Hyatt (804) 767-0292 Eddie Bailey (804) 536-3666 Molly Bowles (804) 712-4133 Melissa Stiltoner (804) 712-4058

## **CRISIS INTERVENTION & SERIOUS INCIDENT REPORT**

Individual's Name:	Date:	Time:
Nature of Crisis/Emergency/Incident:		
·		
recipitating Factors:		
Treatment or Interventions Provided:		. ,
Outcome (including severity of injuries if ar		
Employees or Contractors Involved:		
otifications Made To:		
Name & Signature	Date	
Review Of Crisis Intervention/Serious	s Incident	
indings And Recommended Corrective Act	tion (if any):	
Name, Signature, Title of person reviewing repor	t Date	

Form 520/710/800 Crisis Intervention & Serious Incident Report

#### Medication Record

Last Name

First Name

Birth Date

Social Security Number

Medication Name	Dosage	Frequency	Order Date	Expire Date	Prescribed by:	Prescribed for:	Data of Lab Car Clares
				- Aprilo Dato	1 resorribed by.	r rescribed for,	Date of Lab For Clozaril
		•					
	<u> </u>						
				<del></del>			
		<u> </u>					

Gateway Homes, Inc			
Policy and Procedures			
Category: Treatment Reference: 12VAC 35-105-800 through 840			
Title: Behavior Management	Number: 800		
Issued: June 2004	Pages: 2		
Revised: June 2011; December 2013;	Attachments:		
April, 2014	Form 520.1/710/800 Crisis Intervention Serious		
•	Incident Report		

- I. **Purpose:** The purpose of this policy is to establish procedures for behavioral management techniques.
- II. Policy: Gateway Homes believes in empowering individuals to manage their behaviors in a safe and responsible manner. Our services focus on positive approaches to managing behavior and using the least intrusive and restrictive approach when protecting the safety and well-being of individuals receiving services.

#### III. General Guidance And Procedures:

- a. <u>Laws and Regulations</u>: Gateway's behavioral management techniques will be consistent with all applicable laws, regulations, and human rights policies.
- b. <u>Individual Empowerment:</u> Behavioral management techniques will use positive approaches, include the individual's input and preferences whenever possible, and focus on empowering the individual to manage behaviors in a safe and responsible manner.
- c. <u>Behavior Management Techniques</u>: Gateway employees and contractors will use techniques and approaches.
  - *i.* The Therapeutic Options of Virginia (TOVA) when managing behaviors. No other behavioral management techniques shall be used.
  - ii. A behavioral management approach taught by TOVA which focuses on the therapeutic relationship, managing and modifying the physical environment and stressors to the greatest extent possible, and assisting the individual with identifying and using alternative repertoires of adaptive skills and behaviors.
  - iii. The physical techniques taught by TOVA only when all other interventions have been tried and been proven unsuccessful, or when necessary to protect the safety and well-being of individuals receiving services.
- d. <u>Protection of Safety And Well Being</u>: Employees and contractors will protect the safety and well being of individuals receiving services using the least intrusive and restrictive interventions possible with the TOVA techniques.

- e. <u>Behavioral Treatment Plan</u>: A behavioral treatment plan may be developed and approved by the Clinical Director in response to behavioral needs identified through the assessment process. A behavioral plan may include restrictions only if has been developed according to the procedures outlined in the Human Rights regulations. Behavioral treatment shall be developed, implemented and monitored by the Clinical Director who has been trained in behavioral treatment.
- f. <u>Seclusion, Restraint, And Time-Out</u>: Gateway will not use seclusion, restraint, or time-out as behavioral management techniques or for any other reason.
- g. <u>Documenting The Use of Behavior Management Techniques</u>: Any employee or contractor who uses a physical behavioral management technique will
  - i. Document the date and time the techniques were used, what other interventions were used to de-escalate and stabilize the situation, and the outcome;
  - ii. Document the event on Form 680 Treatment Note in the individual's service record;
  - iii. Follow the procedures in Policy 520 Risk Management for handling serious incidents.
- h. Development, Implementation, And Monitoring The Use Of Techniques:
  - i. Gateway will only use techniques approved by the Department of Behavioral Health and Developmental Services such as TOVA.
  - ii. Staff will receive training in TOVA on the first scheduled training date after the date of hire and annually thereafter.
  - iii. The Manager of Benefits and Quality Improvement will review the ongoing implementation of TOVA through shift reports and review of the individual's services record. The policies and procedures set forth in Policy 520 Risk Management will govern the review of any serious incidents that occur during the use of behavioral management techniques.
- <u>Disclosure of Techniques</u>: Gateway's behavior management policy and procedures will be provided individuals, their families and authorized representatives, guardians, and advocates upon request.

### **CRISIS INTERVENTION & SERIOUS INCIDENT REPORT**

Individual's Name:	Date:	Time:	
Nature of Crisis/Emergency/Incident:			
Precipitating Factors:			
reatment or Interventions Provided:	<u></u>		<del></del> ,
			<u></u>
Outcome (including severity of injuries if	any):		
Employees or Contractors Involved:			
otifications Made To:			
Name & Signature	Date		
	T		
Review Of Crisis Intervention/Seriou			
indings And Recommended Corrective A	ction (if any):		
		•	

Name, Signature, Title of person reviewing report Form 520/710/800 Crisis Intervention & Serious Incident Report

Gateway Homes, Inc			
Poli	cy and Procedures		
Category: Treatment	<b>Reference</b> : 12VAC 35-105-680, 880, 890, 900, 910		
Title: Creating, Documenting In,	<b>Number:</b> 680 / 880 / 890 / 900 / 910		
& Storing Individual Services			
Records			
Issued: June 2004	Pages: 3		
Revised: June 2011; December	Attachments:		
2013; April, 2014	Form 630 Application for Admission		
	Form 890A Face Sheet (on Lauris)		
	Form 650 Preliminary Assessment		
	Form 650.1 Assessment (on Lauris)		
	Form 650.2 Annual Assessment (on Lauris)		
	Form 740 Physical Examination		
	Form 740.1 Report of TB Screening		
	Form 660 Preliminary Individualized Services Plan		
·	Form 660.1 Individualized Services Plan (on Lauris)		
	Form660.2 Individualized Services Plan Review (on		
	Lauris)		
	Form 680.1 Progress Note		
	Form 680 Treatment Note		
	Form 680.2 Non-Billable Treatment Note		

- I. **Purpose:** The purpose of this policy is to establish procedures for creating, storing, retaining, and documenting in an individual's services record.
- II. Policy: Gateway Homes will create and retain services record for each individual receiving services which supports appropriate service planning, coordination, and accountability. Gateway will use signed treatment and progress notes to document services provided and the outcomes of individualized services plans. Records will be stored in a secure manner and accessed only by authorized individuals.

#### III. General Guidance And Procedures For Creating Records:

- a. <u>Creating Service Records</u>: The Director of Admissions will initiate a separate service record for each applicant and individual receiving services.
- b. <u>Service Records For Applicants:</u> The Director of Admissions will establish a manila folder for each applicant. The folder will contain at a minimum Form 630 Application for Admission.
  - *i.* When an applicant is admitted, the Director of Admissions, or assigned case manager, will scan Form 630 Application into the medical record and shred the paper copies.
  - *ii.* If an applicant is not admitted, the Director of Admissions will maintain Form 630 Application in a secure area in the Director of Admissions' Office for two years.

Individual Service Records Page 1 of 3

#### c. Service Record For Individuals Receiving Services:

- i. *Unique Identification Number*: The Director of Admissions, or designated case manager, will assign a unique identification number and create a separate service record for the individual receiving services.
- ii. Service Record: will, at a minimum, contain the following documents.
  - 1. Form 890A Face Sheet which will contain, at a minimum: the name of the individual; current residence; social security number; gender; marital status; date of birth; name of legal guardian or authorized representative, if applicable; name, address, and telephone number of emergency contact; adjudicated legal incompetency or legal incapacity, if applicable; and date of admission to service.
  - 2. Assessments including Form 650 Preliminary Assessment, Form 650.1 Assessment, and when required Form 650.2 Annual Assessment.
  - 3. Medical Evaluations including Form 740 Physical Examination and From 740.1 Report of TB Screening.
  - 4. Individualized Services Plans and Reviews as documented on Form 660 Preliminary Individualized Services Plan, Form 660.1 Individualized Services Plan, and 660.2 Individualized Services Plan Review.-
  - 5. Treatment Notes documented on Form 680 Treatment Note for all individuals receiving mental health support services.
  - 6. Nonbillable services such as case management will be documented on Form 680.2 Nonbillable Treatment Note.
  - 7. Transfer Summary, if applicable on Form 850 Transfer Summary.
  - **8.** Discharge Summary, if applicable on Form 860 Discharge Summary.

#### IV. General Guidance And Procedures For Storing, Securing, And Documenting In Service Records:

- a. Storage, Security And Access Of Service Records:
  - i. *Electronic*: Individual services records are electronic and maintained securely through a web-based service, Lauris, provided by contract with Integrated Imaging. Records can only be accessed with an authorized user identification number and password. Each staff member, contractor, student, or volunteer authorized to access records by the Clinical Director will be given a unique user identification number and password linked to his or her signature. The user identification number and password may not be shared with anyone
  - ii. *Paper*: Gateway maintains all closed paper individual services records in a locked area. Only staff, contractors, students, or volunteers authorized by the Clinical Director, or designee, will have access to the locked area containing closed paper service records.
- b. <u>Updating Service Records</u>: Staff assigned to an individual receiving services are responsible for delivering and coordinating services consistent with the individualized services plan and documenting the provision and outcome of such services in a timely manner as outlined below:
  - i. Supervision In A Group Home: Assigned staff will complete Form 680.1 Progress Note at the end of the shift and prior to leaving the facility.

- ii. *Mental Health Skills Building Services*: Assigned staff will complete Form 680 Treatment Note within 10 days of providing the service.
- iii. *NonBillable Services*: Staff will complete Form 680.2 NonBillable Treatment Note within 10 days of providing the service.

#### c. Entries In Service Records:

- i. All entries shall be current and made within the time frame described above for each entry and dated and signed by the person delivering the service.
- ii. Entry errors in an electronic record shall be made by creating a new, corrected document and sending the document with the error to the Clinical Director, or designee, for review and deletion, if appropriate.
- iii. Entry errors in a paper record shall be corrected by striking through the error and initialing and dating the strike-through.

#### V. General Guidance And Procedures For Retaining Service Records:

- a. <u>Electronic Records</u>: A complete electronic record will be maintained for a minimum of ten years after discharge. The permanent information kept on each individual shall include the individual's name, date of birth, social security number, dates of service, and legal guardian. The remainder of the information will be deleted.
- b. <u>Paper Records</u>: A complete record shall be kept on-site in a secure area for a minimum of ten years after discharge. The permanent information kept on each individual shall include the individual's name, date of birth, social security number, dates of service, and legal guardian. The remainder of the information will be shredded.



## APPLICATION FOR ADMISSION FOR GATEWAY HOMES-Supported Living Program

Mail completed applications to: Molly Bowles, Gateway Homes, PO Box 460, Chesterfield VA 23832

Date of Gateway Tour:	
(First)	(Middle)
STATE:	ZIP:
SOCIAL SECUR	RITY #
e Female	
e): Single/Never Married Separated	Divorced Married Widowed
African-American Asian Hispanic	Caucasian (White) Native American Other
THDATE:	_
Ant	-
City:	
	STATE: SOCIAL SECURE Female e): Single/Never Married Separated African-American Asian Hispanic THDATE: County City:



## **Clinical Information**

1. Current Diagnosis:			
2. Current Medications:			
3. Do you believe that you have a ment	al illness r	ow and need to	take
medications? Yes	No	•	
4. Psychiatric History including age at	onset and	hospitalizations:	i
5. Past outpatient treatment history:			
0 Di	basa m	reviewely eyperi	anaad:
6. Please check all the symptoms that a Auditory/visual hallucinations			
Delusional thought processes		_ No	
Depressed mood	Yes	_ No	
Mania	_ Yes	_ No	
Anxiety	_ Yes	_ No	
Obsessions/Compulsions Eating-disordered behaviors	_ Yes _ Yes	_ No _ No	
7. Have you ever attempted suicide? Yes _ No			
If so, when and by what means?			

Page 2 of 8 Form: April 2014

8.	Have you ever en head banging, etc.)	ged in self-harm	behaviors (e.g	elf-cutting, burning,
	noud builging, ever,	Yes	No	
	Have you ever enga	ged in physical o	verbal aggress	ion towards others?
	If so, please explair			
9.	List any history of and date last used:			of substance, amount
10		edical conditions:		
			18400-	
<b>*****</b> *******************************		NAME OF		
11	. List any operations	s or surgeries that	your have had i	ncluding dates:
<b>,,,,,</b>				<del></del>
12.	. Have you experien	ced:		
	a. Seizures	Yes	_ No	
	b. Fainting spells	_ Yes	_ No	
	c. Head injury	_ Yes	_ No	
		Daily Living		
1a. Wł	hat is your current liv			
	_ State hosp		_ With far	_
	Community Group Hom	/Private Hospital	_ Homele Other	<b>SS</b>
	<del>-</del> •	ie nt in an apartment		

Page 3 of 8 Form: April 2014

	neck one)	current living situatio. (Please check 6 months B one year	o. How long have you ಓ en in you less than 1 month
Ba. Have you ever lived independently?  Yes No  b. If Yes, what was the longest time you lived independently?  less than 1 month 6 months B one year  1-6 months more than one year  4. Please describe difficulties that you had while living independently or whas prevented you from living independently.  5. Please check all of the activities that you are able to complete independently and without assistance from others:  personal hygiene meal preparation personal finance/budgeting housekeeping medication administration  Educational/Vocational/Social  What is the highest grade you completed?  Did you attend special education classes?YesNo  If Yes, what type?  Have you ever served in the Armed Forces?YesNo  If Yes, list branch and dates of services:		<del>_</del>	<del></del>
		ou lived during the past year?	How many different places have
b. If Yes, what was the longest time you lived independently?  _ less than 1 month		ly?	
less than 1 month 6 months B one year more than one year for more than one year and year for the provided in the possible provided in the possible provided in the possible provided in the Armed Forces? Yes Nore if Yes, list branch and dates of services: Yes Nore if Yes, list branch and dates of services: Yes Nore in the Armed Forces? Yes Nore in the Armed Forces? Yes Nore in the Armed Forces? Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes Nore it yes, list branch and dates of services: Yes			_ Yes N
less than 1 month6 months B one year		you lived independently?	o. If Yes, what was the longest tir
Please describe difficulties that you had while living independently or whe has prevented you from living independently.  Please check all of the activities that you are able to complete independently and without assistance from others:  personal hygiene meal preparation personal finance/budgeting housekeeping medication administration  Educational/Vocational/Social  What is the highest grade you completed?  Did you attend special education classes? Yes No			
Please check all of the activities that you are able to complete independent and without assistance from others:  personal hygiene meal preparation personal finance/budgeting housekeeping medication administration  Educational/Vocational/Social  What is the highest grade you completed?  Did you attend special education classes? Yes No			_ 1-6 months
and without assistance from others:		•	
What is the highest grade you completed?  Did you attend special education classes?YesNo  If Yes, what type?  Have you ever served in the Armed Forces?YesNo  If Yes, list branch and dates of services:	pendently	ers: _ meal preparation jeting _ housekeeping	and without assistance from ot _ personal hygiene _ personal finance/bu
If Yes, what type?  Have you ever served in the Armed Forces?YesNo  If Yes, list branch and dates of services:			
If Yes, what type?  Have you ever served in the Armed Forces?YesNo If Yes, list branch and dates of services:			
Have you ever served in the Armed Forces?YesNo If Yes, list branch and dates of services:	)	on classes?YesNo	Did you attend special educa
If Yes, list branch and dates of services:			If Yes, what type?
			·

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	What are your hobbies, interests, special talents?
	Describe your strengths and perceived limitations:
	l ogol
	<u>Legal</u> Have you ever incurred legal charges?Yes No
	If Yes, please describe and give dates charges incurred:
Н	ave you ever physically assaulted someone? _ Yes No
d	es, please describe any physical altercations you have had, including the late, what started it, and the esult:
	ave you ever engaged in destruction of property?

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Who is your hospital liaison?  Are you on Probation or Parole?YesNo If so, how long are you under supervision?  Who is your direct contact for Probation or Parole?  Name:Phone:  FUTURE GOALS  Why do you want to come to GW:	
Are you subject to a lifetime sex offender registration requirement in state?YesNo  Do you have an advanced directive?YesNo  Are you an NGRI?YesNo Who is your hospital liaison?YesNo If so, how long are you under supervision? Who is your direct contact for Probation or Parole?  Name:Phone:  FUTURE GOALS  Why do you want to come to GW:	ıal
Are you an NGRI?YesNo Who is your hospital liaison?YesNo If so, how long are you under supervision? Who is your direct contact for Probation or Parole? Name:Phone:Phone:  FUTURE GOALS  Why do you want to come to GW:	any
. Are you on Probation or Parole?Yes No If so, how long are you under supervision?  Who is your direct contact for Probation or Parole?  Name: Phone:  FUTURE GOALS  Why do you want to come to GW:	
Who is your direct contact for Probation or Parole?  Name: Phone:  FUTURE GOALS  Why do you want to come to GW:	
Name:Phone:  FUTURE GOALS  Why do you want to come to GW:	
FUTURE GOALS  Why do you want to come to GW:	
. Why do you want to come to GW:	
What do you hope for yourself for the future?	
What do you hope for yourself for the future?	

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3. Please use this \( \) ice to let the clinical team know \( \) y other information about you that you would like to share:				
CONT	ACT INFORMATION			
1. DESIGNATED CONTACT	NAME:			
CONTACT ADDRESS:				
CITY:	STATE:	ZIP:		
CONTACT PHONE NUMBER:				
2. NEXT OF KIN - NAME: _				
CONTACT ADDRESS:				
CITY:	STATE:	ZIP:		
CONTACT PHONE NUMBER:				
4. CASE MANAGER - NAME:				
CONTACT ADDRESS:				
CITY:	STATE:	ZIP:		
CONTACT PHONE NUMBER:				
5. PERSONAL PHYSICIAN -	NAME:			
CONTACT ADDRESS:				
CITY:	STATE:	ZIP:		
CONTACT PHONE NUMBER:				

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## FINANCIAL INFORM TION

<u>Medicaid N</u>	Number:	Med	dicare Number:	
Your sources	of income: Mo	onthly amounts of i	ncome:	
SSI, SSDI, SS Auxiliary Grar			Who is payee for be Who is your Gaurdia	nefits n or Conservator?_
Employment Allowance Payments from Military / Vete Food Stamps Any Other Inc				
Checking Acco Savings Acco Certificate of I Money Marke Treasury Bills Stocks, bonds Retirement or Annuities Personal Prop Other	unt Deposit t Accounts	VALUE		
	eived any lump sum payments tc.?YESNO	during this past ye	ear, such as inheritances	s, insurance
Have you disp	osed of any assets for less th	an fair market valu	e in the last two years?	YESNO
Are you the ov	wner of any Life Insurance po	licies with a cash-i	n value?YES	_NO
Are you the be from this trust	eneficiary of a Trust Fund? yearly?	YESNO	If so, how much income	do you receive
	er for this application.  Letter from the Social applicant's disability Of Stating current benefit (b) Proof of Medicaid end Documentation from processes out of pocket.	VING THREE Do al Security Adm R statement fro (s); nrollment or pro ublic agency of	OCUMENTS MUST inistration determinm Social Security Ad oof that application service agreement;	BE INCLUDED: ing the ministration has been made; or
represent	esident of Gateway, ative payee for my s the information provide	ocial securit	ty benefits.	
Signature of A <sub>l</sub>	pplicant:		Date:	

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# PRELIMINARY ASSESSMENT For Psychosocial & Mental Health Support Services

Applicant's Name	Date of Birth	Social Security Number
DEMOGRAPHIC INFORMATION		
Please refer to the attached Application dated _	for	demographic and emergency contact information.
HEALTHCARE INFORMATION		
Please refer to the attached Application dated _		for healthcare provider information.
REASON FOR ADMISSION (in resident's v	words):	
SUMMARY OF PSYCHIATRIC HISTORY and support needs)	-	
Diagnoses from last treatment provider/agen Axis I:	ncy:	
Axis II:		
Axis III: Axis IV: Axis V:		
Medications as reported by applicant:		
	urrent includin	g co-occurring mental health and substance abuse
MEDICAL & HEALTH HISTORY (including	g allergies)	
FAMILY, SOCIAL, & DEVELOPMENTAL	HISTORY (i	ncluding current supports)
EMPLOYMENT & EDUCATIONAL HISTO	DRY	
LEGAL HISTORY		
Form 650 Preliminary Assessment		

FINANCIAL & INSURANCE INFORMATION:			
HOUSING ARRANGEMENTS			
DAILY LIVING SKILLS			
AT RISK BEHAVIORS TO SELF AND O	THERS		
CLINICAL FORMULATION			
Face-to-face assessment completed by:			
Name & Signature of QMHP	Date	_	
Assessment approved by:			
Name & Signature of LMHP	Date	<del></del>	

	vay Homes, Inc and Procedures
Category: Treatment	Reference:
Title: Prevocational Services	Number: 10
Issued: September 2011	Pages: 2
Revised: December 2013; April, 2014	Attachments: 10.1 Prevocational Service Application; 10.2 Prevocational Service Agreement

- **I. Purpose:** The purpose of this policy is to establish procedures for providing prevocational services for clients.
- **II. Policy:** In keeping with its mission of helping individuals live as independently as possible, Gateway Homes will provide prevocational services for clients to acquire basic employment skills.

#### III. General Guidance And Procedures:

#### 1. Prevocational Services:

- i) Opportunities for prevocational services are contingent upon the availability of tasks which: (a) match the skill sets residents need to develop; (b) provide meaningful and therapeutic learning opportunities; and (c) allow staff to provide appropriate support services. These tasks include such things as: document destruction, janitorial services, groundskeeping, and food service.
- ii) Staff is responsible for identifying and informing the Psychosocial Rehabilitation Manager of the availability of opportunities for prevocational services.
- 2. <u>Eligibility Criteria</u>: Residents who meet the following criteria will be considered for prevocational services:
  - i) Adhere consistently to prescribed medication regimen;
  - ii) Follow program guidelines and interact respectfully with others;
  - iii) Actively engage in recovery and treatment; and
  - iv) Treatment needs are consistent with prevocational services.

#### 3. Referral And Approval Process:

- i) Any staff member who believes a resident meets the criteria for participation in prevocational services should make this recommendation to the Psychosocial Rehabilitation Manager.
- 4. Orientation And Support Services:

- i) The case manager will include prevocational services in the residents individualized services plan and complete *Form 10 Prevocational Service Agreement*.
- ii) The Psychosocial Rehabilitation Manager will assign a staff member to orient the resident to the prevocational tasks to be performed and provide needed support services.
- iii) The assigned staff will assist the resident with skill development, provide feedback as needed, and coordinate this service with the case manager.
- 5. <u>Incentives:</u> The incentive for participation in prevocational services will be a fee reduction based upon the number of hours the resident is engaged in prevocational services. The fee reduction for each hour must be equal to or more than minimum wage. The Program Manager, the assigned staff, and the resident will agree upon the fee reduction schedule. The resident is responsible for signing in and out on the time sheet kept at a designated location. The assigned staff is responsible for reviewing and approving the time sheet and forwarding it to the Director of Finance who will make the agreed upon reduction in fees.
- 6. <u>Continuation Of Prevocational Services:</u> The assigned staff member and the case manager will assess the resident's need for prevocational services on a quarterly basis, document the resident's progress in the individualized services plan, and make any needed modifications to the resident's individualized services plan. Prevocational services will continue until such time as the resident not longer meets the eligibility criteria.
- 7. <u>Program Constraints</u>: Prevocational services will be made available as permitted by the availability of meaningful work and agency funding for this service. The Executive Director reserves the right to modify the service, limit participation in the service, or discontinue the service with 30 days advance notice to the affected residents.



## GATEWAY HOMES, INC.

## Application for Employment/Educational/Volunteer Program

<b>Date:</b>	Date of Program Ad	mittance:	
Name: (Last)	(First)	(Mi	ddle)
Address:			
City:	State:	Zip:	
Phone Number:	Social S	Security #	
	Gender (circle one): Ma	le Female	
	Age: Birthdate:		
	out the Employment/Educations		
1. What is the hi	Educational/Vocation ghest grade/degree you complete		
<b>Education Studied</b>	Name & Location of School	Did You Graduate?	Subject
Grammer School			
High School  College			
Masters, Trade, Business or Correspondence School			
·	d special education classes?		

	Have you ever served in the Armed Forces? Yes No	
	If Yes, list branch and dates of services:	
	List employment held and dates:	-
		-
	What are your hobbies, interests, special talents?	
	Describe your strengths and perceived limitations:	
-		
_	Legal	
H	ave you ever incurred legal charges?Yes No	
If	Yes, please describe and give dates charges incurred:	

· -	to re er as a sexual offender? Yes No
	Future Goals
1. Why do you wan	t to participate in the PSR Vocational/Education/Volunteer Program?
2. What do you hop	e for yourself for the future?
3. Please use this splike to share:	oace to let us know any other information about you that you would
	,

- i) The case manager will include prevocational services in the residents individualized services plan and complete *Form 10 Prevocational Service Agreement*.
- ii) The Psychosocial Rehabilitation Manager will assign a staff member to orient the resident to the prevocational tasks to be performed and provide needed support services.
- iii) The assigned staff will assist the resident with skill development, provide feedback as needed, and coordinate this service with the case manager.
- 5. <u>Incentives:</u> The incentive for participation in prevocational services will be a fee reduction based upon the number of hours the resident is engaged in prevocational services. The fee reduction for each hour must be equal to or more than minimum wage. The Program Manager, the assigned staff, and the resident will agree upon the fee reduction schedule. The resident is responsible for signing in and out on the time sheet kept at a designated location. The assigned staff is responsible for reviewing and approving the time sheet and forwarding it to the Director of Finance who will make the agreed upon reduction in fees.
- 6. <u>Continuation Of Prevocational Services:</u> The assigned staff member and the case manager will assess the resident's need for prevocational services on a quarterly basis, document the resident's progress in the individualized services plan, and make any needed modifications to the resident's individualized services plan. Prevocational services will continue until such time as the resident not longer meets the eligibility criteria.
- 7. <u>Program Constraints</u>: Prevocational services will be made available as permitted by the availability of meaningful work and agency funding for this service. The Executive Director reserves the right to modify the service, limit participation in the service, or discontinue the service with 30 days advance notice to the affected residents.



### **Employment Program Prevocational Service Agreement**

By my signature below, I am voluntarily entering into a prevocational agreement with Gateway Homes.

I understand that Gateway is providing me with this opportunity to develop prevocational skills as part of my treatment focused on helping me live as independently as possible. I agree to perform the following tasks as part of my prevocational service: I understand that Gateway has assigned \_\_\_\_\_ as the staff member to provide me with support, supervision, and feedback while I am receiving prevocational services. I also understand that my incentive for participating in this service is a reduction in my fee agreement with Gateway. Gateway will reduce my fee by \$ for each hour that I spend in the prevocational program performing the tasks described above. Resident's Signature Date Employment Program Manager's Signature Date

Date

Assigned Staff's Signature

Gateway Homes, Inc Policy and Procedures			
Category: Treatment	Reference: 12VAC 35-105-630 & 640; §§503 & 504 of the Rehabilitation Act as amended; Titles VI & VII of the Civil Rights Act of 1964; Age Discrimination Act of 1978; American With Disabilities Act of 1984		
Title: Referrals And Admissions	<b>Number</b> : 630/640		
Issued: June 2004	Pages: 2		
Revised: March 2012; December 2013; April, 2014	Attachments: Form 630 Application Form 650 Preliminary Assessment		

- **I. Purpose:** The purpose of this policy is to establish procedures for screening admission referrals and admitting individuals into the program.
- II. Policy: Gateway Homes will maintain written criteria for admission and a consistent process for screening referrals for admission and admitting individuals. Gateway will admit qualifying adults with severe mental illness without regard to race, creed, color, religion, national origin, sex, sexual orientation, physical handicap, veteran status, or marital status.

### III. General Guidance And Procedures:

### 1. Admission Criteria:

- i) Service Description: Gateway's service description for each program or service will contain criteria for admission, including a description of the population to be served, the types of services offered, and any exclusion criteria.
- ii) Commitment To Recovery: The admission criteria will reflect Gateway's commitment to helping individuals with serious mental illness achieve recovery and the greatest level of independence possible in a community setting.
- iii) Policy Of Nondiscrimination: Qualifying adults with serious mental illness will be admitted without regard to race, creed, color, religion, national origin, sex, sexual orientation, physical handicap, veteran status, or marital status.
- 2. <u>Admission Screening Process:</u> The Admission Committee, or designee, will conduct the admission screening process and complete a preliminary assessment of sufficient detail to determine that the individual qualifies for admission and to develop a preliminary individualized services plan for the individual.
  - i) The screening process will include a clinical interview and a review of the completed Form 630 Application.
  - ii) Applicants will be encouraged to tour the physical facilities to assist with their personal decision making process.

iii) The Manager of Benefits and Quality Improvement, or designee, will complete Form 650 Preliminary Assessment.

### 3. Documentation Of Admissions Screening Process:

i) Applicants Accepted For Admission: Forms 630 Application and 650 Preliminary Assessment will be included in the medical record and used for assessment and service planning.

ii) Applicants Who Are Not Admitted: Forms 630 Application and 650 Preliminary Assessment will be maintained in a secure area in the Director of Admissions for two

years.

4. <u>Applicants Denied Admission:</u> The Clinical Director, or designee, will provide each applicant who has been denied admission with written notice of the reason for denial, information on how to appeal the decision, and make reasonable efforts to help the individual identify other appropriate services.

5. Applicants Approved For Admission:

i) Waiting List: Applicants approved for admission will be placed on a waiting list maintained by the Director of Admissions.

ii) Bed Availability: The Director of Admissions will admit on a first-come, first-serve

basis based upon bed availability

iii) Extenuating Circumstances: Special consideration may be given to applicants with extenuating circumstances such as homelessness, continuing incarceration, or high risk for victimization and hospitalization. The Clinical Director and referring agency may jointly agree to give priority admission to such individuals.



# APPLICATION FOR ADMISSION FOR GATEWAY HOMES-Supported Living Program

Mail completed applications to: Molly Bowles, Gateway Homes, PO Box 460, Chesterfield VA 23832

Date of Gateway Tour:	fine an annual construction of the first of
(First)	(Middle)
STATE:	
SOCIAL SECUR	RITY#
le Female	
ne): Single/Never Married Separated	Divorced Married Widowed
African-American Asian Hispanic	Caucasian (White) Native American Other
RTHDATE:	_
	-
City:	
	STATE: SOCIAL SECUF  Single/Never Married Separated  African-American Asian Hispanic  ATHDATE:  County City: State:



## **Clinical Information**

1.	Current Diagnosis:
2	Current Medications
۷.	Current Medications:
3.	Do you believe that you have a mental illness now and need to take
	medications?
	YesNo
4	
4.	Psychiatric History including age at onset and hospitalizations:
5.	Past outpatient treatment history:
,	
6.	Please check all the symptoms that you have previously experienced:
•	Auditory/visual hallucinations _ Yes _ No
	Delusional thought processes Yes No
	Depressed mood Yes No
	Mania Yes No
	Anxiety Yes No
	Obsessions/Compulsions Yes No
	Eating-disordered behaviors _ Yes _ No
7.	Have you ever attempted suicide?
	_ Yes No
	If an author and hygyrhot manna?
	If so, when and by what means?

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•	ou ever e િ ત્રદ્ anging, etc.)	ged in self-harm	behaviors (e.g No	elf-cutting, bur	ning,
Have yo	ou ever engag	ed in physical or	verbal aggress	ion towards oth	ers?
lf so, pl	ease explain				
		ubstance use inc			
10. List ar	ny current med	dical conditions:			
11. List ar	y operations	or surgeries that	your have had	including dates:	
12. Have y	ou experience	ed:			
a. Seizu		_ Yes Yes	_ No No		
c. Head	ting spells I injury	_ Yes	_ No		-
		<b>Daily Living</b>			
1a. What is yo		ng situation?(P	lease check one With fa		
_	State hospital Community/I	aı Private Hospital		•	
	<b>Group Home</b>	•	_ Other		
	Independent	in an apartment	/house		

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b	. How long have you ─ en in your current living situatid ─ (Please check one) less than 1 month
	1-6 months more than one year
2.	How many different places have you lived during the past year?
3a	Have you ever lived independently?
	_ Yes _ No
b	. If Yes, what was the longest time you lived independently?
	_ less than 1 month 6 months B one year
	_ 1-6 months more than one year
4.	Please describe difficulties that you had while living independently or what has prevented you from living independently.
5.	Please check all of the activities that you are able to complete independently and without assistance from others:  _ personal hygiene _ meal preparation _ personal finance/budgeting _ housekeeping _ medication administration
	Educational/Vocational/Social
1.	What is the highest grade you completed?
2.	Did you attend special education classes? Yes No
	If Yes, what type?
3.	Have you ever served in the Armed Forces? Yes No If Yes, list branch and dates of services:
1.	List employment held and dates:

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5.	What are your hobbies, interests, special talents?
5.	Describe your strengths and perceived limitations:
	<u>Legal</u>
•	Have you ever incurred legal charges?Yes No  If Yes, please describe and give dates charges incurred:
. F	lave you ever physically assaulted someone? _ Yes _ No
C	Yes, please describe any physical altercations you have had, including the date, what started it, and the result:
Н	lave you ever engaged in destruction of property? Yes No

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result:	describe the incident(s), including the date and the
offense?	er been accused of, charged with, or convicted of a sexual
. Are you subj state?	ect to a lifetime sex offender registration requirement in any YesNo
. Do you have a	an advanced directive?YesNo
. Are you an N Who is your	GRI? Yes No hospital liaison?
	robation or Parole?Yes No long are you under supervision?
Who is yo	our direct contact for Probation or Parole?
Name: _	Phone:
	FUTURE GOALS
Why do y	ou want to come to GW:
What do y	ou hope for yourself for the future?

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		know lip other information
<u> </u>	CONTACT INFORMATION	
1. DESIGNATED CONT	ACT NAME:	
CONTACT ADDRESS:		
CITY:	STATE:	ZIP:
CONTACT PHONE NUMBER	₹:	
2. NEXT OF KIN - NAM	ΛΕ:	
CONTACT ADDRESS:		
CITY:	STATE:	ZIP:
CONTACT PHONE NUMBER	₹:	
4. CASE MANAGER - NA	AME:	
CONTACT ADDRESS:		
CITY:	STATE:	ZIP:
CONTACT PHONE NUMBER		
5. PERSONAL PHYSICIA	AN – NAME:	
CONTACT ADDRESS:		
CITY:	STATE:	ZIP:
CONTACT DUONE NUMBER	).	

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# FINANCIAL INFORM TION

Medicaid Number:	Medicare Number:
Your sources of income:	Monthly amounts of income:
SSI, SSDI, SSA Auxiliary Grant	Who is payee for benefitsWho is your Gaurdian or Conservator?_
Employment Allowance Payments from insurance companie Military / Veterans Benefits Food Stamps Any Other Income	es
settlements, etc.?YESN	ayments during this past year, such as inheritances, insurance
Are you the <b>owner</b> of any Life Insura	ance policies with a cash-in value?YESNO
Are you the beneficiary of a Trust Fu from this trust yearly?	and?YESNO If so, how much income do you receive
APPROVAL, ONE OF THE FO 1. a) Letter from the applicant's disable stating current be b) Proof of Median.	LICATION TO BE COMPLETE AND CONSIDERED FOR DLLOWING THREE DOCUMENTS MUST BE INCLUDED: ne Social Security Administration determining the ility OR statement from Social Security Administration enefit(s); icaid enrollment or proof that application has been made; from public agency of service agreement; or applicant and/or family stating that full cost will be paid
representative payee for	eway, I agree that Gateway will serve as my my social security benefits. rovided for this application is complete and accurate.
Signature of Applicant:	Date:

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# PRELIMINARY ASSESSMENT For Psychosocial & Mental Health Support Services

Applicant's Name	Date of Birth	Social Security Number
DEMOGRAPHIC INFORMATION	V.	•
	for c	demographic and emergency contact information.
HEALTHCARE INFORMATION		
Please refer to the attached Application dated		for healthcare provider information.
REASON FOR ADMISSION (in resident's w	vords):	
SUMMARY OF PSYCHIATRIC HISTORY and support needs)		
Diagnoses from last treatment provider/ageno	cy:	
AXIS II.		
Axis III: Axis V: Axis V:		
Medications as reported by applicant:		
SUBSTANCE ABUSE HISTORY (past and cudisorders)		g co-occurring mental health and substance abuse
MEDICAL & HEALTH HISTORY (including	g allergies)	
FAMILY, SOCIAL, & DEVELOPMENTAL	HISTORY (in	icluding current supports)
EMPLOYMENT & EDUCATIONAL HISTO	PRY	
LEGAL HISTORY		
Form 650 Preliminary Assessment	***	

FINANCIAL & INSURANCE INFORMAT	TON:	
HOUSING ARRANGEMENTS		
DAILY LIVING SKILLS		
AT RISK BEHAVIORS TO SELF AND OT	THERS	
CLINICAL FORMULATION		
Face-to-face assessment completed by:		
Name & Signature of QMHP	Date	
Assessment approved by:		
Name & Signature of LMHP	Date	

### REPORT OF RESIDENT PHYSICAL EXAMINATION

(Examination is to be completed by an independent physician within 30 days prior to the date of admission. Report is to be kept as part of the person's permanent record.) DATE OF PHYSICAL EXAMINATION: NAME **ADDRESS** TELEPHONE BP: \_\_\_\_\_ Weight: \_\_\_\_\_ Significant Medical History: General physical condition, including systems review as is medically indicated: Allergies (food, medicine, or other): Is this person: Ambulatory (physically and mentally capable of self-preservation by evacuating in response to an emergency to a refuge area as defined by the Uniform Statewide Building Code without the assistance of another person, or from the structure itself without the assistance of another person if there is no such refuge area within the structure, even if such resident may require the assistance of a wheelchair, walker, cane, prosthetic device, or a single verbal command to evacuate). Nonambulatory (by reason of physical or mental impairment is not capable of selfpreservation without the assistance of another person).

### VDSS MODEL FORM - ALF

Does this individual have any of the following conditions or care needs?

Name				

Condition/Care Need	Yes	No	Comment
Ventilator dependency			
Dermal ulcers III and IV			If stage III is ulcer healing?
Intravenous therapy or injections directly into the vein			If intermittent therapy please note and indicate expected time period.
Airborne infectious disease in a communicable state that requires isolation or special precautions to prevent transmission			
Psychotropic medications without appropriate diagnosis and treatment plans			
Nasogastric tubes		AA) B) All Carlotte and Carlotte	
Gastric tubes			If yes, is person capable of independently feeding himself and caring for the tube?
Presents imminent physical threat or danger to self or others			
Requires continuous licensed nursing care			

### VDSS MODEL FORM - ALF

	Name	
Diagnosis or significant problems:		•
Recommendations for care:		
Medications:		
Diet:		
		· · · · · · · · · · · · · · · · · · ·
Therapy:		
merupy.		
Signatura:	<b>.</b> .	
Signature:	Date:	
(Please print or type physician's name here)		
(Please print or type physician's name here)		
Address (Street, City, State, Zip Code)		
• •		
	Telephone:	

### REPORT OF TUBERCULOSIS SCREENING EVALUATION

	Name	Birthdate	e/_	/
	Address			
1.	Date and result of most recent Mantoux tuberculin s mm of	skin test: Date: induration	_//	
2,	Check here if previously positive and above informa	tion unknown		Frit di
3.	Check here if exhibiting TB-like symptoms			
4.	If TB skin test is 10 mm or greater (5mm in the HIV symptoms exist, respond to the following:	infected), previously	positive o	r if TB-like
	a. Date of last chest x-ray evaluation:	Date:/	/	<u></u> .
	b. Is chest x-ray suggestive of active TB? (circle one	<b>(2)</b> .	YES	NO
	c. Were sputum smears collected and analyzed for t Fast Bacilli (AFB)? <i>(circle one)</i>	he presence of Acid	YES	NO
	d. If 4c is YES, were three consecutive smears negat AFB? (circle one)	ive for	YES	NO
5.	Based on the above information, is this individual fre TB? (circle one)	ee of communicable	YES	NO
6.	Name of licensed physician, physician's designee or l completing the evaluation:	ocal health departm	ent official	
	Print Name	Phone		
7. S	ignature of license physician, physician's designee or loc evaluation:	al health departmen	t official c	ompleting
			/	
		Date		

VDSS MODEL 4M - ALI

# PRELIMINARY INDIVIDUALIZED SERVICE PLAN

If applicable: Medicaid #\_\_\_\_\_

		DMAS Provider ID#
Resident's Name:	Name of Program:	Gateway Homes, Inc.
ee reverse side for signatures and additional information.		
Description of needs is based upon the UAI, medical reports, and any addition	al assessments necess	sary to meet the care needs of the resident.
A. If the resident lives in a building housing 19 or fewer residents, does the resid	ent need to have a staff	member awake and on duty at night? Yes No

<u>B.</u>	Description of Needs and Date Identified	Services to be Provided	Persons Who will Provide Services	When and Where Services will be Provided	Expected Outcomes/Goals (Include Time Frames)
		·			
					`

<u>B.</u>	Description of Needs and Date Identified	Services to be Provi	ded	Persons Who will Provide Services	When and Where Services will be Provided	Expected Ou (Include Ti	tcomes/Goals me Frames)
						·	
SIGN.	ATURES:						
	Staff Person Who Comp	leted Plan	Date Pla	nn Completed	Residen	t	Date
L	Licensed Health Care Professional (630.J)  (For Assisted Living Care Residents)		Date	Other, if any, Involved in Development of Plan  (Specify Title/Relationship)			Date
PLAN	REVIEW/MODIFICATION	NS			, 2	, , , , , , , , , , , , , , , , , , ,	
NOTE (630.J)	: Changes in plan should be ini	tialed by staff person making c	change, resi	dent, and for assisted livin	ng care residents, license	ed health care p	rofessional
Staff F	Person Designated to Review,	Monitor, Ensure Implemen	tation, and	l Make Appropriate Mo	odifications to Plan:		
	Implementation Monitored a		·	_			
	ATURES:				***************************************		
SIGNA							

## **Gateway Homes, Inc.**

### **Progress Note**

Shift:

Shift Documentation:		
		t
Staff Name:	Staff Signature:	Date:

Form 680.1 Progress Note

# Gateway Homes, Inc. Treatment Note

Name:		Resident Name & #			DOB:
Date:	Duration:	Minutes	Service:	Mental Health Sup	oport
Objectives(s):	<u>l</u>				
Intervention(s):					
	-				
					•
Staff Name & Title	Staff Signat	ture	LMHP Na	ıme	LMHP Signature

# Gateway Homes, Inc. Treatment Note

Name:		Resident Name & #	:	DOB:
Date:	Duration:	Minutes	Service: NonBillable Service	ce
Objectives(s):	·			
		,		
Intervention(s):				
mie, veneien(s)				
	· ·			
	,			
		,		
Staff Name & Title	Staff Signat	ture	LMHP Name	LMHP Signature

Gateway Homes, Inc				
	Policy and Procedures			
Category: Treatment	Reference: 12VAC 35-105-870; §32.1-127.1:03 of the Code of Virginia, as amended; 42 USC §290dd; 42 CFR Part 2; Health Insurance Portability and Accountability (Public Law 104-191, 42 USC § 300gg et seqq.); and 42 CFR; Gateway's Document Retention Policy			
Title: Managing Confidential	Number: 870			
Information In Service				
Records				
Issued: June 2004	Pages: 3			
Revised: June 2011;	Attachments:			
December 2013; April, 2014	Form 80.B 4 (a) Release of Information			
_	Form 80.B 4 (b) Consent For Use Of Name, Photograph, And Information			

- I. **Purpose:** The purpose of this policy is to establish procedures for managing the information contained in individual services records.
- II. Policy: Gateway Homes will ensure confidentiality of individual services records by maintaining paper and electronic records in secure manner, limiting access to authorized personnel, only making disclosures of protected health information in accordance with this policy, and fully complying with all state and federal laws and regulations.

#### III. General Guidance And Procedures:

- a. <u>Dissemination Of Confidential Information</u>: Individual services records shall be treated confidentially and information within the record may only be disclosed pursuant to one of the conditions described below. This information includes use of an individual's name, photograph, quotes or other information in print publications, video and multimedia presentations, websites, and social media. If a staff member has any question about the release of information within a services record, that staff member is responsible for consulting with the Manager of Benefits and Quality Improvement, or designee, prior to disclosing the information. The only authorized disclosures are:
  - i. Written authorization by the individual or legally authorized representative on Form 80.B 4 Release of Information or Form 80.B 4 (b) Consent For Use Of Name, Photograph, And Information;
  - ii. Verbal authorization by individual documented in the individual services record;
  - iii. Information needed to provide emergency medical care when the individual is unable or unwilling to grant permission or his legal representative is not available to grant permission;
  - iv. Coordinating care when the individual is discharged or terminated from services and is receiving services from another provider;

- v. A request from a representative of a licensing or regulatory agency; and
- vi. Pursuant to a court order or any requirements of the law not described above.
- b. <u>Access:</u> Individual services records may only be accessed by staff, contractors, students, or volunteers authorized by the Clinical Director, or designee.
- c. <u>Duplication:</u> Individual services records may only be duplicated in accordance with the section on Disseminating Confidential Information.

### d. Management Of Electronic Services Records:

- i. Description Of Electronic System and Back-up: Individual services records are electronic and maintained securely through a web-based service, CaseWorks Web provided by contract with Integrated Imaging. The system is hosted by a top tier hosting facility using redundant, multi-gigabit bandwidth access provided by AT&T, MCI, Qwest, and Level 3 to ensure constant up-time. It uses a 100% Cisco Server Network with qualified Disaster Recovery redundant back-up procedures in place, an SAS 70 Type II certified Data Center with Triple redundant power feeds into the Data Center with back-up 1500 KVA ONAN Diesel Generators and MGA uninterruptible power supplies.
- ii. Security And Access: CaseWorks Web uses an encrypted URL with restricted access to authorized users employing 128 bit Secure Socket Layer Encription. Records can only be accessed with an authorized user identification number and password. Each staff member, contractor, student, or volunteer authorized to access records by the Clinical Director will be given a unique user identification number and password linked to his or her signature. The user identification number and password may not be shared with anyone.
- iii. *Activity Trail*: CaseWorks Web provides a comprehensive audit trail of users and their activities within the system. Administrative Users will be assigned by the Clinical Director and can configure the levels of security access within the system through the use of management permissions for each group of users. Any entry in the electronic record will reflect the date and the user making the entry.
- iv. Failure Of Electronic System: In the event CaseWorks Web electronic records cannot be accessed by the close of the shift, all required documentation will be completed on paper and scanned into the electronic record as soon as access has been re-established with CaseWorks Web. Any staff member creating or updating the Face Sheet is responsible for printing out the FaceSheet and filing it in the designated notebook in the staff office.
- e. <u>Management Of Paper Service Records</u>: *Paper Records*: Gateway will maintain all closed paper individual services records in a locked area. Only staff, contractors, students, or volunteers authorized by the Clinical Director, or designee, will have access

to this locked area. No paper records may be removed from the Reedy Branch Road Campus at any time.

- f. <u>Responsibility For Service Records Management:</u> The Director of Admissions is responsible for managing electronic and paper services records.
- g. Disposition Of Service Record:
  - i. *Electronic Records*: A complete electronic record will be maintained for a minimum of ten years after discharge. The permanent information kept on each individual shall include the individual's name, date of birth, social security number, dates of service, and legal guardian. The remainder of the information will be deleted.
  - ii. *Paper Records:* A complete record shall be kept on-site in a secure area for a minimum of ten years after discharge. The permanent information kept on each individual shall include the individual's name, date of birth, social security number, dates of service, and legal guardian. The remainder of the information will be shredded.
- h. *Cessation Of Operation*: In the event Gateway decides to discontinue operating as an organization, prior to terminating its operations Gateway will enter into a business associated agreement to store individual services records for ten years following the cessation of operations.

### **Authorization For Releasing Protected Health Information**

Client Name:	SSN:		DOB:	
I hereby authorize:	Gateway Homes, Inc. 11901 Reedy Branch Rd. Chesterfield, VA 23838	(804) 490-6	715	
to □ Disclose to:	and/or   Receive from:			
Name of Individual and/or Orga	nization to Whom Disclosure is to be made	le		
Street Address	City	State	Zip Code	
The following inform	ation: (Please check all that	apply)	•	
☐ Case Closing Sum	•	•	☐ Intake/Referral	
☐ Initial Evaluation	☐ Treatmer		☐ Medications	
<ul><li>□ Diagnosis</li><li>□ Psychological Eval</li></ul>		e Abuse Info. ic Evaluation	<ul><li>□ Progress Notes</li><li>□ Medical History</li></ul>	
<ul><li>☐ Psychological Eval</li><li>☐ Summary of Service</li></ul>	▼	ease specify):	□ Medical History	
☐ Continued Medical	n this information is to releat /Mental Health Treatment	or 🗆 Fo	ollow-up Care	
☐ Other (Please specif	(y):			
records. I also understand that I I possession of my records. A coporiginal records. The person who	nt, I understand that: I am giving my perm have the right to revoke this consent, but it y of this consent and a notation concerning to receives the records to which this consent provider who makes a disclosure permitte	hat my revocation is no g the persons or agenci nt pertains may not redi	ot effective until delivered in writi les to whom disclosure was made	ng to the person who is in shall be included with my
previously revoked, this au □ 90 Days □ 365 Days (1 Year)	ct to revocation at any time, unless thorization will terminate in:  event, or condition:			en sent. If not
	s information placed in my record			
Client or Authorized Repre	sentative's Signature *	Date Signed	·	
Witness Signature		Date Signed	<u></u>	

<sup>\*</sup> An authorized representative's signature must be accompanied by a description of the signatory's authority.



## GATEWAY HOMES, INC.

### Consent For Use Of Name, Photograph, And Information

Resident Name:		Resident No					
Gateway's work by this Gateway uses Gateway promises	nc. asks for charitable contributions and communicates sharing and displaying the stories of willing individuals we print publications, video and multimedia presentations, we that it will not use your name, photograph or information written consent on this form.	who benefit from Gateway's program. For websites and social media like Facebook.					
	Please check one of the following:						
print publication including, by all rights to subject to constant	I CONSENT. I hereby give Gateway permission to use my name, photograph, quotes and other information, in print publications, video and multimedia presentations, websites and social media like Facebook, for any purpose including, but not limited to, public relations, marketing, designs, logos, display and descriptions. I am releasing all rights to images without any requirement of payment or royalties. I understand that my information may be subject to comments or further display or distribution by third parties, which Gateway may attempt to limit but cannot entirely control.						
	CONSENT to Gateway's use of my name, photography video and multimedia presentations, websites and social management.						
	signing below, that I am 18 years of age or older, or otherw dent. I have read this agreement and fully understand it.	ise that I am the parent or legal guardian					
	Resident Name (Print)	Date					
	Resident Signature	Date					
	Information of Parent or Guardian:						
	Parent/Guardian Name (Print)						
	Parent/Guardian Signature	Date					
	Information of Witness:						
	Witness Name (Print)						
Form 80.B 4 (b) Conse.	Witness Signature nt for Use Of Name	Date					

Gateway Homes, Inc Policy and Procedures				
Title: Transfer Between Agency Services	Number: 850			
Issued: June 2004	Pages: 1			
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 850 Transfer Summary			

- I. **Purpose:** The purpose of this policy is to establish procedures for transferring individuals from one agency service to another agency service.
- II. Policy: Gateway Homes will ensure continuity of care for individuals transferred from one agency service to another agency service.

### III. General Guidance And Procedures:

- a. <u>Individual and Family Involvement:</u> The assigned case manager will encourage individuals and their families to actively participate in the transfer decision making process.
- b. <u>Continuity Of Care:</u> The assigned case manager will complete Form 850 Transfer Summary, which includes an update on the individual's progress toward meeting goals and objectives in the individualized services plan, and coordinate the provision of services with the receiving case manager.
- c. <u>Individualized Services Plan</u>: The receiving case manager will complete a new individualized services plan within 30 days of the transfer, if remaining within Gateway's program.

## **Transfer Summary**

Resident Name:		Resident No:
DOB:	DOA:	SSN:
Diagnosis:		
Transfer Date:		
Transferring Progra	ım:	
Receiving Program:		
Transfer Reason:		
Individual & Family	Involvemen	at In Transfer Decision:
Current Medical and	d Psychiatric	e Condition:
Updated Progress or	n Meeting Go	oals/Objectives of ISP:
Medications: Please	see Medicati	ion Record dated
Benefit Status:		
Transferring Staff		Date
Receiving Staff		Date
LMHP		Date

Gateway Homes, Inc Policy and Procedures			
Category: Treatment	<b>Reference</b> : 12VAC 35-105-860		
Title: Discharge Procedures	Number: 860		
Issued: June 2004	Pages: 1		
Revised: June 2011; October 2013; April,	Attachments: Form 860 Discharge Summary		
2014	Supported Apartment Program Tenant		
	Agreement		
	Resident Agreement (on Lauris)		
	Form 160.C.1 DBHDS Rights		

- I. **Purpose:** The purpose of this policy is to establish procedures for discharging individuals form services.
- II. Policy: Gateway Homes will engage individuals in discharge planning in a manner consistent with the individualized services plan and the program criteria for discharge.

#### III. General Guidance And Procedures:

- a. <u>Involvement In Discharge Planning:</u> The assigned case manager will involve the individual, authorized representative, and when appropriate, the individual's family in the discharge planning process. This involvement will be documented in the individual's services record.
- b. <u>Criteria For Discharge:</u> Gateway will establish medical, clinical, and behavioral discharge criteria that are described in the Resident Agreement. The criteria will be included in the Service Description and provided to individuals, authorized representatives.
- c. Discharge Procedures:
  - i. *Discharge Planning Process* shall be consistent with the individualized services plan.
  - ii. Termination of services will be consistent with the Resident Agreement.
  - iii. *Discharge Instructions* will be provided to individual and legally authorized representative and, at a minimum include:
    - 1. Medications with dosages;
    - 2. Medical and psychiatric conditions and recommended treatment;
    - 3. Referrals for services with provider's name, address, and phone number and date of service.
- d. <u>Discharge Summary</u>: The assigned case manager will complete Form 860 Discharge Summary within 30 days of discharge.

# Gateway Homes' Discharge Summary

Resident Name:	Resident Number:	
Reason For Admission:		
Progress Made Toward ISP Goals & Objectives and		
Level of Functioning At Time Of Discharge:		
Medications At Discharge: Please see Medication L	og dated	
Reason For Discharge: (drop down box with the following: shospitalization; death; other) Please describe:		
Resident notified by of the dis	scharge by	on
Method of notification	staff name	date
Family/Personal Representative family/representative name	notified bystaff name	on
Description of Individual and Family Involvement In		
Emergency Contract (for an emergency discharge): _		
Actions Taken To Assist With Discharge and Reloca		
Recommendations To Maintain/Improve Functioning		
Discharge Date: Discharge A	Address:	
Discharge Type: (drop down box with the following: own hacility; other)	nome; relative's home; group home; hospi	tal; shelter; correctional
Date Discharge Summary Completed:	-	
Signature of Staff Completing Discharge Summary: _		
gnature of Administrator/LMHP:		



### **Supported Apartment Program**

### **Tenant Agreement**

To assure the health, safety and progress of all residents who are part of the Supported Apartment Program, residents are expected to enter into the following agreement with Gateway. Failure to follow these guidelines may result in discharge from the program and will affect housing status.

As a resident of the Gateway Supported Apartment Program, I understand and agree to the following expectations:

#### **Apartment Living:**

- 1. I agree to keep my apartment neat and clean and to work with my MHSS worker on my activities of daily living (ADL's).
- 2. I agree to be respectful of my housemates/neighbors with respect to noise, visitors and cleanliness of common areas (including shared outside space).
- 3. Violent or intimidating behavior is not acceptable.
- 4. Should problems arise with neighbors or housemates, I will work with staff and all involved toward resolution that is agreeable to all if possible.
- 5. I will respect the rights and property of others (housemates, neighbors and Gateway employees) while living in the apartment.
- 6. I will abide with an 11:00 curfew and will sign out prior to leaving the campus so that staff will be aware of my absence.
- 7. All sexually intimate behavior must remain within the privacy of the bedroom.
- 8. Residents must wear appropriate clothing in the common areas of the apartments.
- 9. Pets are only allowed with the approval of Gateway administration.

### **Prohibited Items:**

I understand that the following items are prohibited at all times:

- 1. Alcohol
- 2. Illegal Drugs
- 3. Weapons
- 4. Candles and open flames

### Random Drug Screens:

I understand that Gateway housing is part of a drug-free Supported Apartment Program. I agree to remain free of alcohol and other drugs and recognize the other residents/neighbors right to a safe and drug free environment that is conducive to recovery. From this point on I understand that I will be subjected to random drug screens at the discretion of Gateway staff. If the drug screen is positive for illegal drugs, or I refuse to participate in the drug screen, additional interventions may include discharge from the program.

#### Tobacco:

Smoking and chewing tobacco are prohibited inside of the apartments. Residents are expected to use ashtrays and clean up after tobacco use and there is to be absolutely no tobacco use in the apartments.

#### Medications:

- 1. If my psychiatrist deems me able to administer my own medications, it is my responsibility to store them properly and take them as prescribed.
- 2. If I need assistance in order to take my medications on a regular basis, staff can help with medication storage, oversight of my ability to fill my medication planner properly and monitoring of my adherence to medications including checking my med planner.
- 3. It is my responsibility to notify staff of my need for renewal of medications or need for medications packed for overnights prior to leaving campus.

#### **Overnight Guests:**

- 1. Overnight guests are not allowed in the apartments.
- 2. Non-resident visitors must sign in and may visit until the 11:00 pm curfew.

### Security:

- 1. To ensure the safety of all residents, doors should remain locked when the residents are away from the apartment
- 2. Strangers should not be admitted to apartment unless prior identification has been made (i.e., delivery persons, workmen, etc.
- 3. The activity center is closed after working hours unless staff is conducting special activities.

#### Financial:

1. I understand that I have signed a lease on my apartment and am contractually obligated by that agreement until my lease expires.

- 2. I am responsible for budgeting with my payee and I am responsible for my share of the rent each month.
- 3. I agree to give a 30 day notice of intent to terminate the lease when I plan to transition.

### **Structured Activities:**

1. I agree to participate in structured activities daily. These activities may include psychosocial rehabilitation, volunteer experiences, work or school. The details of my structured activities will be reflected in my individual service plan.

Resident Name (Printed)

Resident Signature

Date

**Gateway Staff Signature** 

### **DBHDS** Rights For Gateway Residents

VA CODE § 37.2-400. Rights of consumers

A. Each person who is a consumer in a hospital, training center, other facility, or program operated, funded, or licensed by the Department, excluding those operated by the Department of Corrections, shall be assured his legal rights and care consistent with basic human dignity insofar as it is within the reasonable capabilities and limitations of the Department, funded program, or licensee and is consistent with sound therapeutic treatment. Each person admitted to a hospital, training center, other facility, or program operated, funded, or licensed by the Department shall:

- 1. Retain his legal rights as provided by state and federal law;
- 2. Receive prompt evaluation and treatment or training about which he is informed insofar as he is capable of understanding;
- 3. Be treated with dignity as a human being and be free from abuse or neglect;
- 4. Not be the subject of experimental or investigational research without his prior written and informed consent or that of his legally authorized representative;
- 5. Be afforded an opportunity to have access to consultation with a private physician at his own expense and, in the case of hazardous treatment or irreversible surgical procedures, have, upon request, an impartial review prior to implementation, except in case of emergency procedures required for the preservation of his health;
- . Be treated under the least restrictive conditions consistent with his condition and not be subjected to unnecessary physical restraint and isolation;
- 7. Be allowed to send and receive sealed letter mail:
- 8. Have access to his medical and clinical treatment, training, or habilitation records and be assured of their confidentiality but, notwithstanding other provisions of law, this right shall be limited to access consistent with his condition and sound therapeutic treatment;
- 9. Have the right to an impartial review of violations of the rights assured under this section and the right of access to legal counsel; and
- 10. Be afforded appropriate opportunities, consistent with the person's capabilities and capacity, to participate in the development and implementation of his individualized services plan.

I,, hav	e received and rev	viewed a copy of the Rigl	hts of Consumers. I have been
			I have also been informed of and
understand the rules of the G	Sateway Homes as	s they relate to these righ	its and responsibilities.
		·	

(Witness' Signature)

Date

Form 160.C.1 DBHDS Rights

(Resident's Signature)

Gateway Homes, Inc Policy and Procedures			
Category: Human Rights	Reference: 12VAC 35-105-160; Gateway's Human Rights Policy; Human Rights Regulations		
<b>Title:</b> Human Rights Operating Procedures	Number: 160		
Issued: June 2004	Pages: 3		
Revised: June 2011; December 2013;	Attachments:		
April, 2014	Form 160.C.1 DBHDS Rights		
	Form 160.C.3 Human Rights Poster		
	Form 160.C.5 Complaint Resolution		
	Form 520/710/800 Crisis & Serious Injury		
	Report Form		

- I. Purpose: The purpose of this policy is to establish operating procedures for ensuring residents are aware of their rights, handling resident complaints, and reporting abuse, neglect, or exploitation.
- II. Policy: Gateway Homes will ensure every individual receiving services is informed of human rights, treated with dignity and respect, and accorded full rights under the applicable laws and regulations.

### III. Definitions

<u>Abuse</u> is an act that was performed, or failed to be performed, knowingly, recklessly, or intentionally that caused, or might have caused, physical or psychological harm, injury, or death. Examples of abuse include such things as: assault, sexual touching; excessive use of force; denial of services to punish; or language that is threatening, demeaning, or intimidating.

<u>Neglect</u> is failure to provide services, care, treatment, or goods necessary to a resident's health, safety, or welfare. Examples of neglect are such things as: failure to note changes in resident's condition; failure to provide adequate clothing; or failure to act in order to protect or prevent harm.

<u>Exploitation</u> is taking/using resident's assets for personal gain. Examples include such things as: borrowing money; misappropriation of resident's funds; soliciting gifts; or charging residents for your help or care.

### IV. General Guidance And Procedures:

a. <u>Staff, Contractors, Direct Care Volunteers, and Students</u>: will be oriented in the application of this policy at the time of hire/service, provided with an annual update, and take a competency-based test each year. This training and the test results will be documented in their personnel and/or volunteer records.

### b. Informing Individuals of Their Rights:

- i. At Admission: Each individual receiving services and authorized representatives will be provided with a copy of Form 160 Service Guidelines and Form 160.C.1 Department of Behavioral Health and Developmental Services Rights at the time of admission. These rights will be made a permanent part of the resident's medical record. Each individual and authorized representative will be informed that a complete copy of the Human Rights Regulations is available upon request from the Program Supervisor.
- ii. Access To Human Rights Regulations: The Program Supervisor for each service is responsible for maintaining a complete copy of the Human Rights Regulations (Blue Book) and making it available upon request to any individual or authorized representative.
- iii. *Annual Review:* These guidelines and rights will be reviewed with each resident on an annual basis.
- iv. *Posted Information:* Resident rights and related contact information will be posted on a prominent bulletin board.
  - 1. For programs licensed by Behavioral Health and Developmental Services *Form 160.C.3 Human Rights Poster* will be posted.
  - 2. Information from the Disability Law Center of Virginia will be posted as requested by this Office.

### b. <u>Handling Complaints:</u>

- i. *All employees and contractors* are responsible for promptly responding to residents' concerns and attempting to resolve them in a timely manner. If a resident expresses dissatisfaction with the staff member's response, the staff will:
  - 1. provide residents with the Form 160.C.5 Complaint Resolution;
  - 2. assist the resident in completing the form if needed; and
  - 3. inform the resident to give the completed form to the Human Rights Advocate.
- ii. *The Human Rights Advocate* will meet with the resident in person and attempt to resolve the complaint to the resident's satisfaction. If the complaint is not resolved within five days, the complaint form shall be forwarded to the DBHDS Human Rights Advocate.

- iii. The Manager of Benefits and Quality Improvement upon receipt of the complaint will:
  - 1. notify the Regional Advocate;
  - 2. meet with the resident within 24 hours or the next working day to resolve the matter;
  - 3. provide the resident with a written plan of action within 10 days including notice to the individual (a) of the appeals process, (b) on how to contact the advocate; and (c) that the complaint will be closed if the individual does not respond; and
  - 4. follow any other procedures contained in Gateway's Human Rights Policy (pages 31 and 32).

### c. Reporting Abuse, Neglect, Or Exploitation

- i. Any employee, contractor, or volunteer who has knowledge or a suspicion of abuse, neglect, or exploitation must immediately make a report to the Executive Director.
- ii. The Executive Director will immediately
  - 1. Follow the procedures set forth in Gateway Homes, Inc. Human Rights Policy and Procedures to inform the Offices of Licensing and Human Rights and investigate such allegations;
  - 2. Enter information into CHRIS as required by the Human Rights Policy;
  - 3. Notify Adult Protective Services as required by applicable regulations.

### **DBHDS Rights For Gateway Residents**

VA CODE § 37.2-400. Rights of consumers

A. Each person who is a consumer in a hospital, training center, other facility, or program operated, funded, or licensed by the Department, excluding those operated by the Department of Corrections, shall be assured his legal rights and care consistent with basic human dignity insofar as it is within the reasonable capabilities and limitations of the Department, funded program, or licensee and is consistent with sound therapeutic treatment. Each person admitted to a hospital, training center, other facility, or program operated, funded, or licensed by the Department shall:

- 1. Retain his legal rights as provided by state and federal law;
- 2. Receive prompt evaluation and treatment or training about which he is informed insofar as he is capable of understanding;
- 3. Be treated with dignity as a human being and be free from abuse or neglect;
- 4. Not be the subject of experimental or investigational research without his prior written and informed consent or that of his legally authorized representative;
- 5. Be afforded an opportunity to have access to consultation with a private physician at his own expense and, in the case of hazardous treatment or irreversible surgical procedures, have, upon request, an impartial review prior to implementation, except in case of emergency procedures required for the preservation of his health;

Be treated under the least restrictive conditions consistent with his condition and not be subjected to unnecessary physical restraint and isolation;

- 7. Be allowed to send and receive sealed letter mail;
- 8. Have access to his medical and clinical treatment, training, or habilitation records and be assured of their confidentiality but, notwithstanding other provisions of law, this right shall be limited to access consistent with his condition and sound therapeutic treatment;
- 9. Have the right to an impartial review of violations of the rights assured under this section and the right of access to legal counsel; and
- 10. Be afforded appropriate opportunities, consistent with the person's capabilities and capacity, to participate in the development and implementation of his individualized services plan.

, have received and reviewed a copy of the Rights of Consumers. I have been provided the opportunity to receive clarification and or further detail. I have also been informed of and understand the rules of the Gateway Homes as they relate to these rights and responsibilities.						
Resident's Signature)	 Date	(Witness' Signature)				

# It is your RIGHT

- To be treated with dignity and respect;
- To be told about your treatment;
- To have a say in your treatment;
- To speak to others in private;
- To have your complaints resolved;
- To say what you prefer;
- To ask questions and be told about your rights;
- ❖ To get help with your rights.

If you have questions or need help, see the program contact person or the human rights advocate:

Program contact person:	
Human rights advocate:	, 1-888-207-2963

# **Resident Complaint Resolution**

Part A (to be completed by resident)	
Date of Complaint://	Resident Name:
Description Of Complaint:	
	Resident's Signature
Part B (to be completed by Clinical Director)	
Description Of Attempts To Resolve Complaint: _	
	Clinical Director's Signature
Date Resolved:/ (if unresolved, a	at day 5, the complaint must be referred to the ED)
Date Referred to Executive Director://_	
Part C (to be completed by Executive Director)	
Date Advocate Notified:/ Dat	te of Meeting with Resident://
Date of Written Preliminary Decision://_	Date Action Plan Provided:/
Pate of Notice On How To Respond & Contact Adv	vocate://

Form 160.5 Complaint Resolution

# CRISIS INTERVENTION & SERIOUS INCIDENT REPORT

individual's Name:	Date:	Time:	
Nature of Crisis/Emergency/Incident:			
			•
Precipitating Factors:			
Treatment or Interventions Provided:			
Outcome (including severity of injuries if any): _			
Employees or Contractors Involved:			
Notifications Made To:			
Name & Signature	Date		
Review Of Crisis Intervention/Serious Inci	ident		
indings And Recommended Corrective Action (i	f any):		
Nama Signatura Title of pages and in its	D-4		
Name, Signature, Title of person reviewing report orm 520/710/800 Crisis Intervention & Serious Incident	Date Report		

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### One – Assurance Of Rights (12 VAC 35-115-40)

- 1) Individuals are entitled to know their rights as established in Section 37.1-84.1 of the Code of Virginia. Therefore, staff at Gateway Homes, Inc. shall take the following actions to ensure that individuals are aware of their rights:
  - a) Display, in areas most likely to be noticed, a document listing the rights of individuals under the Human Rights Rules & Regulations and how to contact a Human Rights Advocate by providing the name and phone number of the Human Rights Advocate.
  - b) Provide the individual with notice of these rights and discuss these rights with the individual at the time services begin and every year thereafter.
  - c) Notify each individual and his legally authorized representative, as applicable, about these rights and how to file a complaint. The notice shall be in writing and in any other form most easily understood by the individual. The notice shall tell the individual how he/she can contact the human rights advocate and give a short description of the human rights advocate's role. Staff shall give this notice at the time the individual begins services and every year thereafter.
  - d) Ask the individual or legally authorized representative, as applicable, to sign the notice of rights. File the signed notice in the individual's services record. If the individual or legally authorized representative cannot or will not sign the notice, the staff who gave the notice shall document that fact in the individual's services record.
  - e) Give a complete copy of these regulations to anyone who asks for them.
  - f) Display and provide information as requested by the protection and advocacy agency director that informs individuals of their right to contact the protection and advocacy agency.
  - g) Display and provide written notice of rights in the manner, format, and languages most frequently understood by the individual receiving services.
- 2) Every individual receiving services has a right to seek informal resolution and file a human rights complaint. Any individual receiving services or anyone acting on his/her behalf who thinks that Gateway Homes has violated any of his/her rights may file a complaint and get help in filing the complaint.
- 3) Other rights and remedies may be available. Neither the Human Rights Rules & Regulations nor these procedures shall prevent any individual from pursuing any other legal right or remedy to which he/she may be entitled under federal or state law.

### Two - Individual Rights (12 VAC 35-115-50)

- 1) Each individual has a right to exercise his/her legal, civil, and human rights, including constitutional rights, statutory rights, and the rights contained in the Human Rights Rules & Regulations except as specifically limited therein. Each individual also has the right to be protected, respected, and supported in exercising these rights. Gateway Homes shall not partially or totally take away or limit these rights solely because the individual has a mental illness, mental retardation, or substance abuse problem and is receiving services for these conditions or has any physical or sensory condition that may pose a barrier to communication or mobility. Each individual has a right to have services that he receives respond to his needs and preferences and to be person-centered.
- 2) In receiving all services, each individual has the right to:
  - a) Use his/her preferred or legal name;
  - b) Be protected from harm, including abuse, neglect, and exploitation;
  - c) Have help in learning about, applying for, and fully using any public service or benefit to which he/she may be entitled. These services and benefits include but are not limited to educational or vocational services, housing assistance, services or benefits under Title II, XVI, and XIX of the Social Security Act, United States Veterans Benefits, and services from legal and advocacy agencies;
  - d) Have opportunities to communicate in private with lawyers, judges, legislators, clergy, licensed health care practitioners, legally authorized representatives, advocates, the Inspector General, and employees of the protection and advocacy agency;
  - e) Be provided with general information about program services policies and rules in writing and in the manner, format, and language easily understood by the individual.
- 3) In services provided in residential settings, each individual has the right to:
  - a) Have sufficient and suitable clothing for his/her exclusive use;
  - Receive a nutritionally adequate, varied, and appetizing diet prepared and served under sanitary conditions, served at appropriate times and temperatures, and in a manner consistent with any individualized diet program;
  - c) Live in a safe, sanitary, and humane physical environment that gives each individual, at a minimum:
    - i) Reasonable privacy and private storage space;
    - ii) An adequate number and design of private, operating toilets, sinks, showers, and tubs that are designed to accommodate individual's physical needs;
    - iii) Direct outside air provided by a window that opens or an air conditioner;
    - iv) Windows or sky lights in all major areas used by individuals;
    - v) Clean air, free of bad odors, and;
    - vi) Room temperatures that are comfortable year round and compatible with health requirements.
  - d) Practice a religion and participate in religious services subject to their availability, provided that such services are not dangerous to the individual or others and do not infringe on the freedom of others;

- e) Have paper, pencil, and stamps provided free of charge for at least one letter every day upon request unless the individual has funds to buy paper, pencils, and stamps to send a letter every day;
- f) Have help in writing or reading mail as needed;
- g) Communicate privately with any person by mail and help in writing or reading mail as needed;
- h) Communicate privately with any person by telephone and get help in doing so;
- i) Have or refuse visitors.

### 4) Gateway Homes Duties - Gateway Homes shall:

- a) Recognize, respect, support, and protect the dignity and rights of each individual at all times;
- b) Develop, carry out, and regularly monitor policies and procedures that assure the protection of each individual's rights;
- c) Immediately notify the Director or his designee if staff knows of or has reason to believe that an individual may have been abused, neglected, or exploited;
- d) The Director or his designee shall immediately take necessary steps to protect the individual receiving services until an investigation is complete. This may include:
  - i) Directing the employee(s) involved to have no further contact with the individual;
  - ii) In the case of peer-on-peer aggression, protecting the individual from the aggressor in accordance with sound therapeutic practice and the Human Rights regulations;
  - iii) Temporarily reassigning or transferring the employee(s) involved to a position that has no direct contact with individuals receiving services;
  - iv) Temporarily suspending the involved employee(s) pending completion of an investigation.
- e) The Director or designee shall immediately notify the Human Rights Advocate and the legally authorized representative, as applicable. In no case shall notification exceed 24 hours from the receipt of the initial allegation of abuse, neglect, or exploitation.
- f) In no case shall the Director or his designee punish or retaliate against an employee, consultant, or student for reporting an allegation of abuse, neglect, or exploitation to an outside entity;
- g) The Director or his designee shall initiate an impartial investigation within 24 hours of receiving a report of potential abuse or neglect. The investigation shall be conducted by a person trained to do investigations and who is not involved in the issues under investigation;
- h) The Investigator shall make a final report to the Director, his designee, or the investigating authority and to the Human Rights Advocate within ten working days of the investigator's appointment. Exceptions to this timeframe may be requested and approved by the Department if submitted prior to the close of the sixth day.
- i) The Director, his designee, or investigating authority shall, based on the investigator's report and any other available information, decide whether the abuse, neglect, or exploitation occurred. Unless otherwise provided by law, the standard for deciding whether abuse, neglect, or exploitation has occurred is preponderance of evidence.
- j) If abuse, neglect, or exploitation occurred, the Director shall take any action required to protect the individual(s). All actions must be documented and reported as required by Procedure Section Three, II of this policy and procedure.

- k) In all cases, the Director shall provide his written decision, including all actions taken as a result of the investigation, within seven working days following the completion of the investigation of the decision, and all actions taken to the individual or the individual's legally authorized representative, the Human Rights Advocate, the investigating authority, and the involved employee(s). The decision shall be in writing and in the manner, format, and language that is most easily understood by the individual.
- If the individual affected by the alleged abuse, neglect, or exploitation or his/her legally authorized representative is not satisfied with the Director's actions, he/she or his/her legally authorized representative, or anyone acting on his/her behalf, may file a petition for an LHRC hearing pursuant to Procedure Section Two, IV of this policy and procedure.
- m) The Director and Gateway Homes staff shall cooperate with any external investigation including those conducted by the Inspector General, the protection and advocacy agency, or other regulatory and enforcement agencies.
- n) If at any time the Director has reason to suspect that a individual may have been abused or neglected, the Director shall immediately report this information to the appropriate local Department of Social Services and cooperate fully with any investigation that results.
- o) If at any time the Director has reason to suspect that the abusive, neglectful, or exploitative act is a crime, the Director or designee shall immediately contact the appropriate law-enforcement authorities and cooperate fully with any investigation that results.
- 5) Exceptions and Conditions to Gateway Homes' Duties and Obligations
  - a) If the individual has funds for clothing and to buy paper, pencils, and stamps to send a letter every day, Gateway Homes may not pay for them.
  - b) Gateway Homes may prohibit any religious services or practices that present a danger of bodily injury to any individual or interfere with another individual's religious beliefs or practices. Participation in religious services or practices may be reasonably limited in accordance with other general rules limiting privileges or times or places of activities.
    - i) Religious services or practices that present a danger of bodily injury to any individual or interfere with another individual's religious beliefs or practices may be limited. The Director or designee shall discuss the issue with individual and inform the Human Rights Advocate of the reasons for any restriction prior to implementation. The reasons for the restriction shall be documented in the individual's services record.
    - ii) Participation in religious services or practices may be reasonably limited by Gateway Homes in accordance with other general rules limiting privileges or times or places of activities.
- 6) If Gateway Homes staff has reasonable cause to believe that a individual's mail contains illegal material or anything dangerous, the Director or his designee may open the mail, but not read it, in the presence of the individual. The Director or designee shall inform the individual of the reasons for the concern. A individual's ability to communicate by mail may also be limited if, in the judgment of a licensed physician or a doctoral level psychologist (in the exercise of sound therapeutic practice), the individual's communication with another

person or persons will result in demonstrable harm to the individual's mental health. The reasons for the restriction shall be documented in the individual's service record, and the Human Rights Advocate shall be notified prior to implementation.

- 7) Gateway Homes may limit the use of a telephone in the following ways:
  - a) Use may be limited to certain times and places to make sure that other individuals have equal access to the telephone and that they can eat, sleep, or participate in an activity without being disturbed.
  - b) A individual's access to the telephone may be limited if communication with another person or persons will result in demonstrable harm to the individual and is significantly impacting treatment in the judgment of a licensed physician or doctoral level psychologist. The reasons for the restriction shall be documented in the individual's service record and the Human Rights Advocate shall be notified prior to implementation.
- 8) Gateway Homes may limit or supervise a individual's visitors when, in the judgment of a licensed physician or doctoral level psychologist, the visits result in demonstrable harm to the individual and significantly impact the individual's treatment; or when the visitors are suspected of bringing contraband, or in any way are threatening harm to the individual. The reasons for the restriction shall be documented in the individual's service record, and the Human Rights Advocate shall be notified prior to implementation.
- 9) Gateway Homes may stop, report, or intervene to prevent any criminal act.

### **Three – Services** (12 VAC 35-115-60)

- 1) Each individual receiving services shall receive them in accordance with law and sound therapeutic practice.
- 2) Gateway Homes Duties Gateway Homes shall:
  - a) Recognize, respect, support, and protect the dignity rights of each individual at all times.
  - b) Ensure that all services are developed, carried out, and regularly monitored for compliance with all state and federal laws, including any applicable provisions of the Americans with Disabilities Act and laws that prohibit discrimination on the basis of race, color, religion, ethnicity, age, sex, disability, or ability to pay.
  - c) A individual or anyone acting on his/her behalf may complain to the Director if he/she believes that his/her services have been limited or denied due to discrimination. Any complaint regarding discrimination shall be directed to the Director, or designee.
  - d) The Director or designee shall conduct an investigation in the manner set forth in Individual Rights on pages 3 through 5.
  - e) Gateway Homes shall ensure that all clinical services, including medical services and treatment, are at all times delivered within sound therapeutic practice.
  - f) Gateway Homes shall address emergencies pursuant to Gateway Homes' Emergency Preparedness/Response Plan Policies (see Attachment).
  - g) Gateway Homes shall assign a specific person or group of persons to carry out each of the following activities:
    - Medical, mental, and behavioral screenings and assessments, as applicable, upon admission and during the provision of services;
    - ii) Preparation, implementation, and appropriate changes in an individual's services plan based on the ongoing review of the medical, mental, and behavioral needs of the individual receiving services; and
    - iii) Preparation and implementation of an individual's discharge plan.
  - h) Gateway Homes shall not prepare or deliver any service for any individual without a services plan that is tailored specifically to the needs and expressed preferences of the individual receiving services. Services provided in response to emergencies or crises shall be deemed part of the services plan and thereafter documented in the individual's services plan.
  - i) Gateway Homes shall write the services plan and discharge plan in clear, understandable language.
  - j) When preparing and changing a individual's services or discharge plan, Gateway Homes shall ensure that all services received by the individual are integrated.
  - k) With the individual's or the individual's authorized representative's authorization, Gateway may involve family members in services and discharge planning. When the individual or his authorized representative requests such involvement, Gateway shall take all reasonable steps to do so.
  - l) Gateway Homes shall ensure that the entries in a individual's services record are at all times authentic, accurate, complete, timely, and pertinent.
- 3) Exceptions and Conditions to Gateway Homes Duties and Obligations

- a) Gateway Homes may deny or limit a individual's access to a service or services if sound therapeutic practice requires limiting the service to individuals of the same sex, or similar age, disability, or legal status.
- b) With the individual's or legally authorized representative's consent, Gateway Homes may involve family members in services and discharge planning. When the individual or the legally authorized representative requests such involvement, Gateway Homes shall take all reasonable steps to do so.

### Four – Participation in Decision Making (12 VAC 35-115-70)

- 1) Each individual has a right to participate meaningfully in decisions regarding all aspects of services affecting him/her.
- 2) This includes the right to:
  - a) Participate meaningfully in the preparation, implementation, and any changes to the individual's services and discharge plans.
  - b) Express preferences and have them incorporated into the services and discharge plans consistent with his/her condition and need for services and Gateway Homes' ability to provide them.
  - c) Object to any part of the proposed services or discharge plan.
  - d) Give or not give consent for treatment, including medical treatment and procedures.
  - e) Give or not give consent to the disclosure of information Gateway Homes keeps about him/her.
  - f) Have a legally authorized representative make decisions for him/her in cases where the individual lacks the capacity to give informed consent.
  - g) Object to any decision that allows a legally authorized representative to make decisions for him/her. This includes having a professional assessment of capacity to consent and, at the individual's own expense, an independent assessment of capacity.
  - h) Be accompanied by someone the individual trusts as his/her representative when participating in service planning.
  - i) Indicate by signature in the service record, the individual's participation in and agreement to services plan, discharge plan, changes to these plans, and all other significant aspects of treatment and services he/she receives.
  - j) Request admission to or discharge from any service any time.
- 3) Gateway Homes' Duties Gateway Homes shall:
  - a) Respect, protect, and help develop each individual's ability to participate meaningfully in decisions regarding all aspects of services affecting him/her. This shall be done by involving the individual, to the extent permitted by his/her capacity, in decision-making regarding all aspects of services.
  - b) Ask the individual to express his/her preferences about decisions regarding all aspects of services that affect him/her and shall honor these preferences to the extent possible.
  - c) Give each individual the opportunity, and any help he/she needs, to participate meaningfully in the preparation of his/her services plan, discharge plan, and changes to these plans, and all other aspects of services he/she receives. Staff shall document these opportunities in the individual's services record.
  - d) Obtain and document in the individual's services record the individual's consent prior to disclosing any information about him/her.
  - e) Obtain and document in the individual's services record the individual's or authorized representative's consent for any treatment before the treatment begins.
  - f) Obtain and document in the individual's services record the individual's or authorized representative's informed consent to continue any treatment initiated in an emergency that lasts longer than 24 hours after the emergency begins.

- g) Ensure that a professional qualified by expertise, training, education, or credentials and not directly involved with the individual conducts an evaluation and makes a determination of the individual's capacity if the capacity of a individual to give consent is on doubt. If the individual and his/her family objects to the results of the qualified professional's determination, Gateway Homes shall immediately inform the Human Rights Advocate.
- h) If the individual or family member wishes to obtain an independent evaluation of the individual's capacity, he/she may do so at his/her own expense and within reasonable time frames consistent with his/her circumstances. Gateway Homes shall take no action for which consent is required, except in an emergency, pending the results of the independent evaluation. Gateway Homes shall take no steps to designate a legally authorized representative until the independent evaluation is complete.
  - i) If the independent evaluation is consistent with Gateway Homes' evaluation, the evaluation is binding, and Gateway Homes shall implement it accordingly.
  - ii) If the independent evaluation is not consistent with Gateway Homes' evaluation, the matter shall be referred to the LHRC for review and decision pursuant to Procedure Section Two, VI of this policy and procedure.
- i) When it is determined that a individual lacks the capacity to give consent, Gateway Homes shall designate a legally authorized representative. The Director shall have the primary responsibility for determining the availability of and designating a legally authorized representative in the following order or priority:
  - i) An attorney-in-fact currently authorized to give consent under the terms of a durable power of attorney, a health care agent appointed by a individual under an advance directive pursuant to 54.1-2983 of the Code of Virginia, a legal guardian of the individual not employed by the provider and currently authorized to give consent.
  - ii) The individual's next of kin. In designating the next of kin, the Director shall select the best qualified person, if available, according to the following order of priority unless, from all information available to the Director, another person in a lower priority is clearly better qualified: spouse, an adult child, a parent, an adult brother or sister, any other relative of the individual. If the individual expresses a preference for one family member over another in the same category, the Director shall appoint that family member.
  - iii) If no other person specified in the subdivisions a and b is available and willing to serve, Gateway homes may appoint a next friend of the individual, after a review and finding by the LHRC that the proposed next friend has shared a residence with or provided support and assistance to the individual for a period of at least six months prior to the designation, the proposed next friend has appeared before the LHRC and agreed to accept these responsibilities, and the individual has no objection to this proposed next friend being appointed authorized representative.
  - iv) No Gateway Homes director or staff may serve as legally authorized representative for any individual delivered by Gateway Homes unless the employee is a relative or legal guardian.
- j) If Gateway Homes documents that the individual lacks capacity and no person is available or willing to act as a legally authorized representative, Gateway Homes shall:
  - i) Attempt to identify a suitable person who would be willing to serve as guardian and ask the court to appoint said person to provide consent, or;

- ii) Ask a court to authorize treatment. See 37.1-134.21 of the Code of Virginia.
- k) If the individual who has a legally authorized representative objects to the disclosure of specific information or a specific proposed treatment, the Director or designee shall immediately notify the human rights advocate and the legally authorized representative, as applicable. A petition for a LHRC review may be filed under Procedure Section Two, IV of this policy and procedure.
- Pursuant to Gateway Homes' policy, Gateway Homes shall ensure that a individual's capacity to consent is reviewed at least every six months or as the individual's condition warrants according to sound therapeutic practice to assess need for a surrogate decision maker. Such reviews of capacity shall be documented and communicated to the individual and his/her legally authorized representative.
- m) Gateway Homes shall consider a individual's or his/her legally authorized representative's request for a review of capacity in a timely manner.
- n) Requests for discharge from services by a individual or his/her legally authorized representative shall be responded to in accordance with the Code of Virginia. Individuals requesting discharge will not be subject to reprisal, punishment, or reduction in services while continuing to receive services until discharge; however, if an individual leaves a service "against medical advice", any subsequent billing of the individual by his/her private third party payer shall not constitute punishment or reprisal on the part of Gateway Homes.
- 4) Exceptions and Conditions to Gateway Homes' Duties and Obligations
  - a) Gateway Homes, in an emergency, may initiate, administer, or undertake a proposed treatment without the consent of the individual or the individual's legally authorized representative. All emergency treatment shall be documented in the individual's individual services record within 24 hours.
    - i) Gateway Homes shall immediately notify the legally authorized representative, as applicable, of the provision of treatment without consent during an emergency.
    - ii) Gateway Homes shall continue emergency treatment without consent beyond 24 hours only following a review of the individual's condition and if a new order is issued by a professional who is authorized by law and Gateway Homes to order the treatment.
    - iii) The Director or designee shall notify the Human Rights Advocate if emergency treatment without consent continues beyond 24 hours.
  - b) Gateway Homes shall develop and integrate treatment strategies to address and prevent such future emergencies to the extent possible, into the individual's services plan, following the provision of emergency treatment without consent.
  - c) Gateway Homes may provide treatment without consent in accordance with a court order or in accordance with other provisions of law that authorize such treatment including the Health Care Decisions Act.

### Five – Confidentiality (12 VAC 35-115-80)

- 1) Pursuant to established Gateway Homes' policies, each individual is entitled to have all identifying information that Gateway Homes maintains or knows about him/her remain confidential. Each individual has a right to give his/her authorization before Gateway Homes shares identifying information about him/her or his/her care unless another law or regulation specifically requires or permits Gateway Homes to disclose certain specific information.
- 2) Gateway Homes Duties Gateway Homes shall:
  - a) Maintain the confidentiality of any information that identifies a individual receiving services from Gateway Homes. If a individual's services record pertains in whole or in part to referral, diagnosis, or treatment of substance abuse, Gateway Homes shall release information only according to applicable federal regulations.
  - b) Tell each individual, and his/her legally authorized representative if he/she has one, about the individual's confidentiality rights. This shall include how information can be disclosed and how others might get information about the individual without his/her consent.
  - c) Shall prevent unauthorized disclosures of information from services records and shall maintain and disclose information in a secure manner.
  - d) Obtain the written consent of the individual or the legally authorized representative, as applicable, before disclosing information.
  - e) When Gateway Homes discloses identifying information, it shall attach a statement that informs the person receiving the information that it must not be disclosed to anyone else unless the individual consents or unless state law or regulation allows or requires further disclosure without authorization.
  - f) Upon request, Gateway Homes shall tell individuals the sources of information contained in their services records and the names of anyone, other than employees of the provider, who has received information about them from Gateway Homes. Individuals receiving services should be informed that the Department may have access to their records.
- 3) Exceptions and Conditions to Gateway Homes' Duties and Obligations:
  - a) Gateway Homes may encourage individuals to name family members, friends, and others who may be told of their presence and general condition or well-being. Consent must be obtained and documented in the services record for Gateway Homes staff to contact family members, friends, or others. Nothing in this section shall prohibit Gateway Homes from taking steps necessary to secure a legally authorized representative.
  - b) Except for information governed by 42 CFR Part 2, Gateway may disclose to a family member, or other relative, a close personal friend, or any other person identified by the individual, information that is directly relevant to that person's involvement with the individual's care or payment for his care if:
    - i) Gateway obtains the individual's agreement;
    - ii) Gateway provides the individual with the opportunity to object to the disclosure, and;
    - iii) The individual does not object or the provider reasonably infers from the circumstances, based upon the exercise of professional judgment, that the individual does not object to the disclosure.

- iv) If the opportunity to agree or object cannot be provided because of the individual's incapacity or an emergency circumstance, Gateway may, in the exercise of professional judgment, determine whether the disclosure is in the best interest of the individual, and if so, disclose only the information that is directly relevant to the person's involvement with the individual's health care.
- c) Gateway Homes may disclose the following information without consent or violation of the individual's confidentiality, but only under the conditions specified. Gateway Homes staff must have knowledge of and always consult 42 CFR Part 2 Confidentiality of Alcohol and Drug Abuse Patient Records, if applicable, because these federal regulations may prohibit some of the disclosures addressed in this section. Gateway Homes will also refer to 32.1-127.1:03 of the Code of Virginia for a list of circumstances under which records may be disclosed without consent.
  - i) <u>Emergencies</u>: Staff may disclose information to any person who needs that particular information for the purpose of preventing injury, death, or substantial property destruction in an emergency. Staff shall not disclose any information that is not needed for these specific purposes.
  - ii) <u>Employees</u>: Gateway Homes staff may disclose to any full- or part-time employee, consultant, agent, or contractor of Gateway Homes, and to the department, information required to give services to the individual or to get payment for the services.
  - iii) <u>Insurance companies and other third-party payors</u>: Disclosure may be made to insurance companies and other third-party payors according to Chapter 12 of Title 37.1 of the Code of Virginia.
  - iv) Court proceedings: If the individual, or someone acting for him/her, introduces any aspect of his/her mental condition or services as an issue before a court, administrative agency, or medical malpractice review panel, Gateway Homes may disclose any information relevant to that issue. Gateway Homes may also disclose any records, if they are properly subpoenaed, if a court orders them to be produced, or if involuntary commitment or certification is being proposed or conducted.
  - v) <u>Legal consent</u>: Gateway Homes may disclose information to its own legal counsel, or to anyone working on behalf of its legal counsel, in providing representation to Gateway Homes.
  - vi) <u>Human Rights Committee</u>: Gateway Homes may disclose to the LHRC and the SHRC any information necessary for the conduct of their responsibilities under these regulations.
  - vii) Others authorized or required by the Commissioner: Gateway Homes may disclose information to other persons if authorized or required by the commissioner for the following activities:
  - viii) <u>Licensing, human rights, certification or accreditation reviews;</u>
  - ix) Hearings, reviews, appeals or investigations under the Human Rights Rules and Regulations;
  - x) Evaluation of provider performance and individual outcomes;
  - xi) Statistical reporting;
  - xii) Preauthorization, utilization reviews, financial and related administrative services, reviews, and audits, or;
  - xiii) Similar oversight and review activities.

- xiv) <u>Preadmission screening, services, and discharge planning</u>: Gateway Homes may disclose to the Department or to other providers information necessary to prescreen individuals or to prepare and carry out a comprehensive individualized services or discharge plan.
- xv) <u>Protection and advocacy agency</u>: Gateway Homes may disclose information to the Protection and Advocacy Agency in accordance with that agency's legal authority under federal and state law.
- xvi) <u>Historical research</u>: Gateway Homes may disclose information to persons engaging in bona fide historical research if all of the following conditions are met:
  - (1) The commissioner or Director authorizes the research;
  - (2) The individual(s) who are the subject of the disclosure are deceased;
  - (3) There are no known living persons authorized by law to consent to the disclosure, and:
  - (4) The disclosure would in no way reveal the identity of any person who is not the subject of the historical research.
  - (5) A request for historical research shall include, at a minimum:
    - (a) A summary of the scope and purpose of the research;
    - (b) A description of the product to result from the research and its expected date of completion;
    - (c) A rationale explaining the need to access otherwise confidential records, and;
    - (d) Specific identification of the type and location of the records sought.
- xvii) Protection of public safety: If Gateway Homes reasonably believes a individual receiving services makes a specific threat to cause serious bodily injury or death to an identified or readily identifiable person and Gateway reasonably believes the individual has the intent and ability to carry out the threat immediately or imminently, Gateway may disclose facts necessary to alleviate potential threat.
- xviii) <u>Inspector General</u>: Gateway Homes may disclose to the Inspector General any individual services records and other information relevant to the delivery of services.
- xix) <u>Virginia Patient Level Data System</u>: Gateway Homes may disclose financial and services information to Virginia Health Information as required by law.
- xx) <u>Psychotherapy Notes</u>: Gateway shall obtain a individual's authorization for any disclosure of psychotherapy notes, expect when disclosure is made:
  - (1) For the provider's own training programs in which students, trainees, or practitioners in mental health are being taught under supervision to practice or improve skills in group, joint, family, or individual counseling;
  - (2) To defend the provider or its employees or staff against any accusation of wrongful conduct;
  - (3) In the discharge of the providers duty, in accordance with §54.1-2400.1 B of the Code of Virginia, to take precautions to protect third parties from violent behavior or other serious harm;
  - (4) As required in the course of an investigation, audit, review, or proceeding regarding a provider's conduct by a duly authorized law-enforcement, licensure, accreditation, or professional review entity; or
  - (5) When otherwise required by law.
- xxi) To A Law Enforcement Official:
  - (1) Pursuant to a search warrant or grand jury subpoena;

- (2) In response to their request, for the purpose of identifying or locating a suspect, fugitive, individual required to register pursuant to §9.1-901 of the Sex Offender and Crimes Against Minors Registry Act, material witness, or missing person, provided that only the following information is disclosed;
  - (a) Name and address of the individual
  - (b) Date and place of birth of the individual
  - (c) Social security number of the individual
  - (d) Blood type of the individual
  - (e) Date and time of the treatment received by the individual
  - (f) Date and time of death of the individual
  - (g) Description of distinguishing physical characteristics of the individual; and
  - (h) Type of injury sustained by the individual.
- (3) Regarding the death of an individual for the purpose of alerting law enforcement of the death if Gateway has suspicion that such death may have resulted from criminal conduct; or
- (4) If Gateway believes in good faith that the information disclosed constitutes evidence of a crime that has occurred on its premises.
- xxii) Other statutes or regulations: Gateway Homes may disclose information to the extent required or permitted by any other state or federal statute or regulation.
- 4) If information is disclosed without consent to anyone other than employees of the Department or Gateway Homes, Gateway Homes shall take the following steps before the disclosure (or, in an emergency, promptly afterward):
  - a) Put a written notation of the information disclosed, the name of the person who received the information, the purpose of the disclosure, and the date of disclosure permanently in the individual's services record.
  - b) Give the individual or his/her legally authorized representative written notice of the disclosure, including the name of each person who received the information and the nature of the information.
- 5) If the disclosure is not required by law, give strong consideration to any objections from the individual or his/her legally authorized representative in making the decision to release information.

### Six – Access To And Correction Of Services Records (12 VAC 35-115-90)

- 1) Each individual has a right to see, read, and get a copy of his/her own services record. If this right is restricted according to law, the individual has a right to let certain other people see his/her record. Each individual has a right to challenge, correct, or explain anything in his/her record.
  - a) Whether or not corrections are made as a result, each individual has a right to let anyone who sees his/her record know that he/she tried to correct or explain his/her position and what happened as a result. A individual's legally authorized representative has the same rights the individual has.
- 2) Gateway Homes duties Gateway Homes shall:
  - a) Tell each individual, and his/her legally authorized representative if he/she has one, how he/she can access and request amendment of his own services record.
  - b) Permit each individual to see his/her services records when he/she requests it and to request amendments if necessary.
  - c) Without charge, give individual any help he/she may need to read and understand his/her services records and request amendments to it.
  - d) Notify the advocate and tell the individual that he/she can ask to have an attorney, physician, or psychologist of his/her choice see his/her records if Gateway Homes limits or refuses to let a individual see his/her services records. If the individual makes this request, Gateway Homes shall disclose the record to that lawyer, physician, or psychologist.
  - e) Document in the record the decision and reasons for the decision to limit or refuse access to the individual's medical record. The individual shall be notified of time limits and conditions for removal of the restriction. These time limits and conditions shall also be specified in the record. Gateway Homes shall only limit or refuse access to the services record upon the recommendation of a physician or a licensed psychologist involved in providing services to the individual as specified in section C of this policy.
  - f) Shall investigate and file in the services record a written report concerning the individual's request if a individual asks to challenge, correct, or explain any information contained in his/her services record.
  - g) If the report finds that the services record is incomplete, inaccurate, not pertinent, not timely, or not necessary, Gateway Homes shall:
  - h) Document the report findings and remove the part of the services record and file it separately with an appropriate cross-reference to indicate that the information was removed.
  - i) Not disclose the original services record without separate specific authorization or legal authority (e.g., if compelled by subpoena or other court order).
  - j) Obtain the individual's identification of and agreement to have Gateway notify the relevant parties of the amendment.
  - k) Promptly notify in writing all persons who have received the incorrect information and all persons identified by the individual that the services record has been corrected and request that recipients acknowledge the correction.
  - l) If the report does not result in action satisfactory to the individual, Gateway Homes shall, upon request, file in the services record the individual's statement explaining his/her

position. If needed, Gateway Homes shall help the individual to write this statement. If a statement is filed, Gateway Homes shall:

- i) Give all persons who have copies of the record a copy of the individual's statement.
- ii) Clearly note in any later disclosure of the record that it is disputed and include a copy of the statement with the disputed record.
- 3) Exceptions and Conditions to Gateway Homes' Duties and Obligations
  - a) A provider may deny access to all or a part of a individual's services record only if a physician or a licensed psychologist involved in providing services to the individual talks to the individual, looks over the services record as a result of the individual's request for access, signs and puts in the services record permanently a written statement that he/she thinks access to the services records by the individual at this time would be physically or mentally harmful to the individual. The physician or licensed psychologist must also tell the individual as much about his/her services record as he/she can without risking harm to the individual.

### Seven – Restriction on Freedoms of Everyday Life (12 VAC 35-115-100)

- 1) From admission until discharge from a service, each individual is entitled to enjoy all the freedoms of everyday life that are consistent with his/her need for services, his/her protection, and the protection of others, and that do not interfere with his/her services or the services of others.
- 2) These freedoms include the following:
  - a) Freedom to move within the service setting, its grounds, and the community.
  - b) Freedom to communicate, associate, and meet privately with anyone the individual chooses.
  - c) Freedom to have and spend personal money.
  - d) Freedom to see, hear, or receive television, radio, books, and newspapers whether privately owned or in a library or public area of the service setting.
  - e) Freedom to keep and use personal clothing and other personal items.
  - f) Freedom to use recreational facilities and enjoy the outdoors.
- 3) Receive services in a setting and under conditions that are least restrictive of his/her freedom.
- 4) Gateway Homes Duties Gateway Homes shall:
  - a) Encourage each individual's participation in normal activities and conditions of everyday living and support each individual's freedoms.
  - b) Not limit or restrict any individual's freedom more than is needed to achieve a therapeutic benefit, maintain a safe and orderly environment, or intervene in an emergency.
  - c) Not impose any restriction on a individual unless the restriction is justified and carried out according to these regulations.
  - d) Ensure that a qualified professional regularly reviews every restriction and that the restriction is discontinued when the individual has met the criteria for removal.
  - e) Not place any restriction on the physical or personal freedom of any individual solely because criminal or delinquency charges are pending against that individual, except in the situation where the individual is transferred directly from jail or detention for the purpose of receiving an evaluation or treatment.
- 5) Exceptions and Conditions on Gateway Homes' Duties and Obligations:
  - a) Gateway shall not impose a restriction on a individual unless the restriction is justified and carried out in accordance with these policies and procedures. If Gateway imposes a restriction, except as provided in 12 VAC 35-115-50, the following conditions shall be met:
    - i) A qualified professional involved in providing services to the individual has, in advance:
      - (1) Assessed and documented all possible alternatives to the proposed restriction, taking into account the individual's medical and mental condition, behavior, preferences, nursing and medication needs, and the ability to function independently.

- (a) Determined that the proposed restriction is necessary for effective treatment of the individual or to protect him/her or others from personal harm, injury, or death.
- (b) Documented in the individual's services record the specific reason for the restriction, and;
- (c) Explained, so the individual can understand, the reason for the restriction, the criteria for removal, and the individual's right to a fair review of whether the restriction is permissible.
- (2) A qualified professional regularly reviews the restriction and the restriction is discontinued when the individual has met the criteria for removal.
- b) Gateway Homes may impose a restriction if a court has ordered it to impose the restriction or if Gateway Homes is otherwise required by law to impose such restriction. Such restriction shall be documented in the individual's services record.
- c) Gateway Homes may develop and enforce written rules of conduct, but only if the rules do not conflict with the Human Rights Rules and Regulations or any individual's services plan, and the rules are needed to maintain a safe and orderly environment.
- d) Gateway Homes shall, in the development of these program rules
  - i) Get as many suggestions as possible from all individuals who are expected to obey the rules.
  - ii) Apply these rules in the same way to each individual.
  - iii) Give the rules to and review them with each individual and his/her legally authorized representative in a way that the individual can understand them. This includes explaining possible consequences for violating the rules.
  - iv) Post the rules in summary form in all areas to which individuals and their families have regular access.
  - v) Submit the rules to the LHRC for review and approval or upon request of the advocate or LHRC.
  - vi) Prohibit individuals from disciplining other individuals, except as part of an organized self-government program conducted to a written policy approved in advance by the LHRC.

### **Eight- Use of Seclusion, Restraint, and Time Out** (12 VAC 35-115-110)

- 1) Gateway Homes shall refrain from using seclusion, restraint, or time-out procedures under any circumstances. However, staff may impose restraint in an emergency but only to the extent necessary to stop the emergency only if:
  - a) less restrictive measures have been exhausted, or;
  - b) the emergency is so sudden that no less restrictive measure is possible.
- 2) The voluntary use of mechanical supports to achieve proper body position, balance, or alignment so as to allow greater freedom of movement or to improve normal bodily functioning in a way that would not be possible without the use of such a mechanical support, and the voluntary use of protective equipment are not considered restraints.
- 3) Gateway Homes will meet with the individual or his authorized representative upon admission to the service to discuss and document in the individual's service record:
  - a) The preferred interventions in the event the individuals behaviors or symptoms become a danger to himself or others; and
  - b) Under what circumstances, if any, the intervention may include emergency restraint.

### Nine - Work (12 VAC 35-115-120)

- 1) Individuals have a right to engage or not engage in work or work-related activities consistent with their service needs while receiving services. Personal maintenance and personal housekeeping by individuals receiving services in residential settings are not subject to this provision.
- 2) Gateway Homes Duties Gateway Homes shall:
  - a) Not require, entice, persuade, or permit any individual or his/her family member to perform labor for Gateway Homes as a condition of receiving service. If a individual voluntarily chooses to perform labor for Gateway Homes, the labor must be consistent with his/her individualized services plan. All policies and procedures, including pay, must be consistent with the Fair Labor Standards Act.
  - b) Consider individuals who are receiving services for employment opportunities on an equal basis with all other job applicants and employees according to the Americans with Disabilities Act.
  - c) Give individuals and employees information, training, and copies of policies affecting the employment of individuals receiving services upon request.
  - d) Shall follow established Gateway Homes' procedures regarding vocational training, extended employment services, or supportive employment services, which ensure that such services are appropriate for the individual.
  - e) Not deduct the cost of services from the wages of a individual employed by Gateway Homes without the permission of the individual or legal guardian unless ordered to do so by a court.
  - f) Not sell to or purchase goods or services from a individual receiving services except through established governing body policy that is consistent with U.S. Department of Labor standards.

### Ten – Research (12 VAC 35-115-130)

- 1) Gateway Homes shall get prior, written, informed consent of an individual or his/her legally authorized representative before he/she begins to participate in human research.
- 2) Gateway Homes shall comply with all other applicable state and federal laws and regulations regarding human research, including the provisions under Chapter 5.1 of Title 32.1 of the Code of Virginia and the regulations promulgated under that statute.
- 3) Gateway Homes shall obtain approval from an institutional review board or research review committee prior to performing or participating in a human research protocol. Documentation of this review and approval shall be maintained and made available on request by the individual or his authorized representative.
- 4) Gateway Homes shall inform the LHRC before an individual receiving services may participate in any human research project and provide periodic updates on the status of the individual's participation to the committee.

### Eleven – Complaint and Fair Hearing (12 VAC 35-115-140)

- 1) Each individual has a right to:
  - a) Complain that Gateway Homes has violated any of the rights assured under the Human Rights Rules and Regulations.
  - b) Have a timely and fair review of any complaint according to Procedure Section Two of this policy and procedures.
  - c) Have someone file a complaint on his/her behalf.
  - d) Use these and other complaint procedures.
  - e) Complain under any other applicable law, including making a complaint to the protection and advocacy group.
- 2) Gateway Homes Duties Gateway Homes shall:
  - a) Make every attempt to resolve a individual's complaint to his/her satisfaction at the earliest possible step.
  - b) Not take, threaten to take, permit, or condone any action to retaliate against or prevent anyone from filing a complaint or helping to file a complaint.
  - c) Assist the complainant in understanding the full process of complaint, the options for resolution, and the elements of confidentiality involved.

### Twelve - Substitute Decision Making (12 VAC 35-115-145)

- 1) If the capacity of an individual to consent to treatment, services, or research, or authorize the disclosure of information is in doubt, Gateway shall obtain an evaluation from a professional who is qualified by expertise, training, education, or credentials and not directly involved with the individual to determine whether the individual has capacity to consent or to authorize the disclosure of information.
- Capacity evaluations shall be obtained for all individuals who may lack capacity, even if they
  request that an authorized representative be designated or agree to submit to a recommended
  course of treatment.
- 3) In conducting this evaluation, the professional may seek comments from representatives accompanying the individual pursuant to 12VAC35-115-70 A 4 about the individual's capacity to consent or to authorize disclosure.
- 4) Gateway shall determine the need for an evaluation of an individual's capacity to consent or authorize disclosure of information and the need for a substitute decision maker whenever the individual's condition warrants, the individual requests such a review, at least every six months, and at discharge, except for individuals receiving acute inpatient services.
- 5) If the individual's record indicates that the individual is not expected to obtain or regain capacity, Gateway shall document annually that it has reviewed the individual's capacity to make decisions and whether there has been any change in that capacity.
- 6) Gateway will ensure capacity evaluations are conducted in accordance with accepted standards of professional practice and indicate the specific type of decision for which the individual's capacity is being evaluated (e.g., medical) and shall indicate what specific type of decision the individual has or does not have the capacity to make. Capacity evaluations shall address the type of supports that might be used to increase the individual's decision-making capabilities.
- 7) If the individual or his family objects to the results of the qualified professional's determination, the provider shall immediately inform the human rights advocate.
- 8) If the individual or family member wishes to obtain an independent evaluation of the individual's capacity, he may do so at his own expense and within reasonable timeframes consistent with his circumstances. If the individual or family member cannot pay for an independent evaluation, the individual may request that the LHRC consider the need for an independent evaluation pursuant to 12VAC35-115-200 B. Gateway will not take any action for which consent or authorization is required, except in an emergency, pending the results of the independent evaluation. Gateway will not take any steps to designate an authorized representative until the independent evaluation is complete.
- 9) If the independent evaluation is consistent with the Gateway's evaluation, Gateway's evaluation is binding, and Gateway shall implement it accordingly.

10) If the independent evaluation is not consistent with Gateway's evaluation, the matter shall be referred to the LHRC for review and decision under 12VAC35-115-200 through 12VAC35-115-250.

### Thirteen - Authorized Representative (12 VAC 35-115-146)

- 1) When Gateway determines in accordance with 12VAC35-115-145 that an individual lacks the capacity to consent or authorize the disclosure of information, Gateway will recognize and obtain consent or authorization for those decisions for which the individual lacks capacity from the following if available:
  - a) An attorney-in-fact who is currently empowered to consent or authorize the disclosure under the terms of a durable power of attorney;
  - b) A health care agent appointed by the individual under an advance directive or power of attorney in accordance with the laws of Virginia; or
  - c) A legal guardian of the individual, or if the individual is a minor, a parent with legal custody of the minor or other person authorized to consent to treatment pursuant to §54.1-2969 A of the Code of Virginia.
- 2) If an attorney-in-fact, health care agent or legal guardian is not available, the Director shall designate a substitute decision maker as authorized representative in the following order of priority:
  - a) The individual's family member. In designating a family member, the director shall honor the individual's preference unless doing so is clinically contraindicated.
  - b) If the director does not appoint the family member chosen by the individual, the individual shall be told of the reasons for the decision and information about how to request LHRC review according to 12VAC35-115-200.
  - c) If the individual does not have a preference or if the director does not honor the individual's preference in accordance with these regulations, the director shall select the best qualified person, if available, according to the following order of priority unless, from all information available to the director, another person in a lower priority is clearly better qualified.
    - i) A spouse;
    - ii) An adult child;
    - iii) A parent;
    - iv) An adult brother or sister; or
    - v) Any other relative of the individual.
  - d) Next friend of the individual. If no other person specified above is available and willing to serve as authorized representative, Gateway may designate a next friend of the individual, after a review and finding by the LHRC that the proposed next friend has, for a period of six months within two years prior to the designation either:
    - i) Shared a residence with the individual; or
    - ii) Had regular contact or communication with the individual and provided significant emotional, personal, financial, spiritual, psychological, or other support and assistance to the individual.
  - e) In addition to the conditions set forth in subdivision 2 of this subsection, the individual must have no objection to the proposed next friend being designated as the authorized representative.
  - f) The person designated as next friend also shall:
    - i) Personally appear before the LHRC, unless the LHRC has waived the personal appearance; and

- ii) Agree to accept these responsibilities and act in the individual's best interest and in accordance with the individual's preferences, if known.
- g) The LHRC shall have the discretion to waive a personal appearance by the proposed next friend and to allow that person to appear before it by telephone, video, or other electronic means of communication as the LHRC may deem appropriate under the circumstances. Waiving the personal appearance of the proposed next friend should be done in very limited circumstances.
- h) If, after designation of a next friend, an appropriate family member becomes available to serve as authorized representative, the director shall replace the next friend with the family member.
- 3) No director, employee, or agent of Gateway may serve as an authorized representative for any individual receiving services delivered by Gateway unless the authorized representative is a relative or the legal guardian When a provider, or the Director, an employee, or agent of Gateway is also the individual's guardian, Gateway shall assure that the individual's preferences are included in the services plan and that the individual can make complaints about any aspect of the services he receives.
- 4) Gateway will document the recognition or designation of an authorized representative in the individual's services record, including evidence of consultation with the individual about his preference, copies of applicable legal documents such as the durable power of attorney, advance directive, or guardianship order, names and contact information for family members, and, when there is more than one potential family member available for designation as authorized representative, the rationale for the designation of the particular family member as the authorized representative.
- 5) If Gateway documents that the individual lacks capacity to consent and no person is available or willing to act as an authorized representative, Gateway shall:
  - a) Attempt to identify a suitable person who would be willing to serve as guardian and ask the court to appoint that person to provide consent or authorization; or
  - b) Ask a court to authorize treatment (See §37.2-1101 of the Code of Virginia).
- 6) Court orders authorizing treatment shall not be viewed as substituting or eliminating the need for an authorized representative.
- 7) Gateway shall review the need for court-ordered treatment and determine the availability of and seek an authorized representative whenever the individual's condition warrants, the individual requests such a review, or at least every six months except for individuals receiving acute inpatient treatment.
- 8) When Gateway recognizes or designates an authorized representative, the Gateway shall notify the court that its order is no longer needed and shall immediately suspend its use of the court order.
- 9) Conditions for removal of an authorized representative. Whenever an individual has regained capacity to consent as indicated by a capacity evaluation or clinical determination, the

Director shall immediately remove any authorized representative designated pursuant to subdivision B 1 or 2 of this section, notify the individual and the authorized representative, and ensure that the services record reflects that the individual is capable of making his own decisions. Whenever an individual with an authorized representative who is his legal guardian has regained his capacity to give informed consent, the director may use the applicable statutory provisions to remove the authorized representative. (See §37.2-1012 of the Code of Virginia.) If powers of attorney and health care agents' powers do not cease of their own accord when a clinician has determined that the individual is no longer incapacitated, the Director shall seek the consent of the individual and remove the person as authorized representative.

- 10) The Director shall remove the authorized representative designated pursuant to this section, if the authorized representative becomes unavailable, unwilling, or unqualified to serve. The individual or the advocate may request the LHRC to review the Director's decision to remove an authorized representative under the procedures set out at 12VAC35-115-180, and the LHRC may reinstate the authorized representative if it determines that the director's action was unjustified.
- 11) Prior to any removal under this authority, the Director shall notify the individual of the decision to remove the authorized representative, of his right to request that the LHRC review the decision, and of the reasons for the removal decision. This information shall be placed in the individual's services record. If the individual requests, the Director shall provide him with a written statement of the facts and circumstances upon which the director relied in deciding to remove the authorized representative.
- 12) The LHRC may recommend the removal of a next friend pursuant to 12VAC35-115-200 when the next friend is not acting in accordance with the individual's best interest.
- 13) The Director may otherwise seek to replace an authorized representative recognized pursuant to this section who is an attorney-in-fact currently authorized to consent under the terms of a durable power of attorney, a health care agent appointed by an individual under an advance directive, a legal guardian of the individual, or, if the individual is a minor, a parent with legal custody of the individual, only by a court order under applicable statutory authority.

# Fourteen - The Complaint Resolution, Hearing, And Appeal Processes: General Provisions (12 VAC 35-115-150)

- 1) The parties to any complaint are the individual and the Director. Each party can also have anyone else represent him during resolution of the complaint. The Director shall make every effort to resolve the complaint at the earliest possible stage.
- 2) Meetings, reviews, and hearings will generally be closed to other people unless the individual making the complaint requests that other people attend or if an open meeting is required by the Virginia Freedom of Information Act (§2.2-3700 et seq. of the Code of Virginia).
- 3) The LHRC and SHRC may conduct a closed hearing to protect the confidentiality of persons who are not a party to the complaint, but only if a closed meeting is otherwise allowed under the Virginia Freedom of Information Act (see §2.2-3711 of the Code of Virginia).
- 4) If any person alleges that implementation of an LHRC recommendation would violate the individual's rights or those of other individuals, the person may file a petition for a hearing with the SHRC, according to 12VAC35-115-210.
- 5) In no event shall a pending hearing, review, or appeal prevent the Director from taking corrective action based on the advice of the Gateway's legal counsel that such action is required by law or he otherwise thinks such action is correct and justified.
- 6) The LHRC or SHRC, on the motion of any party or on its own motion, may, for good cause, extend any time periods before or after the expiration of that time period. The Director may extend any time periods for any actions he is required to take under these procedures without prior approval of the LHRC or SHRC.
- 7) Except in the case of emergency proceedings, if a time period in which action must be taken under this part is not extended by the LHRC or SHRC, the failure of a party to act within that time period shall waive that party's further rights under these procedures.
- 8) In making their recommendations regarding complaint resolution, the LHRC and the SHRC shall identify any rights or regulations that Gateway violated and any policies, practices, or conditions that contributed to the violations. They shall also recommend appropriate corrective actions, including changes in policies, practices, or conditions, to prevent further violations of the rights assured under these regulations.
- 9) If it is impossible to carry out the recommendations of the LHRC or the SHRC within a specified time, the LHRC or the SHRC, as appropriate, shall recommend any necessary interim action that gives appropriate and possible immediate remedies.
- 10) Any action plan submitted by Gateway or commissioner in the course of these proceedings shall fully address final and interim recommendations made by the LHRC or the SHRC and identify financial or other constraints, if any, that prevent efforts to fully remedy the violation.

### Fifteen - The Complaint Resolution, Hearing, And Appeal Processes: The Complaint Resolution Process (12 VAC 35-115-170)

- 1) Anyone who believes that Gateway has violated an individual's rights under these regulations may report it to the Director or the human rights advocate for resolution.
- 2) If the report is made only to the Director, the Director or his designee shall immediately notify the human rights advocate. If the report is made on a weekend or holiday, then the Director or his designee shall notify the human rights advocate on the next business day.
- 3) If the report is made only to the human rights advocate, the human rights advocate shall immediately notify the Director. If the report is made on a weekend or holiday, then the human rights advocate shall notify the Director on the next business day.
- 4) The human rights advocate or the director or his designee shall discuss the report with the individual and notify the individual of his right to pursue a complaint through the process established in these regulations. The steps in the informal and formal complaint process established in these regulations shall be thoroughly explained to the individual. The human rights advocate or the Director or his designee shall ask the individual if he understands the complaint process and the choice that he has before asking the individual how he wishes to pursue the complaint. The individual shall then be given the choice of pursuing the complaint through the informal or formal complaint process. If the individual does not make a choice, the complaint shall be managed through the informal process.
- 5) The following steps apply if the complaint is pursued through the informal process:
  - a) Step 1: The Director or his designee shall attempt to resolve the complaint immediately. If the complaint is resolved, no further action is required.
  - b) Step 2: If the complaint is not resolved within five working days, the Director or his designee shall refer it for resolution under the formal process. The individual may extend the informal process five-day time frame for good cause. All such extensions shall be reported to the human rights advocate by the Director or his designee.
- 6) The following steps apply if the complaint is pursued through the formal process:
  - a) Step 1: The director or his designee shall try to resolve the complaint by meeting with the individual, any representative the individual chooses, the human rights advocate, and others as appropriate within 24 hours of receipt of the complaint or the next business day if that day is a weekend or holiday. The director or his designee shall conduct an investigation of the complaint, if necessary.
  - b) Step 2: The director or his designee shall give the individual and his chosen representative a written preliminary decision and, where appropriate, an action plan for resolving the complaint within 10 working days of receiving the complaint. Along with the action plan, the director shall provide written notice to the individual about the time frame for the individual's response pursuant to Step 3 of this subdivision, information on how to contact the human rights advocate for assistance with the process, and a statement the complaint will be closed if the individual does not respond.

- c) Step 3: If the individual disagrees with the director's preliminary decision or action plan, he can respond to the director in writing within five working days after receiving the preliminary decision and action plan. If the individual has not responded within five working days, the complaint will be closed.
- d) Step 4: If the individual disagrees with the preliminary decision or action plan and reports his disagreement to the director in writing within five working days after receiving the decision or action plan, the director shall investigate further as appropriate and shall make a final decision regarding the complaint. The director shall forward a written copy of his final decision and action plan to the individual, his chosen representative, and the human rights advocate within five working days after the director receives the individual's written response. Along with the action plan, the director shall provide written notice to the individual about the time frame for the individual's response pursuant to Step 5 of this subdivision, information about how to contact the human rights advocate for assistance with the process, and a statement that if the individual does not respond that the complaint will be closed.
- e) Step 5: If the individual disagrees with the director's final decision or action plan, he may file a petition for a hearing by the LHRC using the procedures prescribed in 12VAC35-115-180. If the individual has accepted the relief offered by the director, the matter is not subject to further review.
- 7) If at any time during the formal complaint process the human rights advocate concludes that there is substantial risk that serious or irreparable harm will result if the complaint is not resolved immediately, the human rights advocate shall inform the director, Gateway's governing body, and the LHRC. Steps 1 through 5 of subdivision A 5 of this section shall not be followed. Instead, the LHRC shall conduct a hearing according to the special procedures for emergency hearings in 12VAC35-115-180.

### Sixteen- The Complaint Resolution, Hearing, And Appeal Processes: The Local Human Rights Committee Hearing And Review Procedures (12 VAC 35-115-180)

- 1) Any individual or his authorized representative who does not accept the relief offered by the director or disagrees with (i) a director's final decision and action plan resulting from the complaint resolution; (ii) a director's final action following a report of abuse, neglect, or exploitation; or (iii) a director's final decision following a complaint of discrimination in the provision of services may request an LHRC hearing by following the steps provided in subsections B through I of this section.
- 2) Step 1: The individual or his authorized representative must file the petition for a hearing with the chairperson of the LHRC within 10 working days of the director's action or final decision on the complaint.
  - a) The petition for hearing must be in writing. It should contain all facts and arguments surrounding the complaint and reference any section of the regulations that the individual believes Gateway violated.
  - b) The human rights advocate or any person the individual chooses may help the individual in filing the petition. If the individual chooses a person other than the human rights advocate to help him, he and his chosen representative may request the human rights advocate's assistance in filing the petition.
- 3) Step 2: The LHRC chair shall forward a copy of the petition to the director and the human rights advocate as soon as he receives it. A copy of the petition shall also be forwarded to the provider's governing body.
- 4) Step 3: Within five working days, the director shall submit to the LHRC:
  - a) A written response to everything contained in the petition; and
  - b) A copy of the entire written record of the complaint.
- 5) Step 4: The LHRC shall hold a hearing within 20 working days of receiving the petition.
  - a) The parties shall have at least five working days' notice of the hearing.
  - b) The director or his designee shall attend the hearing.
  - c) The individual or his authorized representative making the complaint shall attend the hearing.
  - d) At the hearing, the parties and chosen representatives and designees have the right to present witnesses and other evidence and the opportunity to be heard.
- 6) Step 5: Within 10 working days after the hearing ends, the LHRC shall give its written findings of fact and recommendations to the parties and their representatives. Whenever appropriate, the LHRC shall identify information that it believes the director shall take into account in making decisions concerning discipline or termination of personnel.
- 7) Step 6: Within five working days of receiving the LHRC's findings and recommendations, the director shall give the individual, the individual's chosen representative, the human rights advocate, the governing body, and the LHRC a written action plan he intends to take to

respond to the LHRC's findings and recommendations. Along with the action plan, the director shall provide written notice to the individual about the time frame for the individual's response pursuant to Step 7 (subsection H of this section) and a statement that if the individual does not respond that the complaint will be closed. The plan shall not be implemented for five working days after it is submitted, unless the individual agrees to its implementation sooner.

- 8) Step 7: The individual, his chosen representative, the human rights advocate, or the LHRC may object to the action plan within five working days by stating the objection and what the director can do to resolve the objection.
  - a) If an objection is made, the director may not implement the action plan, or may implement only that portion of the plan that the individual making the complaint agrees to, until he resolves the objection as requested or appeals to the SHRC for a decision under 12VAC35-115-210.
  - b) If no one objects to the action plan, the director shall begin to implement the plan on the sixth working day after he submitted it.
- 9) Step 8: If an objection to the action plan is made and the director does not resolve the objection to the action plan to the individual's satisfaction within two working days following its receipt by the director, the individual may appeal to the SHRC under 12VAC35-115-210.

### Seventeen - The Complaint Resolution, Hearing, And Appeal Processes: Special Procedures For Emergency Hearings by the LHRC (12 VAC 35-115-190)

- 1) If the human rights advocate informs the LHRC of a substantial risk that serious and irreparable harm will result if a complaint is not resolved immediately, the LHRC shall hold and conclude a preliminary hearing within 72 hours of receiving this information.
- 2) The director or his designee and the human rights advocate shall attend the hearing. The individual and his authorized representative may attend the hearing.
- 3) The hearing shall be conducted according to the procedures in 12VAC35-115-180, but it shall be concluded on an expedited basis.
- 4) At the end of the hearing, the LHRC shall make preliminary findings and, if a violation is found, shall make preliminary recommendations to the director, and Gateway's governing body.
- 5) The director shall formulate and carry out an action plan within 24 hours of receiving the LHRC's preliminary recommendations. A copy of the plan shall be sent to the human rights advocate, the individual, his authorized representative, and Gateway's governing body.
- 6) If the individual or the human rights advocate objects within 24 hours to the LHRC findings or recommendations or to the director's action plan, the LHRC shall conduct a full hearing within five working days of the objection, following the procedures outlined in 12VAC35-115-180. This objection shall be in writing to the LHRC chairperson, with a copy sent to the director.
- 7) Either party may appeal the LHRC's decision to the SHRC under 12VAC35-115-210.

## Eighteen - The Complaint Resolution, Hearing, And Appeal Processes: Special Procedures For LHRC Reviews Involving Consent And Authorization (12 VAC 35-115-200)

- 1) The individual, his authorized representative, or anyone acting on the individual's behalf may request in writing that the LHRC review the following situations and issue a decision:
  - a) If an individual his authorized representative objects at any time to the appointment of a specific person as authorized representative or any decision for which consent or authorization is required and has been given by his authorized representative, other than a legal guardian, he may ask the LHRC to decide whether his capacity was properly evaluated, the authorized representative was properly appointed, or his authorized representative's decision was made based on the individual's basic values and any preferences previously expressed by the individual to the extent that they are known, and if unknown or unclear in the individual's best interests.
  - b) Gateway shall take no action for which consent or authorization is required if the individual objects, except in an emergency or as otherwise permitted by law, pending the LHRC review.
  - c) If the LHRC determines that the individual's capacity was properly evaluated, the authorized representative is properly designated, or the authorized representative's decision was made based on the individual's basic values and any preferences previously expressed by the individual to the extent that they are known, or if unknown or unclear in the individual's best interests, then Gateway may proceed according to the decision of the authorized representative.
  - d) If the LHRC determines that the individual's capacity was not properly evaluated or the authorized representative was not properly designated, then Gateway shall take no action for which consent is required except in an emergency or as otherwise required or permitted by law, until the capacity review and authorized representative designation is properly done.
  - e) If the LHRC determines that the authorized representative's decision was not made based on the individual's basic values and any preferences previously expressed by the individual to the extent known, and if unknown or unclear, in the individual's best interests, then Gateway shall take steps to remove the authorized representative pursuant to 12VAC35-115-146.
  - f) If an individual or his family member has obtained an independent evaluation of the individual's capacity to consent to treatment or services or to participate in human research under 12VAC35-115-70, or authorize the disclosure of information under 12VAC35-115-90, and the opinion of that evaluator conflicts with the opinion of Gateway's evaluator, the LHRC may be requested to decide which evaluation will control.
  - g) If the LHRC agrees that the individual lacks the capacity to consent to treatment or services or authorize disclosure of information, the director may begin or continue treatment or research or disclose information, but only the appropriate consent or authorization of the authorized representative. The LHRC shall advise the individual of his right to appeal this determination to the SHRC under 12VAC35-115-210.
  - h) If the LHRC does not agree that the individual lacks the capacity to consent to treatment or services or authorize disclosure of information, the director shall not begin any

- treatment or research, or disclose information without the individual's consent or authorization, or shall take immediate steps to discontinue any actions begun without the consent or authorization of the individual. The director may appeal to the SHRC under 12VAC35-115-210 but may not take any further action until the SHRC issues its opinion.
- If a director makes a decision that affects an individual and the individual believes that
  the decision requires his personal consent or authorization or that of his authorized
  representative, he may object and ask the LHRC to decide whether consent or
  authorization is required.
- j) Regardless of the individual's capacity to consent to treatment or services or authorize disclosure of information, if the LHRC determines that a decision made by a director requires consent or authorization that was not obtained, the director shall immediately rescind the action unless and until such consent or authorization is obtained. The director may appeal to the SHRC under 12VAC35-115-210 but may not take any further action until the SHRC issues its opinion.
- 2) Before making such a decision, the LHRC shall review the action proposed by the director, any determination of lack of capacity, the opinion of the independent evaluator if applicable, and the individual's or his authorized representative's reasons for objecting to that determination. To facilitate its review, the LHRC may ask that a physician or licensed clinical psychologist not employed by the provider evaluate the individual at the provider's expense and give an opinion about his capacity to consent to treatment or authorize information.
- 3) The LHRC shall notify all parties and the human rights advocate of the decision within 10 working days of the initial request.

### Nineteen - State Human Rights Committee Appeals Procedures (12 VAC 35-115-210)

- 1) Any party may appeal to the SHRC if he is not satisfied with any of the following:
  - a) An LHRC's final findings of fact and recommendations following a hearing;
  - b) A director's final action plan following an LHRC hearing;
  - c) An LHRC's final decision regarding the capacity of an individual to consent to treatment, services, or research or authorize disclosure of information; or
  - d) An LHRC's final decision concerning whether consent or authorization is needed for the director to take a certain action.
- 2) The steps for filing an appeal are provided below:
  - a) Step 1: Appeals shall be filed in writing with the SHRC by a party within 10 working days of receipt of the final action.
    - i) The appeal shall explain the reasons the final action is not satisfactory.
    - ii) The human rights advocate or any other person may help in filing the appeal. If the individual chooses a person other than the human rights advocate to help him, he and his chosen representative may request the human rights advocate's help in filing the appeal.
    - iii) The party appealing must give a copy of the appeal to the other party, the human rights advocate, and the LHRC.
    - iv) If the director is the party appealing, he shall first request and get written permission to appeal from the commissioner or governing body of the provider, as appropriate. If the director does not get this written permission and note the appeal within 10 working days, his right to appeal is waived.
  - b) Step 2: If the director is appealing, the individual may file a written statement with the SHRC within five working days after receiving a copy of the appeal. If the individual is appealing, the director shall file a written statement with the SHRC within five working days after receiving a copy of the appeal.
  - c) Step 3: Within five working days of noting or being notified of an appeal, the director shall forward a complete record of the LHRC hearing to the SHRC. The record shall include, at a minimum:
    - i) The original petition or information filed with the LHRC and any statement filed by the director in response;
    - ii) Parts of the individual's services record that the LHRC considered and any other parts of the services record submitted to, but not considered by the LHRC that either party considers relevant;
    - iii) All written documents and materials presented to and considered by the LHRC, including any independent evaluations conducted;
    - iv) A tape or transcript of the LHRC proceedings, if available;
    - v) The LHRC's findings of fact and recommendations;
    - vi) The director's action plan, if any; and
    - vii) Any written objections to the action plan or its implementation.
  - d) Step 4: The SHRC shall hear the appeal at its next scheduled meeting after the chairperson receives the appeal.
    - i) The SHRC shall give the parties at least 10 working days' notice of the appeal hearing.
    - ii) The following rules govern appeal hearings:

- (1) The SHRC shall not hear any new evidence.
- (2) The SHRC is bound by the LHRC's findings of fact subject to subdivision 3 of this subsection.
- (3) The SHRC shall limit its review to whether the facts, as found by the LHRC, establish a violation of these regulations and a determination of whether the LHRC's recommendations or the action plan adequately address the alleged violation.
- (4) All parties and their representatives shall have the opportunity to appear before the SHRC to present their positions and answer questions the SHRC may have.
- iii) The SHRC shall notify the inspector general of the appeal.
- iv) If the SHRC decides that the LHRC's findings of fact are clearly wrong or that the hearing procedures employed by the LHRC were inadequate, the SHRC may:
  - (1) Send the case back to the LHRC for another hearing to be completed within a time period specified by the SHRC; or
  - (2) Conduct its own fact-finding hearing. If the SHRC chooses to conduct its own fact-finding hearing, it may appoint a subcommittee of at least three of its members as fact finders. The fact-finding hearing shall be conducted within 30 working days of the SHRC's initial hearing.
  - (3) In either case, the parties shall have 15 working days' notice of the date of the hearing and the opportunity to be heard and to present witnesses and other evidence.
- e) Step 5: Within 20 working days after the SHRC appeal hearing, the SHRC shall submit a report, its findings of fact, if applicable, and recommendations to the commissioner and to Gateway's governing body, with copies to the parties, the LHRC, and the human rights advocate.
- f) Step 6: Within 10 working days after receiving the SHRC's report, Gateway's governing body shall outline in writing the action or actions they will take in response to the recommendations of the SHRC. Gateway's governing body shall also explain any reasons for not carrying out any of the recommended actions. Copies of their responses shall be forwarded to the SHRC, the LHRC, the director, the human rights advocate, and the individual.
- g) Step 7: If the SHRC objects in writing to the Gateway's governing body's proposed actions, or both, their actions shall be postponed. The governing body, or both, shall meet with the SHRC at its next regularly scheduled meeting to attempt to arrange a mutually agreeable resolution.
- h) Step 8: The action plan of Gateway's governing body shall be reviewed by the commissioner. If the commissioner determines that Gateway has failed to develop and carry out an acceptable action plan, the commissioner shall notify the protection and advocacy agency and shall inform the SHRC of the sanctions the department will impose against the provider.
- i) Step 9: Upon completion of the process outlined in subsections B through I of this section, the SHRC shall notify the parties and the human rights advocate of the final outcome of the complaint.

### Twenty - Variances (12 VAC 35-115-220)

- 1) Variances to these regulations shall be requested and approved only when Gateway has tried to implement the relevant requirement without a variance and can provide objective, documented information that continued operation without a variance is not feasible or will prevent the delivery of effective and appropriate services and supports to individuals.
- 2) On the Director may apply for variances after approval by Gateway's governing body before consideration by an LHRC or the SHRC.
- 3) Upon receiving approval from Gateway's governing body and after notifying the human rights advocate and other interested persons, the director shall file a formal application for variance with the LHRC. This application shall reference the specific part of these regulations to which a variance is needed, the proposed wording of the substitute rule or procedure, and the justification for a variance. The application shall also describe time limits and other conditions for duration and the circumstances that will end the applicability of the variance.
- 4) When the LHRC receives the application, it shall invite, and provide ample time to receive, oral or written statements about the application from the human rights advocate, individuals affected by the variance, and other interested persons.
- 5) The LHRC shall review the application and prepare a written report of facts, which shall include its recommendation for approval, disapproval, or modification. The LHRC shall send its report, recommendations, and a copy of the original application to the State Human Rights Director, the SHRC, and the director making application for the variance.
- 6) When the SHRC receives the application and the LHRC's report, the SHRC shall do the following:
  - a) Invite oral or written statements about the application from Gateway's Director, LHRC, advocate, and other interested persons by publishing the request for variance in the next issue of the Virginia Register of Regulations;
  - b) Notify the inspector general of the request for variance; and
  - c) After considering all available information, prepare a written decision deferring, disapproving, modifying, or approving the application. All variances shall be approved for a specific time period and must be reviewed at least annually.
- 7) A copy of this decision including conditions, time frames, circumstances for removal, and the reasons for the decision shall be given to Gateway's Director, the commissioner or governing body, the state human rights director, the human rights advocate, any person commenting on the request at any stage, and the LHRC.
- 8) The decision and reasons shall also be published in the next issue of the Virginia Register of Regulations.
- 9) Directors shall implement any approved variance in strict compliance with the written application as amended, modified, or approved by the SHRC.
- 10) Gateway shall develop policies and procedures for monitoring the implementation of any approved variances. These policies and procedures shall specify that at no time can a variance approved for one individual be extended to general applicability. These policies and procedures shall assure the ongoing collection of any data relevant to the variance and the presentation of any later report concerning the variance as requested by the commissioner, the state human rights director, the human rights advocate, the LHRC or the SHRC.
- 11) The decision of the SHRC granting or denying a variance shall be final.

- 12) Following the granting of a variance, Gateway shall notify all individuals affected by the variance about the details of the variance.
- 13) If an individual is in immediate danger due to a Gateway's implementation of these regulations, Gateway may request a temporary variance pending approval pursuant to the process described in this section. Such a request shall be submitted in writing to the commissioner, chairperson of the SHRC, and state human rights director. The commissioner, chairperson of the SHRC, and state human rights director shall issue a decision within 48 hours of the receipt of such a request.

## Twenty-One – Reporting Requirements To The Department of Mental Health (12 VAC 35-115-230)

- 1) Gateway Homes shall collect, maintain, and report the following information concerning abuse, neglect, and exploitation.
  - a) The Director or designee shall report each allegation of abuse or neglect to the assigned Human Rights Advocate within 24 hours from the receipt of the allegation.
  - b) The investigating authority shall provide a written report of the results of the investigation of abuse or neglect to the Director and Human Rights Advocate within ten working days from the date the investigation began unless an exemption has been granted by the Department. This report shall include but not be limited to the following:
    - i) Whether abuse, neglect, or exploitation occurred;
    - ii) Type of abuse, and;
    - iii) Whether the act resulted in physical or psychological injury.
- 2) Gateway Homes shall collect, maintain, and report the following information concerning deaths and serious injuries as indicated in the Incident Reporting Policy.
  - a) Gateway Homes shall report deaths and serious injuries in writing to the Department within 24 hours of discovery and by telephone to the legally authorized representative, as applicable, within 24 hours.
  - b) All reports of death and serious injuries shall include but not be limited to the following:
    - i) Date and place of death/injury;
    - ii) Nature of injuries and treatment required, and;
    - iii) Circumstances of death/serious injury.
- 3) Gateway shall collect, maintain, and report the following information concerning human rights activities:
  - a) The Director shall provide to the Human Rights Advocate and the Local Human Rights Committee information on the type, resolution level and findings of each complaint of a human rights violation and the implementation of variances in accordance with the LHRC meeting schedule or as requested by the advocate.
  - b) The Director shall provide to the Human Rights Advocate and the LHRC, at least monthly, reports regarding the implementation of any variances.
- 4) Reports required under this section shall be submitted to the Department on forms or in an automated format or both developed by the Department.
- 5) The Department shall compile all data reported under this section and make this data available to the public and the Inspector General upon request.
  - a) The Department shall provide the compiled data in writing or by electronic means.
  - b) The department shall remove all provider-identifying information and all information that could be used to identify a person as an individual receiving services.
- 6) In the reporting, compiling, and releasing of information and statistical data provided under this section, the department and Gateway Homes shall take all measures necessary to ensure

- that any individual-identifying information is not released to the public, including encryption of data transferred by electronic means.
- 7) Nothing in this section is to be construed as requiring the reporting or proceedings, minutes, records, or reports of any committee or nonprofit entity providing a centralized credentialing service, which are identified as privileged pursuant to 8.01-581.17 of the Code of Virginia.
- 8) Gateway Homes shall report to the Department of Health Professions, Enforcement Division, violations of these regulations that constitute reportable conditions under 54.1-2906 of the Code of Virginia.

### Twenty-Two - Miscellaneous Responsibilities and Duties (12VAC35-115-250)

- 1) Gateway's Director shall
  - a) Identify a person or persons accountable for helping individuals to exercise their rights and resolve complaints regarding services.
  - b) Comply with all state laws governing the reporting of abuse and neglect and all procedures set forth in these regulations for reporting allegations of abuse, neglect, or exploitation.
  - c) Require competency-based training on these regulations upon employment and at least annually thereafter. Documentation of such competency shall be maintained in the employee's personnel file.
  - d) Take all steps necessary to assure compliance with these regulations in all services provided.
  - e) Communicate information about the availability of a human rights advocate to individuals and authorized representatives.
  - f) Assure one LHRC affiliation within the region as defined by the SHRC. The SHRC may require multi-site providers to have more than one LHRC affiliation within a region if the SHRC determines that additional affiliations are necessary to protect individuals' human rights.
  - g) Assure that the appropriate staff attend LHRC meetings in accordance with the LHRC meeting schedule to report on human rights activities, to impart information to the LHRC at the request of the human rights advocate or LHRC, and discuss specific concerns or issues with the LHRC.
  - h) Cooperate with the human rights advocate and the LHRC to investigate and correct conditions or practices interfering with the free exercise of individuals' human rights and make sure that all employees cooperate with the human rights advocate and the LHRC in carrying out their duties under these regulations. Notwithstanding the requirements for complaints pursuant to Part V (12VAC35-115-150 et seq.) of this chapter, the provider shall submit a written response indicating intended action to any written recommendation made by the human rights advocate or LHRC within 15 days of the receipt of such recommendation.
  - i) Provide the advocate unrestricted access to individuals and individual services records whenever the human rights advocate deems access necessary to carry out rights protection, complaint resolution, and advocacy.
  - j) Submit to the human rights advocate for review and comment any proposed policies, procedures, or practices that may affect individual human rights.
  - k) Comply with requests by the SHRC, LHRC, and human rights advocate for information, policies, procedures, and written reports regarding compliance with these regulations.
  - Name a liaison to the LHRC, who shall give the LHRC suitable meeting accommodations, clerical support and equipment, and assure the availability of records and employee witnesses upon the request of the LHRC. Oversight and assistance with the LHRC's substantive implementation of these regulations shall be provided by the SHRC. See subsection E of this section.
  - m) Submit applications for variances to these regulations only as a last resort.
  - n) Post in program locations information about the existence and purpose of the human rights program.

- o) Not influence or attempt to influence the appointment of any person to an LHRC associated with the provider or director.
- p) Perform any other duties required under these regulations.
- 2) Gateway employees, as a condition of employment shall:
  - a) Become familiar with these regulations, comply with them in all respects, and help individuals understand and assert their rights.
  - b) Protect individuals from any form of abuse, neglect, or exploitation (i) by not abusing, neglecting or exploiting any individual; (ii) by not permitting or condoning anyone else abusing, neglecting, or exploiting any individual; and (iii) by reporting all suspected abuse, neglect, or exploitation to the director. Protecting individuals receiving services from abuse also includes using the minimum force necessary to restrain an individual.
  - c) Cooperate with any investigation, meeting, hearing, or appeal held under these regulations. Cooperation includes giving statements or sworn testimony.
  - d) Perform any other duties required under these regulations.

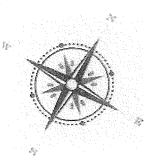
Gateway Homes, Inc Policy and Procedures		
Category: Program Operations	<b>Reference</b> : 12VAC 35-105-570	
Title: Mission Statement	Number: 570	
Issued: June 2004	Pages: 1	
Revised: June 2011; December 2013;	Attachments:	
April, 2014	Form 570 Mission, Vision, Values	
-	Current Strategic Plan 2014-2016	
	Form 620.0 2013 Gateway Homes Client	
	Satisfaction Assessment	

- **I. Purpose:** The purpose of this policy is to establish procedures for Gateway's mission statement.
- **II. Policy:** Gateway Homes' Board of Directors will have a mission statement that clearly identifies the agency's philosophy, purpose, and goals.

### III. General Guidance And Procedures:

- 1. Gateway's Board of Directors will develop, review, and update Gateway's mission statement at least every three years.
- 2. Gateway's mission will be published on its website, in its brochures, on its Facebook, and included as an attachment for each Service Description.
- IV. Current Mission, Vision, & Values Statement: See Form 570 Mission Statement.





## Charting Our Future 2014 - 2016

Guided by our mission, vision, and values, our strategic plan has three overarching goals: (1) enhancing community partnerships; (2) ensuring financial resiliency; and (3) strengthening organizational infrastructure.

Our Mission (what we do) To provide a transitional residential program for adults with mental illness who are striving for independence.

Our Vision (what we strive to achieve) To make recovery a reality for adults with mental illness

Our Values - The Three C's of Success (how we do what we do)

Compassion

Treating individuals with serious mental illness requires specialized and compassionate care. Gateway is strongly committed to providing continuing professional development for staff to enhance their expertise in mental health and program effectiveness and to increase their understanding of the individuals they support.

Collaboration Collaboration is a critical component of Gateway's success. We benefit our community by sharing our expertise with others. We leverage our impact through relationships with health planning regions, community service boards, state hospitals, local universities and other human service agencies. Our donors are integral partners in our mission to make recovery a reality for persons with mental illness.

Creativity

Gateway recognizes that successful treatment of serious mental illness requires a thoughtful and person-centered approach to every situation. We encourage staff, residents, families and community partners to bring forth creative options for consideration to ensure successful recovery.

Objective	Responsible Party	Time Frame	Assessment
Enhancing Community Partnerships			
Continue contract with Health Planning Region II in providing a self-sustaining residential treatment program	Executive Director and Board Clinical Committee	2016	
Continue to maintain relationships with the Dept. of Behavioral Health and Health Planning Region IV to create a plan for the need for community based housing and treatment services.	Executive Director.	Ongoing	
Continue to maintain relationships with Virginia Housing Development Authority.	Executive Director	Ongoing	
Continue to develop and maintain relationships with colleges and universities as a primary internship site for students from a broad array of clinical disciplines.	Executive Director	Ongoing	

Objective	Responsible Party	Time Frame	Assessment
Establish a family advisory board to provide input and guidance for programming and activities.	Executive Director and Board Clinical Committee	January 2015	
Assess the feasibility of developing an internship position focusing on vocational advancement of residents.	Executive Director and Board Clinical Committee	September 2014	
Assess the feasibility of implementing a second Psychosocial Rehabilitation Program at a different location from Chesterfield campus.	Executive Director, Finance Director, Board Clinical Committee	October 2014	
Increasing Financial Resiliency			
Establish a percentage of annual operating expenses to be placed in forward funding annually.	Director of Finance, Board Finance Committee	January 2014	
Develop a comprehensive annual fundraising plan each year with strategies for donor retention, new donor acquisition and recapture of lapsed donors.	Director of Development and Board Development Committee	Annually/Ongoing	
Engage all board members in fundraising and donor relations.	Director of Development and Board Development Committee	Ongoing	

Objective	Responsible Party	Time Frame	Assessment
Maximize and cultivate relationship potential through timely and effective interactions with current and prospective donors	Director of Development and Board Development Committee	Ongoing.	
Study the effects of new licensing standards, changes in Medicaid reimbursement and changes in definition of services provided as impacting financial resources.	Executive Director and Finance Director	September 2014	
Establish a marketing committee that focuses on techniques for enhancing Gateway's visibility to donors	Board Governance Committee and Development Committee	March, 2014	
Strengthening Organizational			J.
Infrastructure Ensure the board membership is	Board Governance Committee	March 2014	
representative of the communities served. Assess the skill sets that are currently needed by new Board members.			
Create and implement a succession plan for Board	Board governance Committee	September 2014	

Objective	Responsible Party	Time Frame	Assessment
officers.			
Review and restructure staffing patterns consistent with new licensing requirements	Executive Director	January 2014	
Provide ongoing Board education and development.	Board Governance Committee	Ongoing	
Policies and procedures are comprehensive, consistent with best practice, current and reviewed at least every two years.	Board Governance Committee	January 2014	
Current Succession plans are in place for all key staff.	Executive Director and Director of Ancillary Services	June 2014	
Job duties include cross-coverage for all essential tasks.	Executive Director	June 2014	
Establish a process for ensuring reserve funding for replacement is sufficient and budgeted.	Director of Finance and Board Finance Committee	March 2014	
The information technology plan will provide for current and future needs with recommendations for advancement of technology.	Executive Director and Director of Ancillary Services.	May 2014	•
Program evaluation will be designed and implemented Annually including resident satisfaction survey	Executive Director and Board Clinical Committee	November 2014	

Objective	Responsible Party	Time Frame	Assessment
SWOT analysis will be conducted with residents on an annual basis.	Executive Director	October 2014	
Include peer support as an integral component of programming and involve peer lead activities in programming.	Executive Director and Board Clinical Committee	January 2014	

# Gateway Homes, Inc. Supervisor Job Description

Job Title: Program Supervisor
Program/Department: Group Home

Supervisor: Lynda J. Hyatt, Ph.D

**Date**: June 1, 2011

Title: Clinical Director

### **Position Summary:**

This position is responsible for providing supervision of residential support staff and residential counselors. This position also provides mental health support to individuals with serious mental illness in an intensive, community-based residential treatment program. The position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Clinical Director.

### **Duties and Responsibilities:**

- Keep current with all mandatory training requirements including CPR, First Aid, TOVA, and Driver's Education & Safety
- Participate in clinical meetings
- Provide supervision to staff as needed
- Prepare monthly staffing schedule and monitor for compliance
- Participate in employee interview process
- Prepare employee performance evaluations in accordance with Gateway's personnel policies
- Complete required written documentation including but not limited to resident contacts, individual sessions, family contacts, and professional contacts
- Reviews all ISP's for clinical issues and accuracy
- Provide Mental Health Support to residents as specified by their Individual Service Plan
- Meet with residents individually to work on ISP goals and document progress
- Assist residents in the verification of benefits with SSA, Medicaid, Medicare, Food Stamps, insurance, payee status, etc.
- Assist residents with transitional activities as deemed appropriate
- Assist residential support staff in providing direct care and supervision as needed
- Assist the Clinical Director in maintaining standards and regulations that are required by the program.
- Provide transportation as deemed necessary

### Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of simple nursing care, first-aid, behavioral management, personal and environmental hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- Ability to engage in the care, training, and rehabilitation of seriously mentally ill clients
- Ability to provide basic personal care and hygiene
- Ability to perform established training, care, and programmatic activities
- Ability to teach clients eating, bathing, dressing, grooming, and other self-care skills

- Ability to participate with professional staff in the design and implementation of training and programmatic activities
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' behavior, attitude, and physical condition
- Ability to perform simple math and communicate effectively, both orally and in writing
- Ability to maintain effective working relationships with clients and other employees

Required	Experience of	r professional	qualifications
required	Experience of	DIOTORDIOHAI	qualifications

- <u>Minimum Qualifications</u>: Education equivalent to graduation from college with a major in human services and at least 21 years of age. Applicant must be a Qualified Mental Health Provider.
- Experience: Two years of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness and supervisory experience.

	•		
I have received and reviewed a copy of my job description	n for a Program	Supervisor at G	ateway Homes.
Employee's Signature	Date		

# Gateway Homes, Inc. Residential Counselor Job Description

Job Title: Residential Counselor Program/Department: Group Home

Supervisor:

Title: Program Supervisor

**Date**: June 1, 2011

#### **Position Summary:**

This position is responsible for providing case management and mental health support services to individuals with serious mental illness in an intensive, community-based residential treatment program. The position is exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Program Supervisor.

### **Duties and Responsibilities:**

- Keep current with all mandatory training requirements including CPR, First Aid, TOVA, and Driver's Education & Safety
- Participate in clinical meetings
- Complete required written documentation including but not limited to resident contacts, individual sessions, family contacts, and professional contacts
- Assist residents in obtaining appropriate documentation such as birth certificates, picture ID, SS cards, etc.
- Prepare initial and reviews of residents' Individual Service Plans (ISPs)
- Assist residents in the attainment of benefits with SSA, Medicaid, Medicare, Food Stamps, insurance, payee status, etc.
- Complete admission intake paperwork for new admissions
- Involve residents in community activities as appropriate
- Provide Mental Health Support to residents as specified by their Individual Service Plan
- Assist the Program Supervisor in maintaining standards and regulations that are required by the program.
- Assist residential support staff in providing direct care and supervision as needed.
- Provide transportation as deemed necessary

### Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of simple nursing care, first-aid, behavioral management, personal and environmental hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- Ability to engage in the care, training, and rehabilitation of seriously mentally ill clients
- Ability to provide basic personal care and hygiene
- Ability to perform established training, care, and programmatic activities
- Ability to teach clients eating, bathing, dressing, grooming, and other self-care skills
- Ability to participate with professional staff in the design and implementation of training and programmatic activities
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' behavior, attitude, and physical condition

<b>.</b>	Ability to perform simple math and communicate effectively, both orally and in writing Ability to maintain effective working relationships with clients and other employees
<u>Re</u>	quired Experience or professional qualifications:
•	Minimum Qualifications: Education equivalent to graduation from college with a major in human services and at least 21 years of age. Applicant must meet the criteria as a Qualified Mental Health Provider.
•	<u>Experience</u> : One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.
l ha	ave received and reviewed a copy of my job description for a Residential Counselor at Gateway Homes.

Date

Employee's Signature

# Gateway Homes, Inc. Direct Care Job Description

Job Title: Residential Support Staff Program/Department: Group Home

Supervisor:

Title: Program Supervisor

Date: June 1, 2011

### **Position Summary**:

This position is responsible for providing direct care to individuals with serious mental illness in an Intensive, Community-based, residential treatment program. The position is non-exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Program Supervisor.

### **Duties and Responsibilities:**

- Keep current with all mandatory training requirements including CPR, First Aid, TOVA, and Driver's Education & Safety
- Administer and monitor medication as prescribed
- Assist residents with meal planning, grocery shopping and meal preparation
- Assist residents in obtaining appropriate documentation such as birth certificates, picture ID, SS cards, etc.
- Assist residents with activities of daily living
- Assist the Program Supervisor in maintaining standards and regulations that are required by the program.
- Provide transportation as deemed necessary

#### Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness
- Knowledge of simple nursing care, first-aid, behavioral management, personal and environmental hygiene
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes
- Ability to engage in the care, training, and rehabilitation of seriously mentally ill clients
- Ability to provide basic personal care and hygiene
- Ability to perform established training, care, and programmatic activities
- Ability to teach clients eating, bathing, dressing, grooming, and other self-care skills
- Ability to participate with professional staff in the design and implementation of training and programmatic activities
- Ability to observe the rights and personal dignity of others
- Ability to observe, record, and report clients' behavior, attitude, and physical condition
- Ability to perform simple math and communicate effectively, both orally and in writing
- Ability to maintain effective working relationships with clients and other employees

### Required Experience or professional qualifications:

•	Minimum Qualifications: Education equivalent to graduation from high school and at least 21 years of age. Applicant must be certified through the Medication Registry as required by the Board of Nursing.
•	Experience: One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.
I h	have received and reviewed a copy of my job description for a Residential Support Staff at Gateway Homes.
Er	mployee's Signature Date

Gateway Homes, Inc Policy and Procedures		
Category: Program Operations	<b>Reference</b> : 12VAC 35-105-580	
Title: Service Description	Number: 580	
Issued: June 2004	Pages: 1	
Revised: June 2011; April, 2014	Attachments:	
	Form 580 Group Home	
	Form 580.1 Psychosocial Rehabilitation	
	Form 580.2 Mental Health Skills Building	
	Services	
	Form 580.3 Outpatient Services	
	Form 580.4 Supervised Living Residential	

- **I. Purpose:** The purpose of this policy is to establish procedures for maintaining a description of Gateway's services.
- **II. Policy:** Gateway Homes' services will be consistent with its mission, vision, and values. Service descriptions will reflect actual services provided and be made available for public review.

#### III. General Guidance And Procedures:

- 1. <u>Service Description:</u> Gateway will maintain a written description of all of the services it offers which, at a minimum includes:
  - i) Goals and objectives of the service;
  - ii) Care, treatment, training, or other supports provided by the service;
  - iii) Characteristics and needs of the population served;
  - iv) Contracted services, if any;
  - v) Admission, continued stay, and exclusion criteria;
  - vi) Termination of treatment and discharge or transition criteria; and
  - vii) Type and role of employees and contractors.
- 2. <u>Review Of Services</u>: Services will be reviewed annually by Board of Director's Clinical Committee to ensure each service offers a structured program of care designed to meet the identified individual's physical and emotional needs, provides the appropriate level of protection, guidance, supervision, socialization, and meets the objectives of the services plan.
- 3. <u>Revision Of Service Description</u>: The Clinical Director will revise a service description prior to implementing any changes to that service.
- 4. <u>Public Access:</u> Gateway will maintain a current description of its services on its website and will provide the public with a written description of services upon request.

# Group Home Service Description

Goal – Help adults with serious mental illness achieve the highest level of independence possible in a community setting.

Care, Treatment, Training, or Other Supports Provided – Intensive, 24 hour supervision in an eight bed licensed residential setting; skills training in the activities of daily care; mental health support services, psychosocial rehabilitation; case management; transportation; medication administration; nursing, psychiatric and pharmaceutical services.

Characteristics and needs of the population served — The clients served in this program are at high risk for psychiatric destabilization and relapse and have specialized and intensive treatment needs. This population typically presents active positive symptoms of psychosis including hallucination, delusions, severe thought disorder of long duration, long-term negative symptoms of serious mental illness including interpersonal withdrawal and lack of motivation. They may experience extreme anxiety, depression, and/or mania which severely impairs their ability to function outside of hospital settings.

Contracted services - Psychiatric, laboratory, and pharmacy services.

**Admission, Continued Stay, and Exclusion Criteria** - All clients must be approved for admission by the Regional Utilization Group Aftercare managers Committee of Health Planning Region II and be diagnosed with major mental illness. Clients may remain in the program for as long as they require this level of service.

Termination of Treatment and Discharge or Transition Criteria — Clients will be discharged from the service upon their request. When clinically appropriate and approved by Regional Utilization Group Aftercare Managers Committee of Health Planning Region II, clients will transition to supportive living programs in the community to provide opportunities for increased levels of independence. Clients may be terminated from services if they engage in the following behaviors: using alcohol or drugs; possessing weapons of any type; threatening or engaging in physical harm toward others; destroying property; and illegal activities that violate local, state and federal laws.

**Type and Role of Employees and Contractors** - Residential specialists providing 24 hour supervision, assistance with daily care, and medication administration; Residential counselors providing supervision, skills training, medication administration, mental health support, case management, psychosocial rehabilitation, and transportation; Nursing staff providing supervision of medication administration and general health care; Psychiatrist providing psychiatric care and medication management; and Pharmacy providing pharmaceutical services.

### Psychosocial Rehabilitation Service Description

Goal – Help adults with serious mental illness achieve the highest level of independence possible in a community setting.

Care, Treatment, Training, or Other Supports Provided – Psychosocial rehabilitation promotes recovery, self-sufficiency, community integration, and improved quality of life for persons with a serious mental illness. It includes a range of social, recreational, psychoeducational, prevocational, behavioral, and cognitive interventions for enhancing their recovery. Its goal is to help individuals develop skills and access resources needed to increase their capacity to be successful and satisfied in the living, working, learning, and social environments of their choice.

Characteristics and needs of the population served — Individuals with serious mental illness who demonstrate a clinical necessity for the service arising from a condition due to mental, behavioral, or emotional illness that results in significant functional impairments in major life activities. Individuals have at least two of the following on a continuing or intermittent basis: have difficulty in establishing or maintaining normal interpersonal relationships to such a degree that they are at risk of hospitalization or homelessness because of conflicts with family or community; require help in basic living skills, such as maintaining personal hygiene, preparing food and maintaining adequate nutrition, or managing finances to such a degree that health or safety is jeopardized; exhibit such inappropriate behavior that repeated interventions by the mental health, social services, or judicial system are necessary; or exhibit difficulty in cognitive ability such that they are unable to recognize personal danger or significantly inappropriate social behavior.

#### Contracted services – None.

Admission, Continued Stay, and Exclusion Criteria – Clients living in Gateway's residential programs, receiving community support services from Gateway, or referred by state psychiatric hospitals for day treatment are eligible for these services. Additionally, they must have experienced long-term or repeated psychiatric hospitalizations, lack daily living skills and interpersonal skills, have a limited or non-existent support system, be unable to function in the community without intensive intervention, or require long-term services to be maintained in the community.

Termination of Treatment and Discharge or Transition Criteria — Clients will be discharged from the service upon their request, if they no longer need services, when they stop participating in the services, and may be discharged if they engage in the following behaviors: using alcohol or drugs; possessing weapons of any type; threatening or engaging in physical harm toward others; destroying property; and illegal activities that violate local, state or federal law.

**Type and Role of Employees and Contractors** - Services are provided by qualified mental health professionals and supervised by a licensed or licensed eligible mental health professional.

### Mental Health Skills Building Services Service Description

Goal – Help adults with serious mental illness achieve the highest level of independence possible in a community setting.

Care, Treatment, Training, or Other Supports Provided – Mental health skills building are training and support to enable individuals with significant psychiatric functional limitations to achieve and maintain community stability and independence in the most appropriate, least restrictive environment.

Characteristics and needs of the population served — Individuals demonstrate a clinical need for the service arising from a condition due to mental, behavioral, or emotional illness that results in significant functional impairments in major like activities and affects their ability to remain stabilized in the community. Individuals meet at least two of the following criteria on a continuing or intermittent basis: have difficulty in establishing or maintaining normal interpersonal relationships to such a degree that they are at risk of hospitalization, homelessness, or isolation from social supports; exhibit such inappropriate behavior that repeated interventions by the mental health, social services, or judicial system are necessary; exhibit difficulty in cognitive ability such that they are unable to recognize personal danger or recognize significantly inappropriate social behavior; require help in basic living skills, such as maintaining personal hygiene, preparing food and maintaining adequate nutrition, or managing finances to such a degree that health or safety is jeopardized.

#### Contracted services - None.

Admission, Continued Stay, and Exclusion Criteria – Clients living in Gateway's residential programs, receiving community support services from Gateway, or referred by state psychiatric hospitals for day treatment are eligible for these services. Additionally, they must have experienced long-term or repeated psychiatric hospitalizations, lack daily living skills and interpersonal skills, have a limited or non-existent support system, be unable to function in the community without intensive intervention, or require long-term services to be maintained in the community.

Termination of Treatment and Discharge or Transition Criteria — Clients will be discharged from the service upon their request, if they no longer need services, when they stop participating in the services, and may be discharged if they engage in the following behaviors: using alcohol or drugs; possessing weapons of any type; threatening or engaging in physical harm toward others; destroying property; and illegal activities that violate local, state or federal law.

Type and Role of Employees and Contractors - Services are provided by qualified mental health professionals and supervised by a licensed or licensed eligible mental health professional.

### **Outpatient Services Service Description**

Goal – Help adults with serious mental illness achieve the highest level of independence possible in a community setting.

Care, Treatment, Training, or Other Supports Provided – Outpatient services include psychiatric, nurse practitioner, therapy and psychological services as requested by the individual.

Characteristics and needs of the population served – The clients served in this program are at high risk for psychiatric destabilization and relapse and have specialized and intensive treatment needs. This population typically presents active positive symptoms of psychosis including hallucination, delusions, severe thought disorder of long duration, long-term negative symptoms of serious mental illness including interpersonal withdrawal and lack of motivation. They may experience extreme anxiety, depression, and/or mania which severely impairs their ability to function outside of hospital settings.

Contracted services - Pharmacy services.

Admission, Continued Stay, and Exclusion Criteria — Clients living in Gateway's residential programs, receiving community support services from Gateway, or referred by state psychiatric hospitals for day treatment are eligible for these services. Additionally, they must have experienced long-term or repeated psychiatric hospitalizations, lack daily living skills and interpersonal skills, have a limited or non-existent support system, be unable to function in the community without intensive intervention, or require long-term services to be maintained in the community.

Termination of Treatment and Discharge or Transition Criteria — Clients will be discharged from the service upon their request, if they no longer need services, when they stop participating in the services, and may be discharged if they engage in the following behaviors: using alcohol or drugs; possessing weapons of any type; threatening or engaging in physical harm toward others; destroying property; and illegal activities that violate local, state or federal law.

**Type and Role of Employees and Contractors** - Nurse Practitioner providing general health care; Psychiatrist providing psychiatric care and medication management; Pharmacy providing pharmaceutical services; Therapist providing individual therapy sessions; Psychologist providing individualized assessments; and Dietician providing nutritional and health related consultation

# **Supervised Living Residential Service Description**

Goal – Help adults with serious mental illness achieve the highest level of independence possible in a community setting.

Care, Treatment, Training, or Other Supports Provided – Intensive, 24 hour supervision in a fifteen bed licensed setting and a twenty-five bed apartment program with 24 hour on call availability; skills training in the activities of daily care; mental health skills building services, psychosocial rehabilitation; case management; transportation; medication administration; nursing, and pharmaceutical services.

Characteristics and needs of the population served — The clients served in this program are at high risk for psychiatric destabilization and relapse and have specialized and intensive treatment needs. This population typically presents active positive symptoms of psychosis including hallucination, delusions, severe thought disorder of long duration, long-term negative symptoms of serious mental illness including interpersonal withdrawal and lack of motivation. They may experience extreme anxiety, depression, and/or mania which severely impairs their ability to function outside of hospital settings.

Contracted services - Pharmacy services.

Admission, Continued Stay, and Exclusion Criteria - Clients living in Gateway's residential programs, receiving community support services from Gateway, or referred by state psychiatric hospitals for day treatment are eligible for these services. Additionally, they must have experienced long-term or repeated psychiatric hospitalizations, lack daily living skills and interpersonal skills, have a limited or non-existent support system, be unable to function in the community without intensive intervention, or require long-term services to be maintained in the community.

Termination of Treatment and Discharge or Transition Criteria — Clients will be discharged from the service upon their request. Clients may transition to supportive living programs in the community to provide opportunities for increased levels of independence. Clients may be terminated from services if they engage in the following behaviors: using alcohol or drugs; possessing weapons of any type; threatening or engaging in physical harm toward others; destroying property; and illegal activities that violate local, state and federal laws.

**Type and Role of Employees and Contractors** - Support specialists providing supervision, assistance with daily care, and medication administration; Nursing staff providing supervision of medication administration and general health care; Psychiatrist providing psychiatric care and medication management; and Pharmacy providing pharmaceutical services.

Gateway Homes, Inc				
Policy and	nd Procedures			
Category: Program Operations	<b>Reference</b> : 12VAC 35-105-590; 22VAC40-72-40			
Title: Staffing Plan and Program of Care	Number: 590			
Issued: June 2004	Pages: 2			
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 590 Group Home Staffing Plan & Job			
	Description			
	Form 590.2 PSR Staffing Plan & Job Description			
	Form 590.3 CMHSS Staffing Plan & Job			
	Description			
	Form 590.4 Outpatient Services			
	Form 590.5 Supervised Living Residential			

- **I. Purpose:** The purpose of this policy is to establish procedures for designing and implementing a staffing plan and program of care for each service.
- **II. Policy:** Gateway Homes' staffing plan, program of care, and accompanying job descriptions will meet the needs of the population served, be consistent with the types of services offered and the service description, and provide adequate for the number of people served.

### III. General Guidance And Procedures:

- 1. <u>Staffing Plan And Program Of Care</u>: Gateway will have a staffing plan with job descriptions for each service which:
  - i) Includes the type and role of employees and contractors;
  - ii) Reflects the physical, mental, emotional, and psychosocial needs of the population being served;
  - iii) Reflects the type of services offered;
  - iv) Is consistent with the service description;
  - v) Is adequate for the number of people being served; and
  - vi) In assisted living facilities and group homes
    - (a) provide protection, guidance and supervision;
    - (b) promote a sense of security and self-worth; and
    - (c) promote residents' involvement with appropriate community resources.
- 2. <u>Transition Plan:</u> Gateway will develop a transition plan for new services, added locations, and changes in capacity.
- 3. <u>Supervision</u>: The staffing plan with job descriptions will describe how employees, volunteers, contractors, and students are supervised. Supervision will be provided by a QMHP under the

direction of an LMHPE, or by an LMHP. Each supervisor is responsible for providing supervision consistent with each employee's level of experience, job duties, and professional development goals. The supervision will be documented on Form 410.3 Supervision and maintained in the employees' personnel record.

- 4. <u>Staff Scheduling</u>: Each staff member is responsible for submitting paid time off requests to her or his supervisor by the 15<sup>th</sup> day of the month preceding the month in which the paid time off will be used. The supervisor will forward approved requests to the Logistics Manger, or designee, so that alternative staffing coverage can be arranged in a timely manner.
- 5. <u>Individuals With Special Needs</u>: To meet the needs of individuals with specialized needs, Gateway will employ or contract with persons with appropriate training in nursing, speech, language, or hearing to assist with initial assessments, developing individualized services plans, managing crises, providing staff training, and/or designing services.

## **Group Home Staffing Plan**

	Sun	Mon	Tues	Wed	Thur	Fri					
	Residential	Residential	Residential	Residential	Residential		Sat	FTE's			
	Specialist	Specialist	Specialist	Specialist		Residential	Residential	1.5			
	Residential	Residential	Residential	Residential	Specialist	Specialist	Specialist				
Day	Counselor	Supervisor	Supervisor	Supervisor	Residential	Residential	Residential	1.5			
Shift			1 2 2 2 2 7 1 1 2 1	Nurse	Supervisor	Supervisor	Counselor				
					`			.15			
•		(twice a month)  Transportation by Residential Counselor									
			Transport	anon by Kesidenii as needed	al Counselor			.4			
<u></u>				as needed							
	Residential	Residential	Residential	Residential	5						
•	Specialist	Specialist	Specialist		Residential	Residential	Residential	1.5			
Evening Shift	Residential	Residential	Residential	Specialist	Specialist	Specialist	Specialist				
	Counselor	Counselor	Counselor	Residential	Residential	Residential	Residential	1.5			
		Counstion	Counselor	Counselor	Counselor	Counselor	Counselor				
				Psychiatrist				.03			
			T	(monthly)							
			1 ransporta	ntion by Residentia	al Counselor			.2			
				as needed							
	Residential	Dogidantial	D 11 11								
Night	Specialist	Residential	Residential	Residential	Residential	Residential	Residential	1.5			
Shift	Residential	Specialist	Specialist	Specialist	Specialist	Specialist	Specialist	1.5			
	Specialist	Residential	Residential	Residential	Residential	Residential	Residential	1.5			
	Specialist	Specialist	Specialist	Specialist	Specialist	Specialist	Specialist	1.5			
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Residential Specialist Credentials ~ Minimum Qualifications: Education equivalent to graduation from high school and at least 21 years of age. Applicant must be certified through the Medication Registry as required by the Board of Nursing; Experience: One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness; and Certification: CPR, First Aid, TOVA, and Driver's Education & Safety.

Residential Counselor/Supervisor Credentials ~ Minimum Qualifications: Education equivalent to graduation from college with a major in human services and at least 21 years of age. Applicant must meet the criteria as a Qualified Mental Health Provider; Experience: One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness; and Certification: CPR, First Aid, TOVA, and Driver's Education & Safety.

Form 590 Group Home Staffing Plan

## Psychosocial Rehabilitation Staffing Plan

The staffing plan shall include employees who are qualified mental health professional and meet all other qualifications outlined in the position description for psychosocial rehabilitation services. Position descriptions are developed for each site depending upon the organizational structure and the services provided at that location. All employees must have experience in working with individuals with severe and persistent mental illness.

The number of individuals served per position varies with the intensity of the service needs of the clients.

Supervision is provided by a Qualified Mental Health Provider who may also be licensed by the Board of Health Professions. Supervisors are involved in the selection and performance evaluation of staff. Supervisors will meet with each staff at least monthly to review pertinent clinical and administrative issues. Additionally supervisors will have routine supervisory meetings of all staff to ensure heightened communication and to address any issues or concerns.

## Mental Health Skills Building Services Staffing Plan

The staffing plan shall include employees who are qualified mental health professionals and meet all other qualifications as outlined in the position description. Position descriptions are developed for each site depending upon the organizational structure and the services provided at that location. All employees must have experience in working with individuals with severe and persistent mental illness.

The number of individuals served per position varies with the intensity of the service needs of the clients.

Supervision is provided by a Qualified Mental Health Provider who may also be licensed by the Board of Health Professions. Supervisors are involved in the selection and performance evaluation of staff. Supervisors will meet with each staff at least monthly to review pertinent clinical and administrative issues. Additionally supervisors will have routine supervisory meetings of all staff to ensure heightened communication and to address any issues or concerns.



## SERVICE MODIFICATION APPLICATION FOR OUTPATIENT SERVICES

### Staffing Plan

The Executive and Clinical Director provides oversight, supervision and management of the campus and programming. Lynda Hyatt, Ph.D. is a Licensed Clinical Psychologist and has served as the Clinical Director of the program since June 2, 2007. The Board of Directors promoted her to the position of Executive Director in March, 2013.

## The staffing plan for Outpatient Services is as follows:

Psychiatrist – available for appointments each Tuesday afternoon from 4:00-7:30 and sees individuals in office space allocated at the Supported Living Center. The psychiatrist is on call 7 days per week for staffing questions or issues.

Nurse Practitioner – not currently employed but will be available 20 hours per week to provide triage, set appointments, write prescriptions, review labs and consult on holistic health related issues for individuals seeking this service. Space is allocated at the Supported Living Center for this function.

Registered Dietician – provides assessments quarterly to individuals who are recommended by the psychiatrist or the PCP or by any individual who requests these services due to health concerns or dietary concerns.

Licensed Clinical Psychologist – provides monthly services for assessment and evaluation for individuals seeking treatment or for Medicad approved services.

Therapists – therapy is scheduled with LMHP or LMHP-E as requested by individuals who feel they would benefit from weekly intervention. Each of four therapists has six hours of therapy sessions available per week. Sessions are arranged based on the schedule of the individual and the therapist.

# Gateway Homes, Inc. Psychiatrist Job Description

Title: Psychiatrist Department: Clinical

Supervisor: Executive and Clinical Director

### Summary:

This is an administrative position subject to the personnel policies of Gateway Homes and the direct supervision of the Executive and Clinical Director. The purpose of the position is to provide psychiatric services to Gateway Homes. This position is a contracted position with Gateway Homes.

### Essential Duties and Responsibilities:

• Provide psychiatric services once each week for a maximum of three (3) hours per week.

Available by pager or telephone for emergency psychiatric consultation, medication order clarification, medication order renewal, and consultation with inpatient treatment providers as needed.

- Provide psychiatric services to Gateway residents, including initial psychiatric evaluations; ongoing medication management and review; telephone consultation with Gateway staff for medication order clarification or renewal and during psychiatric emergencies; on-site consultation with Gateway staff for purpose of service coordination, treatment planning and case formulation; and completion of documents or other correspondence required (e.g., Uniform Assessment Instruments, and completion of forms for agencies such as Social Security Administration and payors such as Medicaid).
- Maintain appropriate records relating to all provided services (such records shall be and will remain the property of Gateway)

## Minimum Qualifications:

- Licensed in the Commonwealth of Virginia as Psychiatrist
- Licensed by the DEA to administer controlled substances.

I have read and received a copy of the job description for Psychiatrist.

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Signature	
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_	Date

## Gateway Homes Inc. Nurse Practitioner Job Description

Title:

Nurse Practitioner

Department:

Clinical Program

Reports To:

Psychiatrist and Clinical Director

### Position Summary:

The Nurse Practitioner is responsible for oversight of the nursing, medication and medical needs of the residents for Gateway programming. This position is subject to the policies of Gateway Homes. The purpose of the position is to provide enhanced holistic health care and services to the residents of the Gateway. This position is exempt from the Fair Labor Standards Act.

### Essential Duties and Responsibilities:

- Order medication from pharmacy or write scripts as appropriate;
- Ensure that lab work is completed as ordered;
- Check medications with Doctor's orders for all residents;
- Assist on site psychiatrist with scheduled resident interviews;
- Transcribe all Doctor's orders;
- Assist residents with communication between PCP and specialists;
- Assure that residents receive an annual physical;
- Provide and document medication education to residents as needed;
- Assist and refer residents for medical appointments as needed;
- Completing required written documentation for all residents;
- Ensure monthly blood pressures and weights are recorded on each resident;
- Facilitating groups according to session schedule;
- Assisting the Program Supervisors in maintaining Gateway standards and regulations that are required of the program;
- Participate in the clinical decisions regarding resident care;
- Conduct training for support specialists as required by licensure;
- Maintain licensure standards related to medical issues;
- Participating in training as deemed appropriate by the Clinical Director;

### Minimum Qualifications:

- Licensed as a Nurse Practitioner
- Minimum of one year's experience in working with mentally ill adults;
- Experience in conducting groups and demonstrated understanding of group dynamics;

2

- Ability to work independently and to work effectively with the Program Supervisors and staff;
- Appropriate knowledge of mental illness;
- Capacity to work with mentally ill adults and their families;
- Appropriate computer skills

I have read and received a copy of the job description for the Nurse Practitioner.

Signature

Date

## Gateway Homes, Inc. Dictician Job Description

Title: Dietician

Department: Clinical

Supervisor: Executive and Clinical Director

### Summary:

This is an administrative position subject to the personnel policies of Gateway Homes and the direct supervision of the Executive and Clinical Director. The purpose of the position is to provide dietetic consultation to Gateway Homes. This position is a contracted position with

## Essential Duties and Responsibilities:

- · Review daily resident menu including snacks to ensure that it meets the current guidelines of the United States Department of Agriculture's food guidance system and/or the dietary allowances of the Food and Nutritional Board of the National Academy of Sciences, and to provide improvements to the menu if necessary.
- Screen each facility census to identify residents who are at high nutritional risk/in need of nutritional intervention and those residents who are receiving special diets for medical
- Review resident's records for those residents who meet any of the above categories and address the resident's appetite/acceptance of therapeutic diet, weight status, weight gain/loss, appropriateness of therapeutic diet, significant labs, medications with significant nutritional interactions, determination of caloric/protein/fluid needs and any other pertinent nutritional issues.
- Provide a written report within two weeks of completion of the assessment to the Executive and Clinical Director.
- Provide staff training in nutrition to include monitoring residents for changes in eating habits, documentation of food consumption as well as physical and mental status symptoms that may be nutritionally related.
- Provide group nutrition education to those residents whom the service would benefit.
- Perform a Quarterly Oversight Review and report findings to the Executive and Clinical Director in compliance with established standards for residential facilities.

## Minimum Qualifications:

Licensed as Registered Dietician.

I have read and received a copy of the job description for Dietician.

# Gateway Homes, Inc. Licensed Clinical Psychologist, LIMHP Job Description

Title: Licensed Clinical Psychologist, LMHP

Department: Clinical

Supervisor: Executive and Clinical Director

### Summary:

This is a professional position subject to the personnel policies of Gateway Homes and the direct supervision of the Executive and Clinical Director. The purpose of the position is to provide assessment, evaluation or other psychological services including Medicaid approved services for individuals seeking care. This position is a contracted position with Gateway Homes.

## Essential Duties and Responsibilities:

- Conduct a face to face interview with each individual seeking services
- Review history and systems of individual seeking services
- Consult with staff as necessary regarding current presentation
- Document services provided including assessment and evaluation in Lauris, electronic records system
- Verify eligibility criteria for Mental Health Support Services and for Psychosocial Rehabilitation services.

## Minimum Qualifications:

- Licensed to practice as a clinical psychologist
- Competency in working with individuals with serious mental illness

I have read and received a copy of the job description for Licensed Clinical Psychologist.

Signature	Date
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# Gateway Homes Inc. Mental Health Therapist Job Description

Title:

Mental Health Therapist

Department:

Clinical

Reports To:

Clinical Director

### Position Summary:

This position is responsible for providing therapy and supportive counseling to individuals seeking this service. The position is subject to the personnel policies of Gateway Homes and the direct supervision of the Clinical Director. This position is exempt from the Fair Labor Standards Act.

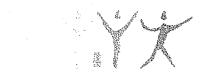
### **Duties and Responsibilities:**

- Serving as a therapist with an assigned caseload of selective individuals participating in Gateway programming.
- Participating in clinical supervision;
- Utilizing structured professional judgment as an evidenced based practice;
- Completing required written documentation in Lauris, the electronic record system, including, but not limited to, individual contacts, individual sessions, family contacts, or professional contacts,
- Participating in training as deemed appropriate by the Clinical Director;
- Reporting to the Clinical Director.

### Minimum Knowledge, Skills and Abilities:

- Licensed or licensed eligible mental health provider
- Master's degree in a mental health related field of study;
- Minimum of one year's experience in working with mentally ill adults;
- Experience in conducting individual therapy for persons with serious mental illnesses;
- Knowledgeable in multiple treatment modalities;
- Ability to work independently and to work effectively with the Clinical Director;
- Appropriate knowledge of mental illness;
- Capacity to work with mentally ill adults and their families;
- A valid Virginia driver's license;
- Appropriate computer skills.

I have received and reviewed a copy of that Gateway Homes.	he job description for a Mental Health Therapist
Employee's Signature	
Employee's Signature	Date



## GATEWAY HOMES, INC.

### SERVICE MODIFICATION APPLICATION FOR SUPERVISED LIVING RESIDENTIAL

#### Staffing Plan

The Executive and Clinical Director provides oversight, supervision and management of the campus and programming. Lynda Hyatt, Ph.D. is a Licensed Clinical Psychologist and has served as the Clinical Director of the program since June 2, 2007. The Board of Directors promoted her to the position of Executive Director in March, 2013.

The staffing plan for the **Supportive Living Center** is as follows:

Day Shift - 7:00 a.m. to 3:00 p.m.

Two full time staff Monday thru Friday and one part time staff on weekends

Eddie Bailey, Program Supervisor, B.A., QMHP-A

Nakita Howerton, Licensed Practical Nurse, QIVIHP-A

QMHP-A, Support Specialist on Saturday and Sunday

Evening Shift -3:00 p.m. to 11:00 p.m.

One full time staff and one part time staff (5:00 – 9:00) Monday - Thursday

Anna Wallace - Support Specialist, 68hour Board of Nursing Certified, QPPMH

Part time QMHP - A, Support Specialist working from 5:00 p.m. - 9:00 p.m, Monday - Thursday

Part time QMHP -A, Support Specialist on Saturday and Sunday

Night Shift - 11:00 p.m. to 7:00 a.m.

One full time staff

Lenaye Hewitt - Support Specialist, QMHP-A

QMHP-A Support Specialist, working on Saturday and Sunday

### Staffing plan for the Supported Apartment Program is as follows:

Supervisor - 8:00 a.m. - 4:00 p.m. - Jenine Wilson, M.A., LMHP-E

Three Support Specialists working the following schedule:

Royal Hunt, A.A., QMHP-A, 7:00 a.m. - 3:00 p.m.

Kelisa Vaughan, QMHP-A - 8:00 a.m. - 4:00 p.m.

Joan Wilson, QMHP-A – 2:00 p.m. – 10:00 p.m.

QMHP-A Support Specialists work Saturday and Sunday 8:00 a.m. -4:00 p.m. and 3:00 p.m. -9:00 p.m.

### Additional campus support staff:

Melissa Stiltoner, B.S.W., QMHP-A, Benefits Manager, working Monday through Friday from 8:00 – 4:00.

Braton Shewey, Peer Support Specialist, working 16 hours per week Monday – Friday.

Please note that all staff (full and part time) is medication certified according to the requirements for the 32 hour course of medication administration.

<sup>\*</sup>Included in this section is a sample staffing schedule for the Supported Living Center and the Supported Apartment Program.



## Supportive Living Center Staffing Schedule November - 2013

			Novemb	er - 2013			
Oct. 28th to Nov. 3rd	Monday 28	Tuesday 29	Wednesday 30	Thursday 31	Friday 1	Saturday 2	Sunday 3
Day Shift	Nakita	Nakita	Nakita	Nakita	Nakita	Ron	Ron
Evening Shift	Anna/Law	Anna/Eddie	Anna/Law	Anna/Ron	Anna	Lawrence	Lawrence
Night Shift	Lenaye	Lenaye	Leon	Leon	Lenaye	Lenaye	
Nov. 4th to Nov.10th	Monday 4	Tuesday 5	Wednesday 6	Thursday 7	Friday 8	Saturday 9	Lenaye Sunday 10
Day Shift	Nakita	Nakita	Nakita	Nakita	Nakita	Lawrence	
Evening Shift	Anna/Law	Anna/Eddie	Anna/Law	Anna/Ron	Anna	Ron	Lawrence
Night Shift	Lenaye	Lenaye	Leon	Leon	Lenaye	Lenaye	Ron
Nov. 11th to Nov. 17th	Monday 11	Tuesday 12	Wednesday 13	Thursday 14	Friday 15	Saturday 16	Lenaye
Day Shift	Nakita	Nakita	Nakita	Nakita	Nakita	Ron	Sunday 17
Evening Shift	Anna/Law	Anna/Eddie	Anna/Law	Anna/Law	Anna		Ron
Night Shift	Lenaye	Lenaye	Leon	Leon		Lawrence	Lawrence
Nov. 18th to Nov. 24th	Monday 18	Tuesday 19	See 1977 St. Start S. a. C.	The second of the second second	Lenaye Friday 22	Lenaye	Lenaye
Day Shift	Nakita	Nakita	Nakita	Nakita		Saturday 23	Sunday 24
Evening Shift	Anna/Law	Anna/Eddie	Anna/Law	Anna/Ron	Nakita	Lawrence	Lawrence
Night Shift	Lenaye	Lenaye	Leon	Leon	Anna	Ron	Ron
Nov. 25th to Dec. 1st	Monday 25	Tuesday 26	Wednesday 27	Thursday 28	Lenaye	Lenaye	Lenaye
Day Shift	Nakita	Nakita	Nakita	The second secon	Friday 29	Saturday 30	Sunday 1
Evening Shift	Anna/Law	Anna/Eddie		Nakita	Nakita		Ron
Night Shift	Lenaye	Lenaye	Anna/Law Leon		Anna	Lawrence	Lawrence
	1	1 - CICIY C	Treat	Leon	Lenaye	Lenaye	Lenaye

<sup>\*\*</sup>Program Supervisor: Eddie Bailey Works 9am to 5pm, Monday through Friday, except Tuesday- 11am to 7pm

Schedule for Peer Specialist:

Month of November	Monday	Tuesday	Wednesday	Thursday	The state of the s	enting and an analysis of the other properties of the	
Braton	9am tp 1pm	-	1		and the second s	The same of the sa	Sunday
	Children Control of Co	The state of the s	1 1 0 0 0 111	1pm to 5pm	9am to 1pm	OFF	OFF
And any construction of the state of the sta	And the second s	The state of the s	The state of the s	AND SPECIAL SECURITY CONTRACTOR AND ADMINISTRATION OF COMPANY AND			



## Supported Apartment Staffing Schedule November - 2013

Oct. 28th to Nov. 3rd	Tanasana ara	v 1940-version valuation in the		per - 2013			•
7am-3pm	Monday 28	Tuesday 29		Thursday 31	Friday 1	Saturday 2	Sunday 3
8am to 4pm	Royal Kelisa	Royal	Royal	Royal	Royal	None	None
2pm-10pm	Joan	Kelisa	Kelisa	Kelisa	Kelisa	Leonard/Towanna	Leonard
3pm to 9pm	None	Joan	Joan	Joan	Joan	None	None
Nov. 4th to Nov.10th	Monday 4	None	None	None	None	To-Shera	Towanna
7am-3pm	Royal	Tuesday 5	Wednesday 6		Friday 8	Saturday 9	Sunday 10
8am to 4pm	Kelisa	Royal	Royal	Royal	Royal	None	None
2pm-10pm	Joan .	Kelisa	Kelisa	Kelisa	Kelisa	Mike/ Towanna	To-Shera
3pm to 9pm	None	Joan	Joan	Joan	Joan	None	None
Nov. 11th to Nov. 17th	Monday 11	None	None	None	None	Elizabeth	Mike
<sup>7</sup> am-3pm	Implical, TT		Wednesday 13	The second secon	Friday 15	Saturday 16	Sunday 17
Bam to 4pm	Kelisa	Royal	Royal	Royal	Royal	None	None
2pm-10pm	Joan	Kelisa	Kelisa	Kelisa	Kelisa	Leonard/Towanna	Leonard
3pm to 9pm	None	Joan	Joan	Joan	Joan	None	None
Nov. 18th to Nov. 24th	Monday 18	None	None	Company of the Party of the Par	None	To-Shera	Towanna
<sup>7</sup> am-3pm	Royal		Wednesday 20		Friday 22	Saturday 23	Sunday 24
Bam to 4pm	Kelisa		Royal	Royal			None
2pm-10pm	Joan	Kelisa	Kelisa	Kelisa	Kelisa	Mike/Elizabeth	Elizabeth
3pm to 9pm	None	Joan	Joan	Joan		None	None
Nov. 25th to Dec. 1st		The second secon		None	None	To-Shera	Mike
am-3pm	Monday 25			Thursday 28	Friday 29		Sunday 1
Sam to 4pm	Royal Kelisa			Royal	_		None None
pm-10pm	Joan		Kelisa	Kelisa	Kelisa	D. 4.1. Jan. 1.	Elizabeth
pm to 9pm			Joan	Character Control of the Control of		N 4	None
- A LAIT	MOUG	None	None	None	-	Towanna	To-Shera

<sup>\*\*</sup>Program Supervisor: Jenine Wilson

Hours: Monday through Friday from 8am to 4pm



## GATEWAY HOMES, INC.

## Job Description

Title: Executive & Clinical Director

#### Function:

- to give direction and leadership toward the achievement of Gateway Homes' philosophy, mission, strategy and its annual goals and objectives
- to provide leadership for the clinical program and associated services
- to implement the strategic goals and objectives of Gateway Homes
- with the Board Chair, to enable the board to fulfill its governance function

Reports to: Board of Directors

#### Major Responsibilities:

- 1. <u>Board administration and support</u>: supports operations and administration of the board by advising and informing board members, interfacing between board and staff and supporting the board's evaluation of the Executive Director
- 2. <u>Financial, tax, risk and facilities management</u>: recommends annul budget for board approval and prudently manages Gateway Homes' resources within those budget guidelines according current laws and regulations
- 3. <u>Human resources management</u>: effectively manages the human resources of Gateway Homes according to authorized personnel policies and procedures that fully conform to current laws and regulations
- 4. <u>Public relations</u>: assures Gateway Homes and its mission, programs and services are consistently presented in a strong, positive image to relevant stakeholders
- 5. <u>Fundraising</u>: oversees fundraising planning and implementation including overseeing staff in identifying resource requirements, researching funding sources, establishing strategies to approach funders, submitting proposals and administrating fundraising records and documentation
- 6. <u>Clinical programming and services</u>: provides leadership as a licensed clinical psychologist for the clinical staff to ensure maintenance of quality control and utilization of best practice techniques in the delivery of services

# Gateway Homes, Inc. Supported Living Center & Pharmacy Services Manager Job Description

Title: Supported Living Center & Pharmacy Services Manager

Department: Clinical Program

Supervisor: Executive and Clinical Director

### Summary:

The Supported Living Center & Pharmacy Services Manager is responsible for the supervision of all staff assigned to the Supported Living Center. This is a management position subject to the personnel policies of Gateway Homes and the direct supervision of the Executive and Clinical Director. The purpose of the position is to provide supervision to the support specialists and nurses assigned, oversight of pharmacy services and to ensure a healthy, safe and supportive living environment for individuals living at the Center. This position is exempt from the Fair Labor Standards Act.

### Essential Duties and Responsibilities:

- Daily supervision of all the Support Specialists and Nurses at the Supported Living Center;
- Coordination of documentation of services provided to all residents including individualized skills development training and activities;
- Maintain licensure requirements for the program and facility;
- Monitor distribution of medications to residents as prescribed by checking the MAR error report;
- Supervise/prepare meals for residents at the Supportive Living Center;
- Ensure resident compliance with rules and guidelines of the program;
- Maintain Clozaril protocol schedule for all residents;
- Management of medications including working with Pharmacy to ensure prompt delivery of cycle and off cycle medications;
- Shopping for groceries for the Supportive Living Center within prescribed budgetary allocations;
- Participate in the clinical and leadership team meetings;
- Participating in training as deemed appropriate by the Executive and Clinical Director;
- Reporting to the Executive and Clinical Director.

## Minimum Qualifications:

- Five years of experience in a mental health field
- Trained in TOVA
- Qualified Mental Health Professional
- Trained and certified in CPR and first-aid
- Medication Certified
- Knowledgeable in multiple treatment modalities

- Ability to work independently and to work effectively with the Executive and Clinical Director
- Appropriate knowledge of mental illness
- Capacity to work with mentally ill adults and their families
- A valid Virginia driver's license
- Appropriate computer skills

I have read and received a Services Manager dated	copy of the job description for Support	ted Living Center & Pharmacy
	•	
Signature		Date

## Gateway Homes, Inc. Supported Apartment Program Manager Job Description

Job Title: Supported Apartment Program Manager

Program/Department: Clinical

Supervisor: Executive and Clinical Director

### Position Summary:

The Supported apartment Program Manager is responsible for the supervision of all staff assigned to the Supported Apartment Program. This is a management position subject to the personnel policies of Gateway Homes and the direct supervision of the Executive and Clinical Director. The purpose of the position is to provide supervision to the support specialists assigned to the program and to ensure a healthy, safe and supportive living environment for individuals living in the apartments. This position is exempt from the Fair Labor Standards Act.

### Duties and Responsibilities:

- Daily support and supervision of the staff assigned to the Supported Apartment Program;
- Coordination of documentation of services provided to all individuals including skills development, training and activities;
- Participating in clinical rounds and supervision;
- Meeting with individuals to work on ISP goals;
- Utilizing structured professional judgment as an evidenced based practice;
- Monitoring medication compliance;
- Transporting residents to appointments when needed;
- Completing required written documentation in Lauris, electronic record, including resident, family, or professional contacts;
- Participating in training as deemed appropriate by the Executive and Clinical Director;
- Reporting to the Executive and Clinical Director.

## Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and multiple treatment modalities for persons with serious mental illness;
- **QMHP**
- Knowledge of first-aid, behavioral management, personal and environmental hygiene;
- Ability to provide supportive counseling;
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes:
- Ability to provide services to promote recovery to seriously mentally ill clients
- Trained in TOVA, First Aid, CPR and Medication Management (32 hour course);
- Ability to participate with professional staff in the design and implementation of rehabilitative and programmatic activities;

Ability to observe the rights and personal dignity of others;

• Ability to maintain effective working relationships with clients and other employees.

## Required Experience or professional qualifications:

- <u>Minimum Qualifications</u>: Education equivalent to a master's degree in social work, counseling, or related human services field. Valid Virginia driver's license. Basic computer skills.
- Experience: One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness. Experience in conducting individual therapy for persons with serious mental illness.

I have received and reviewed a copy of the job descripers of the program Manager at Gateway Homes dated	ption for the Supported Apartments
Employee's Signature	Date

# Gateway Homes, Inc. Support Specialist Job Description

Job Title: Support Specialist Program/Department: Clinical Supervisor: Program Manager

### Position Summary:

This position is responsible for providing direct care to individuals with serious mental illness in a residential setting. The purpose of this position is to provide designated services and to ensure a healthy, safe and supportive living environment for individuals participating in Gateway programs. The position is non-exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes and reports to the Program Manager.

### Duties and Responsibilities:

- Support the mission, vision and values of Gateway Homes, Inc.;
- Keep current with all mandatory training requirements including but not limited to CPR, First Aid, TOVA;
- Educate, monitor and coach residents as needed to ensure residents understand the purpose and importance of taking medications as prescribed;
- Provide therapeutic supervision including monitoring, mentoring and interacting with residents;
- Assist residents with meal preparation and nutritional intake as needed;
- Assist residents with activities of daily care and living as needed;
- Complete required documentation, including but not limited to shift reports, progress notes, and serious incident reports;
- Monitor the physical environment of the facility and its equipment; take appropriate measures to correct any identified safety hazard; ensure environment is clean and orderly;
- Assist the Program Manager in maintaining standards and regulations that are required by the program;
- Provide transportation as assigned by Program Manager.

## Minimum Knowledge, Skills, And Abilities:

- Knowledge of the characteristics and concepts of mental health, health disorders and related physical conditions and treatment approaches for persons with serious mental illness;
- Meet the requirements as a QMHP;
- Knowledge of simple nursing care, first-aid, behavioral management, personal and environmental hygiene;
- Ability to implement and follow policies and procedures of the DBHDS and Gateway Homes;
- Ability to assist individuals in learning skills related to progress toward recovery;
- Ability to engage individuals in developing new skills related to independence;

- Ability to participate with professional staff in the design and implementation of training and programmatic activities;
- Ability to observe the rights and personal dignity of others;
- Ability to observe, record, and report clients' behavior, attitude, and physical condition;
- Ability to perform simple math and communicate effectively, both orally and in writing;
- Ability to maintain effective working relationships with clients and other employees.

## Required Experience or professional qualifications:

- Minimum Qualifications: Must have Medication Aid Training course. Preferred education equivalent to Bachelor's degree or higher in human services and at least 21 years of age. Applicant must meet the criteria as a Qualified Mental Health Provider and be certified to administer medications in accordance with the requirements of §54.1-3408 et seq. of the Code of Virginia, as amended.
- Experience: One year of full-time or equivalent part-time paid or volunteer experience in the care of persons with serious mental illness.

I have received and reviewed a copy of the job descript Homes dated	tion for a Support Specialist at Gateway
Employee's Signature	Date

## Gateway Homes, Inc. Nurse Job Description

Title: Nurse

Department: Clinical Program

Supervisor: Supportive Living Center & Pharmacy Services Manager

### Summary:

The Nurse is responsible for oversight of the nursing, medication and medical needs of individuals admitted for services at Gateway Homes. This is a direct-care position subject to the personnel policies of Gateway Homes and the direct supervision of the Supportive Living Center and Pharmacy Services Manager and ultimately the Executive and Clinical Director. The purpose of this position is to provide health care and services by ensuring safe and supportive living environment to the residents of Gateway Homes. This position is non-exempt from the Fair Labor Standards Act.

## Essential Duties and Responsibilities:

- Order medication from pharmacy for individuals receiving services;
- Ensure that lab work is completed as ordered;
- Check medications with Doctor's orders for all residents;
- Assist on site psychiatrist with scheduled resident interviews weekly; æ
- Transcribe all Doctor's orders;
- Provide and document medication education to residents as needed; (5)
- Maintain the emergency box and conduct monthly checks of emergency supplies; 6
- Assess and refer residents for medical appointments as needed;
- Maintain schedule of IM medications and administer as scheduled;
- Complete required written documentation for all residents;
- Ensure monthly blood pressures and weights are recorded on each resident;
- Assist the Supportive Living Center and Pharmacy Services Manager in maintaining Gateway standards and regulations that are required of the program;
- Monitor the dispensing and recording of medications by completing the monthly MAR review:
- Maintain licensure standards related to medical issues;
- Participate in training as deemed appropriate by the Executive and Clinical Director:
- Report directly to the Supportive Living Center and Pharmacy Services Manager.

## Minimum Qualifications:

- Must have LPN or RN license;
- Trained and certified in CPR and first-aid;
- Minimum of one year's experience in working with mentally ill adults;
- Knowledgeable in multiple treatment modalities;
- Ability to work independently and to work effectively with the clinical team;
- Capacity to work with mentally adults and their families;
- Appropriate computer skills.

I have read and received a copy	of the job description for Nurse dated	
Signature		Date

## Gateway Homes, Inc. Benefits and Quality Improvement Manager Job Description

Title: Benefits and Quality Improvement Manager

Department: Clinical Programs

Supervisor: Director of Admissions and Ancillary Services

### Summary:

The Benefits and Quality Improvement Manager is responsible for assisting individuals in receiving and maintaining benefits and for ensuring the quality improvement strategies of the organization. This is a management position subject to the personnel policies of Gateway Homes and the direct supervision of the Director of Admissions and Ancillary Services. The purpose of the position is to ensure services for the individuals at Gateway and to meet strategic goals of quality improvement in all aspects of programming and documentation. This position is exempt from the Fair Labor Standards Act.

## Essential Duties and Responsibilities:

- Participate in clinical meetings;
- Verification of benefits with SSA, Medicaid, Medicare, insurance, payee status, SNAP,
- Manage SSA benefits of all residents;
- Assist residents in obtaining appropriate documentation such as birth certificates, picture ID, SS cards, etc;
- Prepare monthly Medicaid billing and report staff billable hours;
- Act as a administrator for CHRIS;
- Manage Gateway's Quality Improvement and Risk Management process;
- Manage Lauris on-line;
- Handle all IT and email issues;
- Act as NGRI liaison for Chesterfield and attend weekly meeting;
- Assisting the Executive and Clinical Director in maintaining Gateway standards and regulations that are required of the program;
- Serves as the Human Rights Advocate on campus;
- Participation in training as deemed appropriate by the Executive and Clinical Director;
- Reporting to the Director of Admissions and Ancillary Services.

## Minimum Qualifications:

- Bachelor's degree in a mental health related field of study;
- QMHP
- Trained in TOVA;
- Trained and certified in CPR and first-aid;
- Minimum of one year's experience in working with mentally ill adults;
- Knowledgeable in multiple treatment modalities;

- Ability to work independently and to work effectively with the Director of Admissions and Ancillary Services;
- Appropriate knowledge of mental illness;
- Capacity to work with mentally ill adults and their families;
- A valid Virginia driver's license;
- Appropriate computer skills.

I have received and reviewed a copy of my job descript Improvement Manager at Gateway Homes dated	otion for Supportive Benefits and Quality
Employee Signature	Date

## Gateway Homes, Inc. Peer Specialist Job Description

Job Title: Peer Specialist

Program/Department: Clinical Supervisor: Program Manager

### Position Summary:

This position is responsible for providing support and guidance to individuals with serious mental illness in a residential setting. The position is non-exempt from the Fair Labor Standards Act and is subject to the personnel policies of Gateway Homes, Inc. This position reports to the designated Program Manager.

## Duties and Responsibilities:

- Support the mission, vision and values of Gateway Homes, Inc.;
- Assist the Program Manager in maintaining standards and regulations that are required by the program;
- Support the Program Manager and co-workers by being a proactive and engaged member of
- Provide peer support o individuals as deemed appropriate;
- Involve residents in community activities as appropriate;
- Keep current with all mandatory training requirements;
- Provide therapeutic supervision including monitoring, mentoring and interacting with
- Assist residents with meal preparation, nutritional intake and daily care and living activities;
- Perform other duties as requested by the Program Manager.

## Minimum Knowledge, Skills, And Abilities:

- Completion of the NAMI peer to peer counseling program
- Ability to implement and follow policies and procedures of the DBHDS and Gateway
- Ability to engage peers in skills development;
- Ability to participate with professional staff in the design and implementation of training and programmatic activities;
- Ability to observe the rights and personal dignity of others;
- Ability to interact therapeutically with peers;
- Ability to maintain effective working relationships with clients and other employees.

## Required Experience or professional qualifications:

Minimum Qualifications: Must have high school diploma or equivalent. Training in Peer Counseling offered by NAMI required.

Experience: One year of full-time or equivalent part-time paid or volunteer experience in the mental health field or equivalent experience.

I have received and reviewed a copy Homes dated	y of the job description for a Peer Specialist at Gateway
•	
Employee's Signature	Date

Gateway Homes, Inc			
Policy and Procedures			
Category: Program Operations	<b>Reference</b> : 12VAC 35-105-620		
Title: Program Evaluation	Number: 620		
Issued: June 2004	Pages: 1		
Revised: June 2011; December 2013;	<b>Attachments</b> : Form 620.0 Annual Evaluation of		
April, 2014	Services		
	Form 620.1 Strategic Plan		

- **I. Purpose:** The purpose of this policy is to establish procedures for monitoring and evaluating service quality.
- **II. Policy:** Gateway Homes will conduct an annual evaluation of its clinical services and implement improvements when indicated.

### III. General Guidance And Procedures:

- The Clinical Director will engage staff, individuals receiving services and their families, and
  other stakeholders in an annual review and evaluation of the quality and effectiveness of its
  clinical services. This evaluation will provide staff, individuals, and families with an
  opportunity to provide candid and meaningful feedback on program strengths, weakness, and
  areas for improvement. When indicated, improvements will be implemented in response to
  these findings.
- 2. The results of this evaluation and any improvements will be reviewed by the Clinical Committee of the Board of Directors. The Clinical Committee will provide the Board of Directors with a summary report of the findings and any actions taken.
- 3. Gateway's Strategic Planning Committee will use these findings to guide program development and any plans for program expansion.

### **MAR Review**

Employee Date Reason Date Name	Reason	Date	Reason	Total
				Errors
		-		
s Incident Reports Completed For The Follov	vina Errore:			
	ving Elitois.			

Gateway Homes, Inc Policy and Procedures		
Category: Healthcare	<b>Reference</b> : 12VAC 35-105-600	
Title: Nutrition	Number: 600	
Issued: June 2004	Pages: 2	
Revised: June 2011; December 2013;	Attachments:	
April, 2014	Form 600 Nutrition Monitoring	
_	Form 650 Admission Assessment	
	Form 600.2 Monthly Menu	
	Form 600.3 Staple Foods	
	Form 600.4 Emergency Foods	

- I. Purpose: The purpose of this policy is to establish procedures for preparing and serving food.
- II. Policy: Gateway Homes will prepare nourishing, well-balanced, and healthful meals for individuals consistent with their preferences, dietary needs, and individual services plan.

#### III. General Guidance And Procedures:

- 1. <u>Assessment</u>: Each individual will receive a brief nutritional assessment at the time of admission. The assessment on Form 650 Assessment will document an individual's cultural background, personal preferences, and food habits. Identified nutritional needs or assistance with feeding will be included in the individual services plan. When indicated, an individual will be referred for a dietary assessment by a qualified nutritionist or physician.
- 2. <u>Dietary Preferences</u>: The Program Supervisor is responsible for reviewing the nutritional assessment and ensuring that reasonable efforts are made to consider the individual's cultural background, personal preferences, food habits, and allergies. Reasonable efforts include purchasing and preparing special foods.
- 3. Special Diets: A physician's order is required for any special diet.
- 4. Monitoring Food Consumption In DBH Group Homes:
  - (1) Residential specialists will
    - (a) monitor each individual's food consumption for warning signs of changes in physical or mental status related to nutrition;
    - (b) weigh each individual monthly; and
    - (c) in DBH Group Homes will document the observations and findings daily on Form 600 Nutrition Monitoring.

ii) All staff providing direct care will monitor an individual's compliance with any care needs determined by the individualized service plan or prescribed by a physician, nutritionist, or healthcare professional and document observations and interventions in a Treatment Note.

### 5. DBH Group Home Food Supplies:

- (1) The Program Supervisor will assign a staff member to prepare the menu for the month at least two weeks in advance using Form 600.2 Menus.
- (2) The available food will be consistent with planned menus and any special needs or dietary preferences and include at least three days supply of meat, dairy, vegetables, and
- (3) The Program Supervisor will assign a staff member to shop for food on a weekly basis using the monthly menu and list of staple foods contained on Form 600.3 Staple Foods.
- (4) The Program Supervisor will maintain an emergency supply of water and food that can be prepared without heat. The emergency food supply will at a minimum consist of the foods listed on Form 600.4 Emergency Foods.
- 6. <u>Staff Training</u>: During orientation, and annually thereafter, staff working in Group Homes will receive training in monitoring individuals for changes in eating habits, documenting on Form 600 Nutrition Monitoring, and observing physical and mental status symptoms that may be nutritionally related. Documentation of training and orientation will be maintained in the personnel record.

## Nutrition Monitoring Form

Name:					
Diet:	Portion eater				Noted Change(s):
	Breakfast:	ALL		☐ < ½	
Date:	Lunch	ALL	☐ > ½	< ½ √2	None
Weight:	Dinner	ALL	□ > ½	< <sup>1</sup> / <sub>2</sub>	None
Diet:	Portion eater				Noted Change(s)
	Breakfast:	ALL	☐ > ½	< <sup>1</sup> / <sub>2</sub>	☐ None
Date:	Lunch	ALL	□ > ½	< ½ √2 × ½	None
Weight:	Dinner	ALL	□ > ½		☐ None
Diet:	Portion eater	each meal:			Noted Change(s)
	Breakfast:	ALL		< <sup>1</sup> / <sub>2</sub>	☐ None
Date:	Lunch	ALL		< ½ √2	None
Weight:	Dinner	ALL		☐ < ½	None
Diet:	Portion eater	each meal:		1	Noted Change(s):
	Breakfast:	ALL	> 1/2	☐ < ½	None
Date:	Lunch	ALL	> 1/2	☐ < ½	None
Weight:	Dinner	ALL	> 1/2	☐ < ½	None
Diet:	Portion eater	each meal:			Noted Change(s)
2300	Breakfast:	ALL	> ½	\ \ \ < \frac{1}{\sqrt{2}}	None
Date:	Lunch	ALL		☐ < ½	None
Weight:	Dinner	ALL	> 1/2	☐ < ½	None
Diet:	Portion eaten		14-7-		Noted Change(s)
Dict.	Breakfast:	ALL	☐ > ½	☐ < ½	None None
Date:	Lunch	ALL	> 1/2		None
Weight:	Dinner	ALL	$\frac{1}{1} > \frac{72}{2}$	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	None
Diet:	Portion eaten		1 1 - 12		Noted Change(s):
Dict	Breakfast:	ALL	> 1/2	< <sup>1</sup> / <sub>2</sub>	None
Date:	Lunch	ALL			None
Weight:	Dinner	JALL		- 1/2 - 1/2	None
Diet:	Portion eaten		1 1 2 72	1 \ /2	Noted Change(s):
Diet.	Breakfast:	ALL	> 1/2	< ½ 1/2 × 1	None
Date:	Lunch	ALL	☐ > ½	☐ < ½	None
	Dinner	ALL			None
Weight:	Portion eaten		> 1/2	☐ < ½	Noted Change(s):
Diet:	Breakfast:	ALL	1 - 1/	< <sup>1</sup> / <sub>2</sub>	None
D .	Lunch	ALL	> 1/2		None
Date:			> 1/2	< 1/2	None
Weight:	Dinner [	ALL	> 1/2	☐ < ½	Noted Change(s):
Diet:	Portion eaten			The	Noted Change(s):
	Breakfast: [	ALL	> 1/2	☐ < ½	
Date:	Lunch	ALL	> 1/2	☐ < ½	None
Weight:	Dinner	ALL	> 1/2	☐ < ½	None
Diet:	Portion eaten				Noted Change(s)
	Breakfast:	ALL	> 1/2	☐ < ½	None
Date:	Lunch	ALL	> 1/2	☐ < ½	None
Weight:	Dinner [	ALL	> 1/2	☐ < ½	None
Diet:	Portion eaten		···		Noted Change(s):
	Breakfast:	ALL	☐ > ½	☐ < ½	None
Date:	Lunch	ALL		< ½	None
Weight:	Dinner	ALL		< ½	None

## PRELIMINARY ASSESSMENT For Psychosocial & Mental Health Support Services

Applicant's Name	Date of Birth	Social Security Number
DEMOGRAPHIC INFORMATION		
Please refer to the attached Application dated _	for c	demographic and emergency contact information.
HEALTHCARE INFORMATION		
Please refer to the attached Application dated _		for healthcare provider information.
REASON FOR ADMISSION (in resident's v	words):	
SUMMARY OF PSYCHIATRIC HISTORY and support needs)		2 2
Diagnoses from last treatment provider/agen	•	
Axis I:		<u> </u>
Axis II:		
Axis III: Axis IV: Axis V:		
11115 111		
Medications as reported by applicant:		
SUBSTANCE ABUSE HISTORY (past and cudisorders)		g co-occurring mental health and substànce abuse
MEDICAL & HEALTH HISTORY (including	g allergies)	
FAMILY, SOCIAL, & DEVELOPMENTAL	HISTORY (in	ncluding current supports)
EMPLOYMENT & EDUCATIONAL HISTO	DRY	
EGAL HISTORY		
Form 650 Preliminary Assessment		

FINANCIAL & INSURANCE INFORMAT	TION:	
HOUSING ARRANGEMENTS		
DAILY LIVING SKILLS		
AT RISK BEHAVIORS TO SELF AND O	THERS	
CLINICAL FORMULATION		Metabolic de la descripción de
Face-to-face assessment completed by:		
Name & Signature of QMHP	Date	
Assessment approved by:		
Name & Signature of LMHP	Date	

Week #\_\_1\_\_

	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Breakfast	Oatmeal, Sausage, Applesauce	Waffles, Bacon, Eggs	Cereal, Nutri- Grain Bars	Pancakes, Sausage Links, Eggs	Eggs, Bacon, Toast	Sausage, Biscuit, Eggs	Cereal, Pop Tarts
	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk
Snack	Bananas	Fruit Cup	Apples	Oranges	Fruit Cup	Applesauce	Bananas
Lunch	Hot Dogs, Fries	Chicken Casserole w/ Vegetables	Tuna Sandwich, Chips, Carrots	Ham & Cheese Sandwich, Soup	Fish Sticks, Fries, Peas	Chicken Sandwich, Pasta, Greens	Stir Fry, Egg Rolls
	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Jell-O	Fruit	Pudding	Fruit	Fruit	Fruit	Fruit
Dinner	Baked Chicken, Greens, Potatoes,	Pork Chops, Corn, Asparagus	Pot Roast, Potatoes, Greens	Spaghetti, Toss Salad	Baked Fish, Rice Pilaf, Greens	Lasagna, Toss Salad, Corn	Pizza, Corn, Salad
	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Fruit Cup	Brownie	Fruit	Pudding	Chips	Crackers	Pudding

Week #\_\_2\_\_

	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Breakfast	Scrambled Eggs, Sausage, Biscuits	Waffles, Eggs, Sausage	Cereal Bars, Oatmeal, Bacon	Sausage, Biscuit, Boiled Egg	Pancakes, Bacon, Eggs	Cereal, Pop Tarts, Fruit Cup	Omelet, Bacon, Hash Browns
	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk
Snack	Apples	Bananas	Oranges	Fruit Cup	Fruit	Apples	Bananas
Lunch	Pizza, Tossed Salad	Fish Sticks, Peas, Chips	Taco Salad, Corn, Rice	Chicken Casserole w/ Vegetables	Deli Subs, Fries	Tuna Sandwiches, Chips, Celery	Chicken Nuggets, Fries, Peas
	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Pudding	Trail Mix	Carrots	Honey Buns	Fruit	Cookies	Fruit
Dinner	Baked Chicken, Mashed Potatoes, Vegetables	Pork Chops, Corn, Asparagus	Steak & Cheese Subs, Tossed Salad	Baked Chicken, Mac & Cheese, Greens	Meatloaf, Scalloped Potatoes, Peas	Fish, Rice, Green Beans	Baked Spaghetti, Tossed Salad
	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Brownies	Fruit Cup	Pudding	Chips	Fruit	Pudding	Jell-O

Week #\_\_3\_\_

	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Breakfast	Waffles, Bacon, Eggs	Pop Tarts, Fruit Cup, Cereal	Sausage & Biscut	Oatmeal, Boiled Eggs, Sausage Links	Cereal, Nutri- Grain Bars	Scrambled Eggs, Grits, Bacon	Cereal, Nutri- Grain Bars
	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk
Snack	Fruit	Fruit	Fruit	Fruit	Fruit	Fruit	Fruit
Lunch	Hot Dogs, French Fries, Salad	Chicken Casserole, Mixed Vegetables	Deli Subs, Chips	Pizza, Corn, Tossed Salad	Chicken Nuggets, Peas, Fries	Taco Salad, Corn	Spaghetti w/ Meatballs, String Beans
	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Apples	Oranges	Fruit	Fruit	Fruit	Fruit	Fruit
Dinner	Pork Chops, Peas, Corn	BBQ w/ Cole Slaw, Fries	Chicken, Mashed Potatoes, Asparagus	Baked Fish, Rice, String Beans	Lasagna, Tossed Salad, Mixed Vegetables	Egg Rolls, Fried Rice, Vegetables	Burgers, Fries
	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Fruit Cup	Brownie	Fruit	Pudding	Chips	Crackers	Pudding

Week #\_\_4\_\_

	Sunday	Monday	Tuesday	Wednesday	Thursday	Friday	Saturday
Breakfast	Cereal, Pop Tarts	Waffles, Eggs, Sausage	Cereal, Nutri- Grain Bars	Pancakes, Bacon, Eggs	Sausage, Biscuits, Eggs	Eggs, Hash Browns, Bacon, Toast	Oatmeal, Sausage, Toast
	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk	Juice & Milk
Snack	Bananas	Oranges	Apples	Fruit	Fruit	Fruit	Fruit
	Fish Sticks, Fries	Chicken Casserole, Rolls	Tacos, Corn, Rice	Chicken Sandwich,	Tuna Sandwich, Vegetables,	Hot Dogs, Fries	Pizza, Corn on the Cob
Lunch	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Chips Tea & Lemonade	Chips Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Apples	Oranges	Fruit	Fruit	Fruit	Fruit	Fruit
Dinner	Baked Chicken, Potatoes, Beans	Pot Roast, Greens, Potatoes	Meatloaf, Asparagus, Corn	Pork Chops, Mac & Cheese, Greens	Spaghetti, Garlic Bread, Corn	Hamburger Helper, Rice, Greens	Egg Rolls, Shrimp Stir Fry
	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade	Tea & Lemonade
Snack	Cake	Fruit	Moon Pies	Chips	Fruit	Pudding	Crackers

# STAPLE FOODS Inventory

Meats, Eggs, and Protein		Vegetables & Fruit (Fres	h)
☐ Chicken Breasts	□ Fish	☐ Mixed Vegetables	□ Apples
☐ Chicken Legs	□ Eggs	☐ Potatoes	☐ Oranges
☐ Ground Beef	☐ Hot Dogs	☐ Lettuce	☐ Bananas
☐ Tuna		☐ Tomatoes	☐ Cantaloupe
		☐ Cucumbers	☐ Fruit Cocktail
		□ Onions	☐ Grapes
		□ Carrots	☐ Grape Fruit
		☐ Cabbage	☐ Honey Dew Melon
		☐ Squash	☐ Peaches
		☐ Asparagus	☐ Strawberries
		□ Celery	☐ Pears
		☐ Mushrooms	☐ Pineapples
		□ Peas	☐ Watermelons
		☐ Sweet Potatoes	□ Lemons
Bread, Grains, & Cereals		Baking Supplies	
☐ Bread (Sandwich)	☐ Buns (Hamburger/Hot Dog)	□ Salt	□ Oil
☐ Cereal	☐ English Muffins	☐ Pepper	☐ Seasoning (Italian, etc)
☐ Spaghetti Noodles	☐ Oatmeal	□ Sugar	
☐ Macaroni Noodles		□ Flour	
☐ Egg Noodles	☐ Grits		
□ Rolls	☐ Biscuits		
Beverages		Snacks/Deserts	
☐ Drink Mixes (WalMart	☐ Hot Chocolate Mix	☐ Cookies	☐ Nuts (Peanuts/Mixed)
Brand-Sugarless)	☐ Soda (Birthday Parties/	☐ Mix (Cookies/Brownie/	☐ Pudding
☐ Orange juice	Barbeques)	Cookie)	☐ Ice Cream
☐ Coffee (decaf)	☐ Milk	☐ Pies	☐ Crackers (Cheese/Peanut
☐ Tea (decaf)		☐ Chips/Pretzels	Butter)
		☐ Fruit Bars	☐ Donuts
		☐ Granola Bars	☐ Fruit
		☐ Trail Mix	

Frozen		Miscellaneous
☐ Green Beans	□ Broccoli	☐ Hamburger Helper
☐ Stir Fry	☐ Vegetables (Medley Mix)	☐ Tuna Helper
☐ Butter Beans	☐ Spinach	☐ Beans (Chili)
☐ Corn (Kernels)	☐ Garlic Bread	☐ Cheese
□ Pizza	☐ French Toast	☐ Taco Shells
☐ Egg Rolls	☐ Waffles	☐ Taco Seasoning
☐ Fried Rice	☐ Fries	□ Pancakes
☐ Chicken Nuggets		☐ Crackers (Plain)
☐ Fish Sticks		☐ Instant Potatoes
		□ Rice
		□ Stuffing
		☐ Tomato Sauce
		☐ Cream of Mushroom Soup
	·	☐ Manwich
		☐ Salad Dressings

# EMERGENCY FOOD Inventory

Meats, Eggs, and Protein		Vegetables & Fruit	
□ Canned Tuna	☐ Peanut butter	☐ Canned Vegetables	
☐ Canned Chicken		☐ Instant Potatoes	
☐ Canned Meat			
		D. P. G. P.	
Bread, Grains, & Cereals	1	Baking Supplies	T
☐ Crackers	☐ Cereal (Cold)	□ Salt	□ Oil
□ Noodles		□ Pepper	☐ Lauwery's Seasoning
□ Rice		□ Sugar	□ Italian
☐ Oodles of Noodles		□ Flour	
Beverages		Snacks	
☐ Water (Bottled)		□ Cookies	
☐ Powdered Milk			
☐ Powdered Drink Mixes			
☐ Coffee			
Desserts	1	Miscellaneous	
Desire		☐ Canned Soup	,
		_	
		☐ Dry Soup Mixes	
		☐ Coffee Creamer	
		□ Jelly	
	·		

Gateway Homes, Inc Policy and Procedures				
Category: Healthcare	<b>Reference</b> : 12VAC 35-105-720			
Title: Medical Care	Number: 720			
Issued: June 2004	Pages: 1			
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 740 Physical Examination			
	Form 650 Preliminary Assessment			
	Form 650.1 Admissions Assessment (on Lauris)			
	Form 660.1 Individualized Services Plan			
	(on Lauris)			
	Form 890A Face Sheet (on Lauris)			

- I. **Purpose:** The purpose of this policy is to establish procedures for providing medical care to individuals receiving services.
- II. Policy: Gateway Homes will ensure that each individual receives adequate medical care.

#### III. General Guidance And Procedures:

a. <u>Assessing Medical And Healthcare Needs:</u> Gateway will require a physical examination on Form 740 Physical Examination as a condition of admission. Gateway will also conduct a preliminary assessment of an individual's medical and health needs prior to admission using Form 650 Preliminary Assessment and a comprehensive assessment within 30 days of admission using Form 650.1 Admissions Assessment.

#### b. Addressing Medical Needs:

- Health Providers Information: Form 890A Face Sheet will contain a current listing of the names, addresses, and phone numbers of the individual's medical and dental providers. All staff will have access to the Form 890A Face Sheet in the individual's electronic medical record.
- ii. *Individualized Services Plan:* Medical and health care needs will be addressed on Form 660.1 Individualized Services Plan.
- iii. Healthcare Coordination: The Clinical Director, or designee, will assign a residential counselor to facilitate and arrange for dental appointments, medical tests, and other healthcare services as needed. The residential counselor is responsible for communicating medical assessments and diagnostic laboratory results to the individual and authorized representative. The designated staff member will ensure each individual has transportation to dental, medical, and other healthcare appointments and has appropriate support, supervision, and counseling while receiving such services.

### REPORT OF RESIDENT PHYSICAL EXAMINATION

NAME		DATE OF PHYSICAL EXAMINATION:
ADDRESS		
TELEPHONE		
Height:	Weight:	BP:
Significant Medical His	tory:	
		······································
Seneral physical condit	ion, including systems revi	ew as is medically indicated:
Allergies (food, medicin	e, or other):	-
s this person:		
response to a Code without assistance of such resident	n emergency to a refu the assistance of ano another person if there	y capable of self-preservation by evacuating in ge area as defined by the Uniform Statewide B ther person, or from the structure itself withou e is no such refuge area within the structure, e tance of a wheelchair, walker, cane, prosthetic uate).
	y (by reason of physic vithout the assistance	cal or mental impairment is not capable of self- of another person).

#### VDSS MODEL FORM - ALF

Does this individual have any of the following conditions or care needs?

Name	

Condition/Care Need	Yes	No	Comment
Ventilator dependency			
Dermal ulcers III and IV			If stage III is ulcer healing?
Intravenous therapy or injections directly into the vein			If intermittent therapy please note and indicate expected time period.
Airborne infectious disease in a communicable state that requires isolation or special precautions to prevent transmission			
Psychotropic medications without appropriate diagnosis and treatment plans			
Nasogastric tubes			
Gastric tubes			If yes, is person capable of independently feeding himself and caring for the tube?
Presents imminent physical threat or danger to self or others			
Requires continuous licensed nursing care		`	

#### VDSS MODEL FORM - ALF

	Name	
Diagnosis or significant problems:		
Recommendations for care:		
Medications:		
Diet:		
Therapy:		
	Water Street, and a second str	
Signature:	Date:	
(Please print or type physician's name here)		
Address (Street, City, State, Zip Code)		
	Telenhone:	

# PRELIMINARY ASSESSMENT For Psychosocial & Mental Health Support Services

Applicant's Name	Date of Birth	Social Security Number
DEMOGRAPHIC INFORMATION		
	for de	mographic and emergency contact information.
HEALTHCARE INFORMATION		
Please refer to the attached Application dated _		_for healthcare provider information.
REASON FOR ADMISSION (in resident's v		
SUMMARY OF PSYCHIATRIC HISTORY and support needs)	(including ons	
Diagnoses from last treatment provider/agen Axis I:	ncy:	
Axis II:		· · · · · · · · · · · · · · · · · · ·
Axis III: Axis IV: Axis V:		
	urrent including	co-occurring mental health and substance abuse
MEDICAL & HEALTH HISTORY (including		
FAMILY, SOCIAL, & DEVELOPMENTAL	HISTORY (inc	luding current supports)
EMPLOYMENT & EDUCATIONAL HISTO	DRY	
EGAL HISTORY		
Form 650 Preliminary Assessment		

FINANCIAL & INSURANCE INFORMA	FION:	
HOUSING ARRANGEMENTS		
DAILY LIVING SKILLS		
AT RISK BEHAVIORS TO SELF AND O'	THERS	
CLINICAL FORMULATION		
Face-to-face assessment completed by:		
Name & Signature of QMHP	Date	
Assessment approved by:		
Name & Signature of LMHP	Date	

Gateway Homes, Inc Policy and Procedures				
Category: Healthcare	<b>Reference</b> : 12VAC 35-105-740			
Title: Physical Examination	Number: 740			
Issued: June 2004	Pages: 1			
Revised: June 2011; December	Attachments:			
2013; April, 2014 Form 740 Physical Examination				
_	Form 740.1 Report on Tuberculosis Screening			

- I. **Purpose:** The purpose of this policy is to establish procedures for physical examination of individuals receiving services.
- **II. Policy:** Gateway Homes will require applicants to obtain a physical examination prior to admission.

#### III. General Guidance And Procedures:

- a. Applicants must obtain a physical examination and tuberculosis screening and provide Gateway with a copy of those examinations prior to admission. Individuals who are unable to obtain a physical examination and tuberculosis screening due to extenuating circumstances, such as incarceration and/or homelessness, must agree to accept a physical examination within two weeks of admission.
- b. The physical examination must be documented on Form 740 Physical Examination or at a minimum, contain the following:
  - i. General physical condition;
  - ii. Evaluation for communicable diseases;
  - iii. Recommendations for further diagnostic tests and treatment, if appropriate;
  - iv. Other examinations indicated, if appropriate; and
  - v. Date of examination and signature by a qualified practitioner.
- c. The tuberculosis screening must be documented on Form 740.1 Report on Tuberculosis Screening.

### REPORT OF RESIDENT PHYSICAL EXAMINATION

(Examination is to be completed by an independent physician within 30 days prior to the date of admission. Report

NAME		DATE OF PHYSICAL EXAMINATION:
ADDRESS		
TELEPHONE		
Height:	Weight:	BP:
Significant Medical	History:	
General physical co	ndition, including systems review	as is medically indicated:
		as is mourous, majorica,
Allergies (food, med	icine, or other):	
s this person:	·	
response t Code with assistance such reside	o an emergency to a refuge out the assistance of anothe of another person if there is	apable of self-preservation by evacuating in area as defined by the Uniform Statewide Buildirer person, or from the structure itself without the sno such refuge area within the structure, even ince of a wheelchair, walker, cane, prosthetic device).
	ntory (by reason of physical on without the assistance of	or mental impairment is not capable of self- another person).

#### VDSS MODEL FORM - ALF

Does this individual have any of the following conditions or care needs?

Name				 	

Condition/Care Need	Yes	No	Comment
Ventilator dependency			,
Dermal ulcers III and IV			If stage III is ulcer healing?
Intravenous therapy or injections directly into the vein			If intermittent therapy please note and indicate expected time period.
Airborne infectious disease in a communicable state that requires isolation or special precautions to prevent transmission			
Psychotropic medications without appropriate diagnosis and treatment plans			
Nasogastric tubes			
Gastric tubes			If yes, is person capable of independently feeding himself and caring for the tube?
Presents imminent physical threat or danger to self or others			
Requires continuous licensed nursing care	-		

	Name	
Diagnosis or significant problems:		
		· · · · · · · · · · · · · · · · · · ·
Recommendations for care:		
Medications:		
	<del></del>	
·		
Diet:		
Therapy:		
Signature:	_ Date:	
·	_	
(Please print or type physician's name here)	<del></del>	
Address (Street, City, State, Zip Code)		
real out out, only, state, Lip oute,		
	Telephone:	

### REPORT OF TUBERCULOSIS SCREENING EVALUATION

	Name	Birthdate/_	_/
	Address		
1.	Date and result of most recent Mantoux tuberculin	skin test: Date:// f induration	
2.	Check here if previously positive and above inform	ation unknown	
3.	Check here if exhibiting TB-like symptoms		
4.	If TB skin test is 10 mm or greater (5mm in the HIV symptoms exist, respond to the following:	V infected), previously positive or	if TB-like
	a. Date of last chest x-ray evaluation:	Date:/	
	b. Is chest x-ray suggestive of active TB? (circle on	ne) YES	NO
	c. Were sputum smears collected and analyzed for Fast Bacilli (AFB)? <i>(circle one)</i>	the presence of Acid YES	NO
	d. If 4c is YES, were three consecutive smears negative AFB? (circle one)	ative for YES	NO
5.	Based on the above information, is this individual fr TB? (circle one)	ree of communicable YES	NO
6.	Name of licensed physician, physician's designee or completing the evaluation:	local health department official	
	Print Name	Phone	
7. S	Signature of license physician, physician's designee or lo evaluation:	ocal health départment official co	mpleting
		//	

Gateway Homes, Inc				
Policy and Procedures				
Category: Healthcare	<b>Reference</b> : 12VAC 35-105-750			
Title: Emergency Medical Information	Number: 750			
Issued: June 2004 Pages: 1				
Revised: June 2011; December 2013; Attachments:				
April, 2014	Form 750/890A Face Sheet (on Lauris)			
	Form 750.1/770 MAR			

- I. **Purpose:** The purpose of this policy is to establish procedures for communicating emergency medical information.
- **II. Policy:** Gateway Homes will provide community emergency service providers with current emergency medical information in a timely manner.

#### III. General Guidance And Procedures:

- a. <u>Emergency Medical Information:</u> The Assistant Clinical Director, or designee, will assign a residential counselor to update the Form 890A Face Sheet any time there is a change in the information on this document. The nurse will update the Form 750.1/770 Medication Record anytime there is a change in an individual's medications.
- b. <u>Sharing Emergency Medical Information</u>: The staff member managing the crisis or emergency will provide community emergency service providers with the information needed to provide emergency interventions. At a minimum, the staff member will print out Form 750/890A Face Sheet and Form 750.1/770 MAR.

## Medication Record

Last Name

First Name

Birth Date

Social Security Number

Medication Name	Dosage	Frequency	Order Date	Expire Date	Prescribed by:	Droppyile of form	
				LAPITO Date	riescribed by:	Prescribed for:	Date of Lab For Clozaril
				-			
				<u> </u>			
· · · · · · · · · · · · · · · · · · ·							

Gateway Homes, Inc				
Policy and Procedures				
Category: Healthcare	<b>Reference</b> : 12VAC 35-105-760			
Title: Medical Equipment	Number: 760			
Issued: June 2004 Pages: 1				
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 520.8 Facility Inspection (on Lauris)			
	Form 760 Medical Equipment Instructions			

- I. **Purpose:** The purpose of this policy is to establish procedures for using and maintaining medical equipment.
- II. Policy: Gateway Homes will use medical equipment as ordered or instructed by the physician and maintain the equipment as recommended by the provider or manufacturer of the equipment.

#### **III. General Guidance And Procedures:**

a. <u>Physician's Order:</u> Medical equipment, including personal medical equipment and devices, will only be used with a physician's order. The nurse, or staff member assigned by the Clinical Director, or designee, will ensure Gateway has received a physician's order for the equipment before it is used.

#### b. Instructions For Using Medical Equipment:

- i. The nurse, or staff member assigned by the Clinical Director, or designee, will complete Form 760 Medical Equipment Instructions.
- ii. Any staff member using the medical equipment, or assisting an individual with using the equipment must review the instructions and consult with the nurse or designated staff member if they have any questions.

#### c. Maintenance Of Medical Equipment:

- i. The Clinical Director, or designee, will assign a staff member to complete Form 520.8 Facility Inspection.
- ii. The assigned staff member will add any medical equipment being used to the log, review the maintenance instructions contained on Form 760 Medical Equipment Instructions and document the inspection and any needed adjustments or repairs.
- iii. The assigned staff member will inform the Program Manager of any needed adjustments or repairs.
- iv. The Program Manager will be responsible for coordinating the needed adjustments or repairs.

# **Facility Inspection**

Completed for:					
Mo	onth		Year		
	15 44	15	T- 11 11	1	
	Building	Building	Building	Building	Comments
	-		-		
Restrooms (cleanliness)					
Dryer (including lint traps)					
Washer					
Extension Cords					
Safety hazards					
Inside lights/lamps					
Floors					
Furniture					
Bedroom Towel rods					
Bedroom Closet doors					
Bedroom lamp/chair/dresser					
Windows & screens					
Doors & locks work					
Toilet paper, paper towels					
Cleaning supplies					
Laundry supplies					
Personal hygiene products					
Emergency Food & Water					
Emergency blankets/pillows					
Electrical panels locked					
Emergency Call System					
Outside lighting					
Walkway					
Driveway					
Bushes/Trees					
Lawn					
Please use the following abbre	eviations: N	A for not ar	policable: V	for satisfacto	ory: R for renair along with
		-	pricable, v	ioi satistaca	ny, at for repair along with
description of repair needed in	the comment	section.			
Tame and signature of person comple	eting form	Date			

## **Medical Equipment Instructions**

Name of Medical Equipment:		
Resident's Name:		
Condition Being Treated:		 
Physician's Order/Instructions:		
Manufacturer/Provider Instructions:		
Maintenance Guidelines/Instructions:		
·		
Completed by:		
Staff Name & Signature	Date	

	Gateway Homes, Inc Policy and Procedures			
Category: Healthcare Reference: 12VAC 35-105-770, 780, 790;				
Title: Medication Management	<b>Number</b> : 770/780/790			
Issued: June 2004	Pages: 3			
Revised: June 2011; December 2013;	Attachments:			
April, 2014	Form 680 Treatment Note (on Lauris)			
	Form 520.1/710/800 Crisis Intervention Serious			
	Incident Report			
	From 750.1/770 MAR			

- I. Purpose: The purpose of this policy is to establish procedures for managing medications.
- II. **Policy:** Gateway staff will order, administer, document, inventory, and dispose of medications in a timely and accurate manner consistent with the physician's order and relevant regulatory provisions.

#### III. General Guidance And Procedures:

- a. <u>Regulatory Compliance</u>: All aspects of medication administration, storage, and handling, as well as pharmacy operations, will comply with The Drug Control Act §54.1-3400 et. seq.; 18VAC110-20; 18VAC90-20-370 through 390 and any other applicable laws or regulations.
- b. <u>A physician's order is required for all medications</u> dispensed by staff including over the counter medications. Residents will be informed of this policy during the admission screening process.
- c. <u>Medication Orders</u>: Once a physician's order is received, the nurse, or staff assigned by the Pharmacy Director, or designee, will transmit the order to the pharmacy by fax. Any orders on paper will be scanned into the individual's electronic medical record. A current medication order for each medication administrated will be maintained in the individual's medical record on Form 750.1/770 Medication Record.
- d. <u>Receipt of Medications From The Pharmacy</u>: The nurse, or staff assigned by the Pharmacy Director, or designee, will
  - i. promptly check the medications received and compare them against the pharmacy delivery sheet and the residents' current physician orders;
  - ii. notify the pharmacy of any discrepancies between the medications received and the delivery sheet and current physician orders;
  - iii. enter any new medications into the individual's MAR;
  - iv. dispose of any duplicate medications in a bottle in the manner described below;
  - v. return to the pharmacy any unused medication in bubble packs; and

- vi. store the medication in the locked medication cart after it has been checked in.
- e. <u>Receipt of Medications From Individuals</u>: The nurse, or staff assigned by the Pharmacy Director, or designee, will:
  - i. determine if there is a physician's order for the medication, and if not, assist the individual in obtaining an order for the medication;
  - ii. Ensure all medication containers are labeled with the individual's name, the name of the medication, the strength and dosage amount, the route of administration, and the frequency of administration;
  - iii. Enter the medication in the individual's MAR; and
  - iv. Store the medication in the locked medication cart.
- f. Sample Medications: Sample medications may be used if
  - i. the medication is prescribed by a physician;
  - ii. the container with the medication contains individual's name, the name of the medication, the strength and dosage amount, the route of administration, and the frequency of administration;
  - iii. the medication is entered in the individual's MAR; and
  - iv. the medication is stored in the locked medication cart.
- g. <u>Storage of Medication</u>: All medication must be kept in the locked medication cart in the secure area designated by the Pharmacy Director for each program.
- h. <u>Licensing & Registration Requirements For Medication Administration</u>: Employees or contractors responsible for medication administration must be authorized by state law and be:
  - i. licensed by the Commonwealth of Virginia to administer medications; or
  - ii. must have completed 32 hour Medication Management Class.
- i. Administration of Medications:
  - i. Employees or contractors administering medications must meet the licensing or registration requirements.
  - ii. Medications will be administered only to the individuals for whom the medication is prescribed and shall be administered as prescribed.
  - iii. Medications must be administered no more than one hour before or one hour after the prescribed time for administration.
  - iv. The administration shall be documented on the MAR and initialed by the person administering the medications.
  - v. Any refusal of medication must be documented in on the MAR and initialed.
- j. <u>Disposing Of Medications</u>: The nurse, or staff member assigned by the Pharmacy Director or designee, shall promptly dispose of discontinued drugs and drug containers with worn, illegible, or missing labels.

- i. Medication in sealed bubble packs will be returned to the pharmacy.
- ii. Medication in bottles will be placed in a biohazard bag and the Program Manager will be notified of the need to dispose of the biohazard bag.
- k. <u>Medication Errors And Adverse Drug Reactions</u>: In the event of a medication error or adverse drug reaction, the employee or contractor administering the medication in error or discovering the medication error and adverse drug reaction shall:
  - i. Administer first aid if indicated;
  - ii. Promptly contact a poison control center, pharmacist, nurse, or physician, and respond as directed;
  - iii. Notify the individual's physician as soon as possible unless the situation is addressed in standing orders;
  - iv. Record the medication error or adverse drug reaction in the individual's medication log;
  - v. Document actions taken on Form 680 Treatment Note in the individual's medical record; and
  - vi. Follow the applicable procedures in Policy 520 Risk Management, including the completion of Form 520.1/710/800 Crisis Intervention/Serious Incident Report.

#### 1. Quality Assurance:

- i. The nurse, or staff assigned by the Pharmacy Director, or designee, will review the MARs and any medication errors on a monthly basis and provide a report to the Clinical Director.
- ii. The Clinical Director will review these reports monthly and implement any corrective actions that are needed.
- iii. Trends, patterns, and a summary of the medication errors will be reported to the Clinical Committee of the Board of Directors at least annually.
- m. <u>Continuing Education</u>: The Director of Administration will arrange for in-service training and continuing education for employees responsible for the administration and storage of medication.
- n. <u>Consultation and Information</u>: The staff psychiatrist and nurse will provide consultation to individuals, authorized representatives, and family members on issues of basic pharmacology, including medication side effects.

## **CRISIS INTERVENTION & SERIOUS INCIDENT REPORT**

ndividual's Name:	Date:	Time:
Nature of Crisis/Emergency/Incident:		
Precipitating Factors:		
Freatment or Interventions Provided:		
Outcome (including severity of injuries if	any):	
Employees or Contractors Involved:		
Notifications Made To:		
Name & Signature	Date	
Review Of Crisis Intervention/Serio	us Incident	
indings And Recommended Corrective A	Action (if any):	
·		
Name. Signature. Title of person reviewing rea	port Date	

Form 520/710/800 Crisis Intervention & Serious Incident Report

## Medication Record

Last Name

First Name

Birth Date

Social Security Number

Medication Name	Dosage	Frequency	Order Date	Expire Date	Prescribed by:	Prescribed for:	Date of Lab For Clozaril
		· · ·			1 100011DCG by.	r rescribed for.	Date of Lab For Clozarii
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#### GATEWAY HOMES, INCORPORATEDD GATEWAY FARMS, INCORPORATED BY-LAWS

#### **ARTICLE I - NAME**

**SECTION 1:** The name of this corporation shall be Gateway Homes, Inc.

**SECTION 2:** The mailing address and principal office of the corporations shall be established as directed by the Board of Directors. The corporation may have other offices as the Board of Directors may determine from time to time. The corporation shall have and continuously maintain in the State of Virginia a registered office as required by the Corporation Code of the State of Virginia. The registered office may be, but need not be, identical with the principal office.

#### **ARTICLE II - PURPOSE**

**SECTION 1:** The purpose of this corporation, as a private, nonprofit entity, is to establish and provide transitional, residential, treatment for individuals living with mental illness, and in general, to do everything necessary, incidental and proper, for the accomplishment of any of the purposes or the attainment of any of the objectives enumerated in the Articles of Incorporation of Gateway Homes, Inc. The affairs and activities of Gateway Homes, Inc. shall be carried out at all times in conformity with all applicable provisions of the Internal Revenue Code of 1986, as amended, affecting nonprofit organizations qualified under section 501(c) (3) thereof.

#### **ARTICLE III - GOVERNMENT**

**SECTION 1:** The constitution of the corporation consists of the Articles of Incorporation as filed with the State Corporation Commission.

**SECTION 2:** The government of this corporation shall be vested in the Board of Directors, subject to these by-laws and any regulations or laws, enacted by the Federal government or the government of Virginia to govern organizations participating in the same or similar business or providing the same or similar service for which this corporation was formed.

#### **ARTICLE IV - DIRECTORS**

**SECTION 1:** The affairs of the corporation shall be managed by its Board of Directors. The composition of the Board of Directors shall be in accordance with the provisions of Article IV Section 2.

**SECTION 2:** The number of Directors shall not be more than twenty-four (24) and not less than seven (7). Each Director is eligible to serve a term of three years, not to exceed three consecutive terms. If there is a vacancy on the Board between annual meetings, the remaining Directors may fill said vacancy. A Director elected to fill a vacancy shall be elected for the unexpired term of his/her predecessor and upon the expiration of his/her predecessor's term, the Director may be elected to serve for a term of three years, not to exceed two terms. The Directors shall be divided into three classes of seven members so there shall be a continuity of fourteen (14) with the election each year.

**SECTION 3:** A regular annual meeting of the Board of Directors shall be held without other notice than this by-law, in January. Other dates may be designed by the Board of Directors, however, notification of such alternative dates will be forwarded to all Directors at least ten (10) days prior to said date. At the annual meeting, the Board of Directors shall entertain, at a minimum, the following action items: (a) election of Officers; and (b) designation of committees.

**SECTION 4:** Special meetings of the Board of Directors may be called by or at the request of the President, or any two (2) Directors.

**SECTION 5:** Notice of any meeting, regular or special, of the Board of Directors shall be given at least ten (10) days previously thereto by written notice delivered personally, or sent by mail to each Director at his or her address as shown by the records of the corporation, sent by electronic transmission in a manner authorized by the Director, or made by telephone in a manner authorized by the Director. Mailed notice shall be deemed to be delivered when deposited in the United States mail in a sealed envelope so addressed, with postage thereon prepaid. Electronically transmitted notice shall be deemed to be delivered when transmitted. Notice by telephone shall be deemed to have occurred when the telephone call was made. Any Director may waive notice of any meeting, and the attendance of a Director at such meeting shall constitute a waiver of notice of such meeting, except where a Director attending a meeting for the express purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened.

Neither the business to be transacted at, nor the purpose of, any regular or special meeting of the Board need be specified in the notice or waiver of the notice of such meeting, specifically required by law or by these by-laws.

**SECTION 6:** Any Director may be removed, with or without cause, by a majority vote of the members present, subject only to the quorum provisions provided hereinafter. Prior to any such removal, at a meeting called for the purpose of removing such Director, reasonable notice shall be given to the affected member of such proposed action. If any Directors are so removed, new Directors may be elected at the same time.

**SECTION 7:** The act of a majority of the Directors present at a meeting at which quorum is present shall be the act of the Board of Directors, unless the act of a greater number is required by law or by these by-laws. A Director may be deemed present by teleconference or videoconference.

**SECTION 8:** A Director may request a leave of absence not to exceed 12 months. Such leave may be granted at the discretion of the Board. Any Director who is absent for three consecutive regular meetings of the Board, without adequate excuse, shall be considered as having resigned, and his/her place shall be treated as vacant.

**SECTION 9:** A quorum shall consist of one-third (1/3) of the number of the Board of Directors for the transaction of business at any meeting.

#### **ARTICLE V - OFFICERS**

**SECTION 1:** The officers of the corporation shall be a President, a Vice President, a Secretary, and a Treasurer, and such other officers as may be elected in accordance with the provisions of this article. The Board of Directors may elect or appoint such other officers as it shall deem desirable, such officers to have the authority and perform the duties prescribed from time to time, by the Board of Directors.

**SECTION 2:** The officers shall be elected at an annual meeting of the Directors and shall hold office for a single term of two years without succession unless removed by the Board of Directors. Vacancies among the officers shall be filled by election by the Board at the next regular meeting. The officers shall receive no compensation for their services.

**SECTION 3:** Any officer elected or appointed by the Board of Directors may be removed by the Board of Directors with or without cause by a majority vote of the members present, subject only to the quorum provisions as stated in Article IV, Section 9. If any officers are so removed, new officers may be appointed by the Board of Directors. Prior to any such removal, reasonable notice shall be given to the affected officer of such proposed actions. An officer appointed to fill a vacancy shall be elected for the unexpired term of his/her predecessor in office.

**SECTION 4:** The President shall be the principal executive officer of the corporation and shall, in general, supervise all of the business and affairs of the corporation. He/she shall preside at all meetings of the members of the Board of Directors and the Executive Committee. He/she may sign, with the secretary or any other proper officer of the corporation authorized by the Board of Directors, any deeds, mortgages, bonds, contracts or other instruments which the Board of Directors has authorized to be executed, except in cases where the signing and execution thereof shall be expressly delegated by the Board of Directors or by these by-laws or by statute to some other officer or agent of the corporation; and, in general, he/she shall perform all duties incident to the office of the President and such other duties as may be prescribed by the Board of Directors from time to time.

**SECTION 5:** In the absence of the President or in the event of his/her inability or refusal to act, the Vice President shall perform the duties of the President, and who so action, shall have all the powers of and be subject to all the restrictions upon the President. The Vice President shall perform such other duties as from time to time may be assigned by the President or by the Board of Directors.

**SECTION 6:** The Treasurer shall have charge and custody of and be responsible for all funds and securities of the corporation, receive and give receipts for moneys due and payable to the corporation from any source whatsoever, and deposit all such moneys in the name of the corporation in such banks, trusts or other depositories as shall be selected in accordance with the provisions of these by-laws; and, in general, perform all the duties incident to the office of Treasurer and such other duties or from time to time may be assigned to him by the President or the Board of Directors.

**SECTION 7:** The Secretary shall keep the minutes of the meeting of the Board of Directors in one or more books provided for that purpose, see that all notices are duly given in accordance with the provisions of these by-laws or as required by law; be custodian of the corporation records and of the seal of the corporation and see that the seal of the corporation is affixed to all documents, the execution of which on behalf of the corporation under its seal is duly authorized in accordance with the provision of these by-laws; keep a register of the post office address of each member which shall be furnished to the Secretary by such members; and in general perform all duties incident to the office of Secretary and such other duties as from time to time may be assigned to him/her by the President or the Board of Directors.

#### **ARTICLE VI - ELECTIONS**

- **SECTION 1:** The Governance Committee shall nominate at least one candidate for each office and available positions on the Board of Directors.
- **SECTION 2:** Elections shall be held annually at the January meeting. Additional names may be placed in nomination from the floor.
- **SECTION 3:** Proxies will not be recognized. If there is more than one candidate for an office or directorship, voting for that position shall be done by secret ballot.
- **SECTION 4:** The term of all officers and Directors of the corporation shall be as stated in Article IV, Section 2 and Article V, Section 2 of these by-laws.

#### **ARTICLE VII - COMMITTEES**

- **SECTION 1:** Standing Committees shall be the Executive, Governance, Finance, Development, and Clinical Committees. Other committees may be designated by the President.
- **SECTION 2:** Each member of a committee shall continue as such until his/her successor is appointed, unless the committee shall be sooner terminated, or unless such member be removed from such committee.
- **SECTION 3:** One member of each committee shall be appointed chairman by the person or persons authorized to appoint the members.
- **SECTION 4:** Vacancies in the membership of any committee may be filled by appointments made in the same manner as provided in the case of the original appointment.
- **SECTION 5:** The Executive Committee shall consist of the officers of the corporation, the chairman of the standing committees, and one other Director at large. The Executive Committee shall meet at least quarterly. In the event of vacancies, members of the Executive Committee shall be appointed by the President. The Executive

Committee shall have and may exercise the powers of the Board of Directors between meetings of the Board, except that the Executive Committee shall not have the power to adopt the budget, approve a merger, consolidation or liquidation or the corporation, amend the Articles of Incorporation or take any action which is contrary to the policies established by the Board of Directors. The actions taken by the Executive Committee shall be reported at the next meeting of the Board of Directors. The President shall be the chairman of the Executive Committee.

**SECTION 6:** The Governance Committee shall consist of at least two members of the Board of Directors elected at the annual meeting and others willing to serve on a consulting basis as approved by the President. The Governance Committee shall serve until the next annual meeting and shall meet at least annually. Vacancies on the Governance Committee shall be filled by the President with the approval of the Board of Directors. The chairman of the Governance Committee shall be appointed by the President from among the members of the Governance Committee.

The Governance Committee shall present at the annual meeting of the Board of Directors a slate of nominees for membership on the Board of Directors, a nominee for each office, and a slate of nominees for Governance Committee membership. The slate of nominees shall be mailed to all Directors and nominees at least ten days before the annual meeting.

At the annual meeting, additional nominations may be made from the floor with the prior consent of the nominee. When there is more than one nominee for a position, election shall be by secret ballot and a plurality of votes cast shall elect. If there is only one nominee for a position, election shall be by voice vote unless any Director requests that the vote be taken by ballot.

**SECTION 7:** The Finance Committee shall consist of at least two, but not more than ten, members of the Board of Directors appointed by the President. The chairman of the Finance Committee shall be the member of the Board of Directors elected to serve as Treasurer. The Finance Committee shall evaluate the financial operations of the corporation and report to the Board of Directors.

**SECTION 8**: The Development Committee shall consist of at least four members of the Board of Directors appointed by the President and shall meet at least quarterly. The Development Committee shall work with the Board of Directors to raise sufficient funds to accomplish the objectives enumerated in the Articles of Incorporation.

**SECTION 9**: The Clinical Committee shall consist of at least two members of the Board of Directors appointed by the President and shall meet at least quarterly. The Clinical Committee shall evaluate the clinical operations of the corporation to ensure compliance with applicable laws and regulations and report to the Board of Directors.

#### **ARTICLE VIII - CONFLICTS OF INTEREST**

SECTION 1: No contract or other transaction between the corporation and one or more if its officers, Directors, or employees, or in which one or more if its officers, Directors, or employees are interested, and no contracting or other transaction between the corporation and any other organization in which one or more of its officers, Directors, or employees are Directors, officers, partners or trustees, or are interested, shall be either void or voidable because of such relationship or interest or because such Director or Directors are present at the meeting of the Board of Directors or a committee thereof which authorizes, approves or ratifies such contract or transaction or because his, her or their votes are counted for such purpose, if: (a) the fact of such relationship or interest is disclosed or known to the Board of Directors or committee that authorizes, approves or ratifies the contract or transaction by a vote or consent sufficient for the purpose without counting the votes or consents of such interested Directors, or (b) the contract or transaction is fair and reasonable to the corporation and bears the earmarks of an arm's length bargain. Common or interested Directors may be counted in determining the presence of a quorum at a meeting of the Board of Directors or a committee thereof that authorizes, approves or ratifies such contract or transaction.

#### ARTICLE IX - INDEMNIFICATION AND INSURANCE

SECTION 1: Every person, and his or her heirs, executors and administrators, who was or is a party or is threatened to be made a party to any threatened, pending or completed action, suit or proceeding of any kind, whether civil, criminal, administrative, arbitrative or investigative, or was or is the subject of any claim, and whether or not by or in the right of the corporation, by reason or his or her being or having been a Director or officer of the corporation, or by reason of his or her serving or having served at the request of another corporation, partnership, joint venture, committee, trust or other enterprise, or at the request of the corporation in any capacity that under Federal law regulating employee benefit plans would or might constitute him or her a fiduciary with respect to any such plan, whether or not such plan is or was for employees or the corporation, shall be indemnified within the confines of any insurance then in effect, by the corporation against expense (including attorney's fees), judgments, fines, penalties, awards, costs, amounts paid in settlement, and liabilities of all kinds, actually and reasonably incurred by him or her in connection with, or resulting from, such action, suit proceeding or claim, provided that no indemnification shall be made against his or her gross negligence or willful misconduct.

Expenses (including attorney's fees) incurred by or in respect of any such person in connection with any such action, suit or proceeding, whether civil, criminal, administrative, arbitrative or investigative, may be paid by the corporation in advance of the final disposition thereof upon receipt or an undertaking by, or on behalf of, such person to repay amount, unless it shall ultimately be determined that he or she is entitled to be indemnified by the corporation.

The Board of Directors of the corporation shall have the power, generally and in specific cases, to indemnify its other employees and agents to the same extent as provided in this Article with respect to its Directors and officers.

The provisions of this Article are in addition to, and not in substitution for, any other right to indemnify to which person who is or may be indemnified by or pursuant to this Article may otherwise be entitled, and to the powers otherwise accorded by law to the corporation to indemnify any such person.

If any provisions of this Article shall be adjudicated invalid or unenforceable, such adjudication shall not be deemed to invalidate or otherwise affect any other provision hereof or any power to indemnity which the corporation may have under the laws of the Commonwealth of Virginia.

The Board of Directors of the corporation shall have the power to purchase and maintain insurance on behalf of any person who is or was a Director, officer, employee or agent of the corporation, or is or was serving at the request of the corporation, partnership, joint venture, trust or other enterprise against liability asserted against him or her and incurred by him or her in any such capacity or arising out of his or her status as such.

#### ARTICLE X - CONTRACTUAL AND FINANCIAL

**SECTION 1:** The Board of Directors may authorize any officer or officers, agent or agents of the corporation in addition to the officers so authorized by these by-laws, to enter into any contract or execute and deliver any instrument in the name of, or on behalf of, the corporation, and authority may be general or confined to specific instances.

**SECTION 2:** All checks, drafts or orders for the payment of money, notes or other evidence or indebtedness issued in the name of the corporation shall be signed by an officer, officers, agent or agents of the corporation and in such manner as shall from time to time be determined by the resolution of the Board of Directors in the absence of provisions made, therefore in these by-laws.

**SECTION 3:** All funds of the corporation shall be deposited from time to time to the credit of the corporation in such banks, trusts or other depositories as the Board of Directors may select.

**SECTION 4:** The Board of Directors may accept on behalf of the corporation any contribution, gift, bequest or devise for the general purpose or any other special purpose of the corporation.

**SECTION 5:** No loans shall be contracted on behalf of the corporation and no evidence of indebtedness shall be issued in the corporate name unless authorized by a resolution of the Board of Directors.

### **ARTICLE XI - BOOKS AND RECORDS**

**SECTION 1:** The corporation shall keep correct and complete books and records of account and shall also keep minutes of the proceedings of meetings of its Board of Directors and Committees having any of the authority of the Board of Directors, and shall keep at the registered or principal office a record giving the names and addresses of the members entitled to vote. All books and records of the corporation may be inspected by any member or his agent or attorney for any proper purpose at any reasonable time.

#### **ARTICLE XII - SEAL**

**SECTION 1:** The Board of Directors shall provide a corporate seal, which shall be in the form of a circle and shall have inscribed thereon the name of the corporation and the words "Corporate Seal."

#### **ARTICLE XIII - WAIVER OF NOTICE**

**SECTION 1:** Whenever any notice is required to be given under the provisions of law or under the provisions of the Articles of Incorporation or by the by-laws of the corporation, a waiver thereof in writing signed by the person or persons entitled to such notice, whether before or after the time stated therein, shall be deemed equivalent to the giving of such notice.

#### **ARTICLE XIV - AMENDMENTS**

**SECTION 1:** The by-laws may be amended by majority vote of those present and voting at a meeting of the Board of Directors provided the Board has been notified in writing of the proposed changes prior to the meeting.

**SECTION 2:** The by-laws shall be reviewed the by Board of Directors at least every two years.

- 1. Amended by Board of Directors' May 1998.
- 2. Amended by Board of Directors' November 2002.
- 3. Amended by Board of Directors' January 2005.
- 4. Amended by the Board of Directors September 2005.
- 5. Amended by the Board of Directors January 2010



## **Conflict Of Interest Policy**

## Article I Purpose

The purpose of this Conflict of Interest Policy is to protect Gateway Homes, Inc.'s ("Gateway") taxexempt interest when it is contemplating entering into a transaction or arrangement that might benefit a private interest of an officer, director, or employee of Gateway, or might result in a possible excess benefit transaction. This policy is intended to supplement but not replance any applicable state and federal laws governing conflict of interest applicable to nonprofit and charitable organizations.

### Article II Definitions

- 1. **Interested Person** Any director, principle officer, member of a committee with board delegated powers, or employee, who has a direct or indirect financial interest, as defined below, is an interested person.
- 2. **Financial Interest** A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:
  - a. An ownership or investment interest in any entity with which Gateway has a transaction or arrangement,
  - b. A compensation arrangement with Gateway or with any entity or individual with which Gateway has a transaction or arrangement, or
  - c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which Gateway is negotiating a transaction or arrangement.

Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

A financial interest is not necessarily a conflict of interest. Under Article III, Section 2, a person who has a financial interest may have a conflict of interest only if the appropriate board or committee decides that conflict of interest exists.

### Article III Procedures

- 1. **Duty to Disclose** In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of the committee with board delegated powers considering the proposed transaction or arrangement. An interested person shall make this disclosure by completing the Conflict of Interest Form attached to this policy and forwarding the Form to the President of the Board of Directors. All officers, directors, and designated managerial employees of Gateway shall review this policy and complete the attached Conflict of Interest Form on an annual basis.
- 2. **Determining Whether a Conflict of Interest Exists** After disclosure of the financial interest, and all other material facts, and after any discussion with the interested person, she/he shall leave the board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board members or committee members shall decide if a conflict of interest exists.

## 3. Procedures for Addressing the Conflict Of Interest

- a. An interested person may make a presentation at the board or committee meeting, but after the presentation, she/he shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.
- b. The chairperson of the board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
- c. After exercising due diligence, the board or committee shall determine whether Gateway can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
- d. If a more advantegous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in Gateway's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.

#### 4. Violations of the Conflicts of Interest Policy

- a. If the board or committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.
- b. If, after hearing the member's response and after making further investigation as warranted by the circumstancess, the board or committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

## Article IV Records of Proceedings

The minutes of the board and all committees with board delegated powers shall contain:

- 1. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the finacial interest, any action taken to determine whether a conflict of interest was present, and the board's or committee's decision as to whether a conflict of interest in fact existed.
- 2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

## Article V Compensation

- 1. A voting member of the board who receives compensation, directly or indirectly, from Gateway for services is precluded from voting on matters pertaining to that member's compensation.
- 2. A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from Gateway for services is precluded from voting on matters pertaining to that member's compensation.
- 3. No voting member or board or any committee whose jurisdiction includes compensantion, directly or indirectly, from Gateway, either individually or collectively, is prohibited from providing information to any committee regarding compensation.

### Article VI Annual Statements

Each director, priniciple officer, member of a committee with board delegated powers, or employee, shall annually sign a statement which affirms such person:

- 1. Has received a copy of Gateway's conflicts of interest policy;
- 2. Has read and understands the policy;
- 3. Has agreed to comply with the policy; and
- 4. Understands Gateway is charitable and in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

## Article VII Periodic Reviews

To ensure Gateway operates in a manner consistent with charitable purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews, at a minimum, include the following subjects:

1. Whether compensation arrangements and benefits are reasonable, based on competent survey information, and the results of arm's length bargaining.

2. Whether partnerships, joint ventures, and arrangements with management organizations conform to Gateway's written policies, are properly recorded, reflect reasonable investment or payment for goods and services, further charitable purposes and do not result in inurement, impermissible private benefit, or in an excess benefit transaction.

## Article VIII Use of Outside Experts

When conducting periodic reviews as provided for in Article VII, Gateway may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the board of its responsibility for ensuring periodic reviews are conducted.

Reviewed and Approved By The Board of Directors: January 2006



## Conflict of Interest Disclosure Form

This form must be filled out annually by all parties specified in Gateway Homes' Conflict of Interest Policy ratified by Gateway's Board of Directors on November 21, 2005 and revised on January 24, 2006.

I have no conflict of interest to report	rt.
I have the following conflict of inter	rest to report (please specify)
	· · · · · · · · · · · · · · · · · · ·
I hereby verify, by my signature below, that Policy, have read and understood the policy,	I have received a copy of Gateway's Conflict of Interest, and have reported any conflict of interest.
Signature	
Printed Name	Title
Date	

cc: Board of Directors File / Employee Personnel File

Promulgated by the National Council of Nonprofit Associations



# GATEWAY HOMES, INC.

# Code of Ethical Conduct

#### Article I Personal and Professional Integrity

All staff, board members, and volunteers of Gateway are expected to act with honesty, integrity, and openness in all their dealings as representatives of the organization. The organization promotes a working environment that values diversity, respect, fairness, and integrity. Gateway's reputation for integrity and excellence requires the careful observance of all applicable laws and regulations, as well as a scrupulous regard for personal integrity and the highest standards of professional, legal, and ethical conduct.

#### Article II Mission

Gateway's mission is to provide a transitional residential treatment program and essential services to promote and support adults with mental illness living independently. All of its programs support that mission and all persons who work for or on behalf of the organization understand and are loyal to that mission and purpose.

### Article III Governance

Gateway has an active governing body, the board, which is responsible for setting the mission and strategic direction of the organization and oversight of the finances, operations, and policies of Gateway. In carrying out these responsibilities, the board

- Ensures that its members have the requisite skills and experience to carry out their duties and that all members understand and fulfill their governance duties acting for the benefit of Gateway and its public purpose
- Has a conflict-of-interest policy that ensures that any conflicts of interest or the appearance thereof are avoided or appropriately managed through disclosure, recusal, or other means
- Is responsible for the hiring, firing, and regular review of the performance of its chief executive, and ensures that the compensation of the Executive Director, and other senior management positions as the board deems appropriate, is reasonable
- Ensures that the Executive Director and appropriate staff provide the board with timely and comprehensive information so that the board can effectively carry out its duties
- Ensures that Gateway conducts all transactions and dealings with integrity and honesty
- Ensures that Gateway promotes working relationships with board members, staff, volunteers, and program beneficiaries that are based on mutual respect, fairness, and openness
- Ensures that the organization is fair and inclusive in its hiring and promotion policies and practices for all board, staff, and volunteer positions
- Ensures that policies of Gateway are in writing, clearly articulated, and officially adopted
- Is responsible for engaging independent auditors to perform an annual audit of Gateway's financial statements, and has a finance committee that is responsible for overseeing the reliability of financial reporting, including the effectiveness of internal control over financial reporting, reviewing, and discussing the annual audited financial statements to determine whether they are complete and consistent with operational and other information known to the committee

members, understanding significant risks and exposures and management's response to minimize the risks, and understanding the audit scope and approving audit and non-audit services

- Ensures that the resources of Gateway are responsibly and prudently managed
- Ensures that Gateway has the capacity to carry out its programs effectively

#### Article IV Responsible Stewardship

Gateway manages its funds responsibly and prudently. This includes the following considerations:

- Spends an adequate amount on administrative expenses to ensure effective accounting systems, internal controls, competent staff, and other expenditures critical to professional management
- Compensates staff, and any others who may receive compensation, reasonably and appropriately
- Knows that solicitation of funds has reasonable fundraising costs, recognizing the variety of factors that affect fundraising costs
- Does not accumulate operating funds excessively
- Draws prudently from endowment funds consistent with donor intent and to support the public purpose of Gateway
- Ensures that all spending practices and policies are fair, reasonable, and appropriate to fulfill the mission of Gateway
- Ensures that all financial reports are factually accurate and complete in all material respects

#### Article V Openness and Disclosure

Gateway provides comprehensive and timely information to the public, the media, donors, regulatory bodies, and all stakeholders and is responsive in a timely manner to reasonable requests for information. All information about Gateway will fully and honestly reflect the policies and practices of the organization. Basic informational data about Gateway, such as the Form 990, will be posted online or otherwise made available to the public. All solicitation materials accurately represent Gateway's policies and practices and will reflect the dignity of program beneficiaries. All financial, organizational, and program reports will be complete and accurate in all material respects.

#### Article VI Legal Compliance

Gateway is knowledgeable of, and complies with, all applicable laws and regulations.

#### Article VII Program Evaluation

Gateway regularly reviews program effectiveness and has mechanisms to incorporate lessons learned into future programs. The organization is committed to improving its clinical, residential, and vocational programs and organizational effectiveness and develops mechanisms to promote learning from its activities and the field. Gateway is responsive to changes in its field of human services and is responsive to the needs of its constituencies.

#### Article VIII Inclusiveness and Diversity

Gateway has a policy of promoting inclusiveness and its staff, board, and volunteers reflect diversity in order to enrich its programmatic effectiveness. Gateway takes meaningful steps to promote inclusiveness in its hiring, retention, promotion, board recruitment, and constituencies served.

#### Article IX Fundraising

Gateway's solicitation of funds from the public or from donor institutions uses material that is truthful about the organization. Gateway respects the privacy concerns of individual donors and expends funds consistent with donor intent. Gateway discloses important and relevant information to potential donors.

In raising funds from the public, Gateway will respect the rights of donors, as follows:

Donors will be informed of the mission of Gateway, the way the resources will be used, and their capacity to use donations effectively for their intended purpose. Further, they will

- Be informed of the identity of those serving on Gateway's governing board and to expect the board to exercise prudent judgment in its stewardship responsibilities
- Have access to Gateway's most recent financial reports
- Be assured their gifts will be used for purposes for which they are given
- Receive appropriate acknowledgment and recognition
- Be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law
- Be approached in a professional manner
- Be informed whether those seeking donations are volunteers, employees of Gateway, or hired solicitors
- Have the opportunity for their names to be deleted from mailing lists that Gateway may intend to share
- Be encouraged to ask questions when making a donation and to receive prompt, truthful, and forthright answers.

#### Article X Reporting Responsibility

It is the responsibility of all directors, officers, employees, and volunteers to comply with this Code of Ethical Conduct and to report violations or suspected violations to a supervisor, the Executive Director, or President of the Board in accordance with the organization's Whistleblower policy. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

#### Article XI Policy Review

The Board of Directors shall review this policy at least every two years.

Reviewed and authorized by the Board of Directors: September 2009



# GATEWAY HOMES, INC.

# Whistleblower Policy

## Article I Purpose

In keeping with the policy of maintaining the highest standards of conduct and ethics, Gateway Homes, Inc. (Gateway) will investigate any suspected illegal, fraudulent, unethical, or dishonest conduct by staff, board members, consultants, or volunteers.

Staff, board members, consultants, and volunteers should report suspected illegal, fraudulent, unethical, or dishonest conduct (i.e., to act as "whistleblower"), pursuant to the procedures set forth below.

#### Article II Reporting

A person's concerns about possible illegal, fraudulent, unethical, or dishonest conduct should be reported to his or her supervisor or, if suspected by a volunteer, to the staff member supporting the volunteer's work. If, for any reason, a person finds it difficult to report his or her concerns to a supervisor or staff member supporting the volunteer's work, the person may report the concerns directly to the Executive Director. If the suspected illegal, fraudulent, unethical, or dishonest conduct involves the Executive Director, a report should be made to the President of the Board. Alternately, to facilitate reporting of suspected violations where the person making the report wishes to remain anonymous, a confidential written statement may be submitted to one of the individuals listed above.

#### Article III Definitions

#### Baseless Allegations

Allegations made with reckless disregard for their truth or falsity. Individuals making such allegations may be subject to disciplinary action by Gateway, and/or legal claims by individuals accused of such conduct.

## Illegal, Fraudulent, Unethical, or Dishonest Conduct

Covered conduct violates applicable laws or Gateway's policies, or is unethical, fraudulent, or dishonest with respect to Gateway's resources, properties, operations, or clients. Examples of such conduct includes but is not limited to:

- Supplying false or misleading information on Gateway's financial or other public documents, including its Form 990;
- Providing false information to or withholding material information from Gateway's Board, donors, or auditors;

- Destroying, altering, mutilating, concealing, covering up, falsifying, or making a false entry in any
  records that may be connected to an official proceeding, in violation of federal or state law or
  regulations;
- Altering, destroying, or concealing a document, or attempting to do so, with the intent to impair
  the document's availability for use in an official proceeding or otherwise obstructing, influencing,
  or impeding any official proceeding, in violation of federal or state law or regulations;
- Embezzling, self-dealing, private inurnment (i.e., Gateway's earnings inuring to the benefit of a director, officer, or senior management) and private benefit (i.e., Gateway's assets being used by anyone in the organization for personal gain or benefit);
- Paying for services or goods that are not rendered or delivered;
- Using remarks or actions of a sexual nature that are not welcome and are likely to be viewed as personally offensive, including sexual flirtations; unwelcome physical or verbal advances; sexual propositions; verbal abuse of a sexual nature; the display of sexually suggestive objects, cartoons, or pictures; and physical contact of a sexual or particularly personal nature;
- Using epithets, slurs, negative stereotyping, and threatening, intimidating, or hostile acts that relate to race, color, religion, gender, national origin, age, or disability;
- Circulating or posting written or graphic material in the workplace that denigrates or shows hostility or aversion toward an individual or group because of race, color, religion, gender, sexual orientation, nationality, age, or disability;
- Discriminating against an employee or potential employee due to a person's race, color, religion, sex, sexual orientation, national origin, age, physical or mental impairment, or veteran status;
- Violating Gateway's, Conflict-of-Interest, Code of Ethics, Personnel, or any other policies; or
- Facilitating or concealing any of the above or similar actions.

#### Whistleblower

An employee, consultant, or volunteer who informs a supervisor, the Executive Director, or the President of the Board about an activity relating to Gateway which that person believes to be illegal, fraudulent, unethical, or dishonest.

## Article IV Rights And Responsibilities

#### Supervisors

Supervisors are required to report suspected illegal, fraudulent, unethical, or dishonest conduct to the Executive Director. Reasonable care should be taken in dealing with suspected misconduct to avoid:

- Baseless allegations;
- Premature notice to persons suspected of misconduct and/or disclosure of suspected misconduct to others not involved with the investigation; and
- Violations of a person's rights under law.

Due to the important yet sensitive nature of the suspected violations, effective professional follow-up is critical. Supervisors, while appropriately concerned about "getting to the bottom" of such issues, should not in any circumstances perform any investigative or other follow-up steps on their own. Accordingly, a supervisor who becomes aware of suspected misconduct should not:

- Contact the person suspected to further investigate the matter or demand restitution;
- Discuss the case with attorneys, the media, or anyone other than the Executive Director; or

• Report the case to an authorized law enforcement officer without first discussing the case with the Executive Director.

Investigation

The Executive Director, or the President of the Board in any matters involving the Executive Director, shall assign an individual to investigate the claim and shall supervise the investigation, documentation, and reporting processes. All relevant matters, including suspected but unproved matters, will be reviewed and analyzed, with documentation of the receipt, retention, investigation, and treatment of the complaint. Appropriate corrective action will be taken, if necessary, and findings will be communicated to the reporting person and his or her supervisor. Investigations may warrant investigation by independent persons such as auditors and/or attorneys.

#### Whistleblower Protection

Gateway will protect whistleblowers as follows:

- Gateway will use its best efforts to protect whistleblowers against retaliation. Whistleblowing complaints will be handled with sensitivity, discretion, and confidentiality to the extent allowed by the circumstances and the law. Generally, this means that whistleblower complaints will only be shared with those who have a need to know so that Gateway can conduct an effective investigation, determine what action to take based on the results of any such investigation, and in appropriate cases, consult with law enforcement personnel. (Should disciplinary or legal action be taken against a person or persons as a result of a whistleblower complaint, such persons may also have the right to know the identity of the whistleblower.)
- Employees, consultants, and volunteers of Gateway shall not retaliate against a whistleblower for informing management about an activity which that person believes to be illegal, fraudulent, unethical, or dishonest with the intent or effect of adversely affecting the terms or conditions of the whistleblower's employment, including but not limited to, threats of physical harm, loss of job, punitive work assignments, or impact on salary or fees. Whistleblowers who believe that they have been retaliated against may file a written complaint with the Executive Director. Whistleblowers who believe that they have experienced retaliation from the Executive Director may file a written complaint with the President of the Board. Any complaint of retaliation will be promptly investigated and appropriate corrective measures taken if allegations of retaliation are substantiated. This protection from retaliation is not intended to prohibit supervisors from taking action, including disciplinary action, in the usual scope of their duties and based on valid performance-related factors.
- Whistleblowers must be cautious to avoid making baseless allegations as described above.

Reviewed and authorized by the Board of Directors: September 2009

Gateway Homes, Inc Policy and Procedures	
Category: Financial & Accounting	Reference:
Title: Asset Protection	Number: 50
Issued:	Pages:
Revised: December 2013	Attachments: None

**I. Purpose:** The purpose of this policy is to establish procedures for adequately protecting and maintaining from unnecessary risk all of Gateway Homes, Inc.'s assets.

#### II. General Guidelines and Procedures: The Executive Director shall:

- 1. Insure against theft and casualty losses of tangible personal property to at least 80 percent replacement value and against liability losses to board members, staff, or the organization itself at no less than minimally acceptable prudent levels.
- 2. Have sufficient employee dishonesty insurance and directors' and officers' liability insurance for personnel with access to material amounts of funds.
- 3. Ensure office and equipment is not subjected to improper wear and tear or insufficient maintenance.
- 4. Protect the organization, its board, and staff from exposure leading to claims of liability.
- 5. Protect intellectual property, information, and files from loss or significant damage.
- 6. Seek bids or demonstrate other prudent methods for any purchases over \$5,000 and protect against conflicts of interest.
- 7. Receive, process, or disburse funds under financial controls that meet the board-appointed auditor's or grantor's standards.
- 8. Invest or hold operating capital in secure instruments, such as insured checking accounts and bonds of greater than \_\_\_ rating, interest-bearing accounts, except when necessary to facilitate ease in operational transactions or where restricted by the funder.
- 9. Acquire, encumber, or dispose of real property only with board approval, with the price set on any property to be disposed of following either a formal market appraisal or analysis of comparable properties by at least two reputable realtors in that market.
- 10. Not endanger the organization's public image or credibility, particularly in ways that would hinder its accomplishment of mission, except when necessary to accomplish its mission.
- 11. Establish and adhere to appropriate risk management procedures for clinical operations.
- 12. The Board of Directors shall review the Executive Director's compliance with this policy on an annual basis.

III. Policy Review: The Board of Directors shall review this policy at least every two years.



# Executive Compensation Policy

### Article I Purpose

It is the policy of the Board of Directors to establish and maintain an executive compensation procedure for the Executive Director which enables the organization to attract and retain the leadership needed to carry out the mission of Gateway Homes and the policies of the board. Compensation should be responsive to market trends, reflect the value of the functional demands of executive work, reward performance results and be based on factors that provide for just and reasonable compensation as defined by law, comparability data and best governance practice.

#### Article II Definitions

Total compensation may include the following:

- 1. Base pay
- 2. Bonus plans
- 3. Other incentive plans as determined by the board

#### Article III Process

- A. The Board of Directors authorizes the Executive Committee to review and make compensation decisions for the Executive Director. Such decisions are reported to the full Board of Directors.
- B. A review and approval of the compensation for the Executive Director shall occur initially upon hire of the officer, whenever the term of employment is renewed or extended and whenever the officer's compensation is modified. Separate review and approval is not required when a modification of compensation extends to substantially all employees, e.g., a cost of living adjustment provided all employees.
- C. Within 90 days of the completion of the fiscal year, the Executive Committee of the Board of Directors shall meet with the Executive Director to review performance and establish performance standards to be used in determining compensation actions.
- D. Information gathered and used in this process might include also the following:
  - Compensation paid by organizations of similar size and purpose,
  - Current compensation surveys complied by independent organizations.
- E. Compensation actions taken by the Executive Committee must be documented and such documentation should include the basis of the committee's actions and the names of the committee members involved in

the actions. The minutes of the Executive Committee may fulfill this requirement. The minutes documenting the process for determining compensation shall include the following:

- Terms of the compensation arrangements
- Approval date
- Names of the board members who approved the compensation decisions
- Data used in determining compensation
- Disclosures of conflict of interest if any.

### Article IV Policy Review

The Board of Directors shall review this policy at least every two years.

Reviewed and authorized by the Board of Directors: November 2010



# GATEWAY HOMES, INC.

# Document Retention And Destruction Policy

Article I Purpose

In accordance with the Sarbanes-Oxley Act, which makes it a crime for any nonprofit organization to alter, cover up, falsify, or destroy any document with the intent of impeding or obstructing any official proceeding, this policy provides for the systematic review, retention, and destruction of documents received or created by Gateway Homes, Inc. (Gateway) in connection with the transaction of organizational business. This policy covers all records and documents, regardless of physical form, contains guidelines for how long certain documents should be kept, and how records should be destroyed (unless under a legal hold). The policy is designed to ensure compliance with federal and state laws and regulations, to eliminate accidental or innocent destruction of records, and to facilitate Gateway's operations by promoting efficiency and freeing up valuable storage space.

#### Article II Compliance And Reporting Responsibilities

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against Gateway and its employees. Each employee has an obligation to inform the Executive Director of any potential or actual litigation, external audit, investigation, or similar proceeding involving Gateway. Any questions regarding the reporting of proceedings or the retention of documents not listed in this chart should be directed to the Executive Director.

#### Article III Document Retention Schedule

The information listed in the retention schedule attached to this policy is intended as a guideline and may not contain all the records Gateway may be required to keep in the future. Documents not included in this schedule, but are substantially similar to those listed in the schedule, will be retained for the appropriate length of time.

#### Article IV Document Destruction Procedures

The Executive Director is responsible for the ongoing process of identifying its records, which have met the required retention period, and overseeing their destruction. Destruction of financial and personnel-related documents and protected health information will be accomplished by shredding.

Document destruction will be suspended immediately upon any indication of an official investigation or when a lawsuit involving Gateway is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

#### Article V Policy Review

This policy shall be reviewed by the Board of Directors at least every two years.

Reviewed and authorized by the Board of Directors: September 2009

File Category	Item	Retention Period
Corporate Records	Bylaws and Articles of Incorporation	Permanent
	Corporate resolutions	Permanent
	Board and committee meeting agendas and minutes	Permanent
	Conflict-of-interest disclosure forms	4 years
Finance and Administration	Financial statements (audited)	Permanent
	Auditor management letters	Permanent
	Payroll records	Permanent
	Journal entries	Permanent
	Check register and checks	7 years
,	Bank deposits and statements	7 years
	Charitable organizations registration statements (filed with [State] Attorney General)	7 years
	Chart of accounts	7 years
	Expense reports	7 years
	General ledgers and journals (includes bank reconciliations, fund accounting by month, payouts allocations, securities lending, single fund allocation, trust statements)	7 years
	Accounts payable ledger	7 years
	Investment performance reports	7 years
	Investment consultant reports	7 years
	Investment manager correspondence	7 years
	Equipment files and maintenance records	7 years after disposition
	Contracts and agreements	7 years after all obligations end
	Investment manager contracts	7 years after all obligations end
	Correspondence — general	3 years
nsurance Records	Policies — occurence type	Permanent
	Policies — claims-made type	Permanent
	Accident reports	Permanent
	Fire inspection records	Permanent
	Safety (OSHA) reports	Permanent
	Claims (after settlement)	Permanent
	Group disability records	7 years after end of benefits
Real Estate	Deeds	Permanent
	Leases	7 years after all obligation end
	Mortgages, security agreements	7 years after all obligation end
	Purchase agreements	7 years after disposition requirements

	DOCUMENT RETENTION SCHEDULE	
File Category	Item	Retention Period
Tax	IRS exemption determination and related correspondence	Permanent
	IRS Form 990s	7 years
	Withholding tax statements	7 years
	Correspondence with legal counsel or accountants, not otherwise listed	7 years after return is filed
	Timecards	3 years
Communications	One set of all communication documents kept on-site and one kept off-site	
	Press releases	Permanent
	Annual reports	Permanent (5 copies)
	Other publications	7 years
	Photos	7 years
	Press clippings	7 years
Donor Services	Fund agreements (paper and digital copies)	Permanent
	Correspondence — acknowledgment of gifts and grant requests	Permanent
	Donor fund statements	Permanent
Community Philanthropy	Records from advisory committee or family fund meetings, including minutes, if any, and lists of grants recommended for approval	7 years
	Scholarship grant records, including applications if foundation staff participates in selection decisions	7 years
	Approved grants — all documentation supporting grant payment, including application/recommendation, due diligence, grant agreement letters, grant transmittal letters, and post-grant reporting information, if any	7 years after completion of funded program, or date of grant if general operating support
	Foundation funding requests, correspondence, and reports	7 years after completion of
	(funding received)	program
	Declined/withdrawn grant applications	3 years
	Foundation funding requests (denied)	3 years
Consulting Services	Consulting contracts/filed	7 years after all obligations end
Human Resources	Employee personnel files	7 years
	Retirement plan benefits (plan descriptions, plan documents)	Permanent
	Employee medical records	7 years
	Employee handbooks	7 years
	Workers comp claims (after settlement)	7 years
	Employee orientation and training materials	7 years after use ends
	Employment offer letter	7 years after all obligations end
	Employment applications	3 years
		Greater of 1 year after end of service, or three years
		1 year

DOCUMENT RETENTION SCHEDULE		
File Category	Item	Retention Period
Technology	Software licenses and support agreements	7 years after all obligations end
Library	Directories and periodicals	2 years
General Administration	Correspondence — chief executive and general	7 3 years
	Appointment calendars — chief executive	7 years
Protected Health Information	Resident Medical Records	10 years
	Summary of name, DOB, SSN, dates of service, and legal guardian	Permanent

# Gateway Homes, Inc.

# **Personnel Policies Manual**

Last Reviewed by Legal Counsel - March, 2013

Approved by Board of Directors – November, 2005 Revised Version Approved – May 21, 2013

# Welcome to Gateway Homes, Inc.

The purpose of this organization is to provide a transitional living program for adults who are striving for independence. Our vision is to make recovery a reality for adults with mental illness. We are driven by the belief that individuals with severe mental illness are capable of leading fulfilling lives. Gateway has a proven track record of helping individuals recover, return to school and work, and live as independently as possible in the community of their choice.

All employees must subscribe to the mission of Gateway and be supportive of the full range of services it provides. This is your copy of the organization's personnel policies. If you ever have any questions or concerns as you work with Gateway, please share them with your immediate supervisor. If your questions or concerns relate to harassment, intimidation, or discriminatory treatment, you are encouraged to contact any individual in your chain of command, including the Executive Director.

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## Section I – Introduction

#### A. Purpose

This manual is designed to acquaint employees with certain current personnel policies, practices and benefits of Gateway Homes, Inc. Gateway maintains the exclusive right to modify, interpret, or eliminate any of these policies, practices and benefits at any time with or without notice. This manual describes certain practices that Gateway generally prefers to follow, but Gateway at all times maintains the discretion to follow other practices it may find appropriate under the circumstances.

Employment with Gateway is for no specified term or duration. It is undertaken on the basis of mutual consent. All employees are employed at-will and either the employee or Gateway may terminate the employment relationship at any time, with or without cause, and with or without notice.

Nothing in this handbook is intended to create a contract of employment. This handbook shall not be construed to create any express or implied contractual rights or rights in equity. Similarly, any other manual, letter, memorandum, or policy statement Gateway may issue or maintain does not constitute an express or implied contract between Gateway and any employee. Only the Executive Director has the authority to enter into an employment contract on behalf of the organization. Any such contract must be in writing and signed by the Executive Director.

This manual replaces all previous Gateway personnel handbooks and manuals.

## B. Discrimination, Harassment, And Violence In The Workplace

- 1. Equal Opportunity Employment: Gateway is an equal opportunity employer. It is the organization's policy that all employees and all applicants for employment be treated in a non-discriminatory manner. Gateway prohibits discrimination against employees and applicants on the basis of race, color, national origin, religion, sexual orientation, age, sex, disability, marital status or veteran status. This policy shall apply to all aspects of the employment relationship including recruitment, hiring, training, promotion, demotion, transfer, compensation, benefits, layoff and termination.
- 2. Work Environment: It is the organization's policy to provide all employees with a working environment free from all forms of harassment and violence. Gateway's policy prohibits harassment or violence by any Gateway supervisor, employee, contractor, volunteer, visitor, or client.
  - a. Work Place Harassment: is any unwelcome verbal, written or physical conduct that either denigrates or shows hostility or aversion towards a person including (but not limited to) on the basis of race, color, national origin, religion, sexual orientation, age, sex, disability, marital status or veteran status that (a) has the purpose or effect of creating an intimidating, hostile or offensive work

environment; (b) has the purpose or effect of unreasonably interfering with an employee's work performance; or (c) affects an employee's employment opportunities or compensation.

- b. Sexual Harassment includes but is not limited to, the following:
  - i. Physical -- Unwanted touching of body or clothing, holding, grabbing, pinching, fondling, patting, hugging, kissing, "accidental" bumping or brushing against, physical assault, coerced sexual intercourse, attempted rape or rape.
  - ii. Verbal -- Sexual slurs or innuendoes, offensive jokes and language, sexual teasing, sexual comments about a person's body or clothing, personal sexual questions, sexual threats, ongoing sexual descriptions and commentary.
  - iii. Nonverbal -- Staring at a person's body, leaning over someone at a desk, lewd gestures or motions, leering or ogling in a sexually demeaning way, circulating printed material of a sexual nature, persistent unwelcome flirting, displaying sexually suggestive pictures or objects at work.
- b. Work Place Violence: is any physical assault, threatening behavior or verbal abuse occurring in the workplace by employees or third parties. It includes, but is not limited to, beating, stabbing, suicide, shooting, rape, attempted suicide, psychological trauma such as threats, obscene phone calls, an intimidating presence, and harassment of any nature such as stalking, shouting or swearing. Guns and other weapons are prohibited in the workplace.
- c. Reporting Harassment, Discrimination, and/or Violence: Employees who believe they are being subjected to harassment or violence in violation of this policy, or who believe their employment is being adversely affected by discriminatory treatment, shall report the problem in accordance with the grievance procedure outlined in Section VII. If an employee feels uncomfortable or threatened by reporting a problem in this manner, she/he shall report the problem immediately to the Executive Director.

### C. Workplace Accommodations

It is the policy of Gateway to comply with the Americans with Disabilities Act of 1990. Gateway does not discriminate against qualified individuals with disabilities in job application procedures, hiring, firing, advancement, compensation, job training, and other terms, conditions and privileges of employment. A qualified employee or applicant with a disability is an individual who, with or without reasonable accommodation, can perform the essential functions of the job in question. Gateway will make reasonable accommodation for qualified employees provided such accommodations do not impose an undue hardship on Gateway operations. Accommodations may include, but are not limited to (1) making facilities used by employees readily accessible to and usable by persons with disabilities; (2) job restructuring or modifying work schedules; or (3) acquiring or modifying equipment or devices.

#### D. Community Relations

No employee shall speak for or on behalf of Gateway on any matter concerning the organization without the expressed prior approval of the Executive Director. When designated as a spokesperson, the employee shall be accurate, exercise proper restraint and show respect for the opinions of others. This policy is not intended to interfere with any governmental efforts to enforce or administer laws, and employees should cooperate in those efforts.

Partisan political activity of any kind is strictly prohibited during work hours. Employees may not work for a candidate on the organization's time, write letters on behalf of a candidate on the organization's stationery, or identify her/himself as a representative of Gateway in support of a candidate. Any employee acting in contradiction with this policy may be subject to termination.

## Section II- Employment

#### A. Employee Status

- 1. Employees fall into one of the two employee categories as defined by the Fair Labor Standards Act (FLSA).
  - a. Exempt

Executive, administrative, professional and other employees classified as exempt under FLSA do not qualify for additional pay for hours worked beyond the normal work week.

b. Non-Exempt

These employees are entitled to receive overtime pay. The employee's supervisor must approve any overtime work in advance.

- 2. Employees are also classified according to the amount of time they are normally scheduled to work.
  - a. Full-time

All employees who normally are assigned to work from thirty-two (32) to forty (40) hours in a work week. Full-time employees will be eligible for all leave and other benefits described in this manual. Full-time hourly employees work at least 32 hours per week and are also eligible for all leave and other employee benefits described in this manual based upon the ratio of the hours worked to a 40 hour work week.

b. Part-time

All employees who regularly work fewer than thirty-two (32) hours in a work week. Part-time employees are not entitled to leave benefits or other employee benefits.

#### c. Temporary

All employees who fill a temporary position are paid on an hourly basis. Temporary employees are not entitled to any leave benefits or any other employee benefits. Temporary positions are so designated in the job description given to each employee.

#### B. Recruitment and Selection

### 1. Notification of Vacancies

Supervisors will notify the Executive Director, or designee of pending vacancies as soon as possible. When an employee resigns, a letter of resignation or documentation of verbal notice of resignation will be obtained and placed in the employee's personnel file. The supervisor will review the job description for the vacant position if necessary and submit it to the Executive Director, or designee.

#### 2. Position Announcements

The Executive Director, or designee, will announce vacancies or positions through an announcement distributed to staff. When outside recruiting is necessary, the position may be announced through local newspapers, including minority publications, the Virginia Employment Commission, or other possible recruitment sources.

#### 3. Records of Recruitment

Applications for employment will be accepted when a position is announced. Other applications with be maintained on file until a position becomes vacant. Applications for persons not hired are dated when received and kept for six (6) months.

#### 4. Job Descriptions

Each job position is described by a written job description that includes the following:

- Position title;
- Title of immediate supervisor;
- Summary of major objectives of the job;
- Description of duties and responsibilities;
- Titles of positions supervised;
- Required knowledge, experience, skills, and abilities, or professional licensure; and
- FLSA standing

The Executive Director, or designee, is responsible for the development of job descriptions. Each description is evaluated at the employee's annual performance review. Each employee is provided with a copy of his/her job description and a signed copy is kept in their personnel file. The job description is not a contract for

employment and does not modify the at-will employment relationship between Gateway and the employee.

#### 5. Qualifications

An applicant must meet the minimum qualifications of the position as defined in the job description. Gateway job descriptions will include the minimum knowledge, skills and abilities, professional qualification, and experience appropriate to the duties and responsibilities of the position. Gateway will verify professional credentials listed by applicants considered for employment. All employees must comply will the regulations of the Virginia Department of Health Professionals. Any individual who is excluded from participation in Federal Healthcare Programs is not eligible for employment with Gateway.

## 6. Criminal Registry Checks

Gateway requires any applicant who accepts employment for a direct care position to submit to fingerprinting and to provide personal descriptive information to be forwarded through the Central Criminal Records Exchange to the Federal Bureau of Investigation for purposes of a background check. Any applicant who accepts employment must also provide the necessary information for Gateway to obtain a search of the registry of founded child abuse and neglect maintained by the Department of Social Services. Gateway will maintain a disclosure statement documenting whether the applicant and/or employee has been convicted of, or is the subject of a pending charge for any offense. In the event Gateway hires an individual with a criminal conviction or pending charges, the Executive Director, or designee, will document the rationale for this decision. Gateway will also maintain documentation in the applicant or employee's confidential file that Gateway has provided all necessary background information and the results of the registry checks to the Department of Mental Health, Mental Retardation, and Substance Abuse Services.

Gateway employees shall inform their supervisor of any pending criminal charges against them and the outcome of any criminal prosecution. An employee's failure to report a criminal charge against him or her may result in termination of employment.

## C. Appointment and Orientation

## 1. Staff Appointment

With the supervisor's assistance, the new employee shall complete the necessary forms including all orientation information required by licensing and regulatory agencies. . The supervisor will provide the employee with a written job description. These are

reviewed by the Executive Director, or designee, and placed in the employee's personnel file.

In compliance with the Immigration Reform and Control Act of 1986, all employees are required to establish both their authorization to work and their identity prior to employment. The supervisor ensures that the DHS Form I-9 is completed and placed in the employee's personnel file before she/he begins work.

Personnel records are the property of Gateway and access to them shall be restricted. Gateway will maintain personnel records in an organized manner and in a locked filing system to protect the confidentiality of employees. All electronic personnel records will be maintained with data security controls. In compliance with the ADA, employee health related and legal information will be maintained in a separate file from the employee personnel records. Personnel records are subject to disclosure in any court proceeding involving Gateway or the employee.

#### 2. Orientation

- a. The supervisor will arrange for the new employee's orientation to the agency on or before the date of hire and document the orientation in the employee's file.
- b. The orientation shall include:
  - Gateway's mission, vision, and values;
  - Confidentiality of the residents' records;
  - Gateway personnel policies;
  - Emergency preparedness;
  - Infection control practices and procedures;
  - Position specific duties and responsibilities; and
  - Any other information required by licensing and regulatory agencies.
- c. Probationary Period: The supervisor will review the new employee's progress after three (3) months and six (6) months of employment. This review is based on the agency's standard format, documented, reviewed by the Executive Director, or designee, and added to the personnel file.

## D. Performance Evaluation

- 1. Supervisors shall prepare Performance Evaluations in accordance with the following procedures.
- 2. The Human Resources Manager, or designee, will prepare the employee's annual Performance Evaluation and forward it to the employee with a copy to the immediate supervisor prior to the date of the annual evaluation.

- 3. The employee will complete his/her self-evaluation and forward it to immediate supervisor. The supervisor will complete his/her evaluation of the employee and discuss the results with the employee. The employee will be given the opportunity to respond in writing and should acknowledge receipt of the evaluation in writing. In signing, the employee acknowledges that she/he has read and understood the document. The signature does not imply agreement. The supervisor/Manager will forward the completed evaluation to the Manager/Director for review and final approval. The Director will send the completed evaluation to the Manager of Human Resources, or designee.
- 4. The supervisor will notify the employee of any changes to assigned job responsibilities between the regularly scheduled Performance Reviews.

## E. Working Hours

The organization's work week normally will consist of forty (40) hours. The immediate supervisor will establish individual work schedules.

### F. Attendance

Employees must report on time for scheduled hours of work. The employee must notify his or her supervisor immediately if unable to report to work as scheduled. Reporting to work late is considered tardiness, and will result in a negative performance review and may lead to disciplinary action.

# G. Overtime Work For Non-Exempt Employees

Overtime work means actual time worked beyond forty (40) hours per calendar week, beginning on Monday and ending on Sunday. Calendar weeks do not run concurrently with pay periods. Non-exempt employees shall be paid at an overtime rate of one and one-half (1½) times the regular hourly rate for each hour worked over forty (40) hours per week. Overtime requires prior approval from the employee's immediate supervisor. Overtime usage will be reviewed by the Executive Director on a monthly basis.

# **Section III- General Expectations And Requirements**

## A. Confidentiality

As an employer and provider of health care, Gateway requires all staff to act in a manner that ensures all residents are treated with respect and are confident her/his privacy is protected at all times. Gateway employees will be provided with a copy of Gateway's Human Rights Policies and Procedures at the time of hire and each employee shall acknowledge in writing that they agree to recognize, support, and protect residents' rights

to dignity, respect, and confidentiality by fully complying with Gateway Human Rights Policies and Procedures.

#### B. Chain of Command

In the Executive Director's absence, the Clinical Director will serve as Acting Director for Gateway. In the absence of both the Executive and Clinical Directors, the Director of Admissions and Ancillary Services will serve as Acting Director.

#### C. Inclement Weather

In the case of inclement weather, the Executive Director, or designee, will inform the management staff of any impact for the employees. Management staff will inform their staff members and follow all applicable policies and procedures relating to emergency preparedness and response. Employees who are unable to report to work must use paid time off. The Executive Director, or designee, may make exceptions to the use of paid time off in extraordinary circumstances. All employees are to use their discretion if weather conditions are too dangerous to travel to work.

## D. Prohibited Smoking Areas

Smoking is prohibited in all indoor spaces.

## E. Employee Dress

Employees shall dress and maintain hygiene and grooming in a manner that reflects Gateway's mission, vision, and values. Employees shall select clothing that is professionally appropriate for a residential treatment program for individuals with mental illness. Inappropriate clothing includes, but is not limited to the following:

- attire that reveals cleavage, back, chest, stomach, or underwear;
- any sexually provocative or revealing clothing;
- tight fitting jeans, pants spandex, or leggings unless covered by other attire such as a dress or skirt;
- halter tops, spaghetti straps, and two-piece bathing suits when swimming with the residents;
- skirts, shorts, and skorts which are shorter than two inches above the knee;
- facial skin piercings with jewelry with the exception of earrings; and
- inappropriate logos on T-shirts, sweatshirts, or caps that are inconsistent with Gateway's mission and values and/or potentially offensive to residents, their families, and other staff.

## F. Secondary Employment

Employees may hold outside secondary employment except when such employment would interfere with the efficient performance of assigned job responsibilities or present a conflict of interest with duties at Gateway.

No activities involved in the outside secondary employment may be conducted during the employee's normal working hours.

If an employee has reason to believe that secondary employment could result in any of the above conditions she/he shall inform and consult with his or her supervisor immediately.

# Section IV-Salary Administration

### A. Ranges

Salary ranges will be assigned for each position. These ranges are reviewed and adjusted annually by the Executive Director, and as necessary. The ranges reflect the levels of the responsibilities of the position as well as competitive salary ranges in the community for comparable position and equivalent positions within Gateway.

A new employee will be given a starting salary within the range dependent upon experience, knowledge, skills, and abilities relevant to the position.

#### B. Increases

All salary increases except that of the Executive Director may be granted by the Executive Director within budgetary limits at the end of each performance review based upon the results of the employee's performance evaluation. The employee must have been employed at least 6 months prior to the review date to be eligible for consideration of a salary increase. Nothing in this paragraph should be construed to entitle any employee to a salary increase at any time except as in the discretion of the Executive Director in accordance with this Policy.

## C. Pay Schedules

Employees are paid semi-monthly on the fifteenth (15<sup>th</sup>) and the last day of each month. When these days fall on weekends, paychecks will be distributed on the last preceding workday.

Authorized deductions to be made from paychecks include Social Security (FICA), Federal and State Income Taxes and benefit deductions.

## Section V- Employee Benefits

#### A. Holidays

The following ten (10) holidays will be observed during the year:

- New Years Day
- Martin Luther King Day
- Memorial Day
- Independence Day
- Labor Day
- Veteran's Day
- Thanksgiving Day and the day after
- Christmas Eve and Christmas Day

Full-time employees will be paid for these holidays. Part-time and temporary employees will not be paid for these holidays. Employees will not receive additional pay when a holiday is observed during their paid time off.

Holidays falling on Saturday will be observed on the preceding Friday. Holidays falling on Sunday will be observed on the following Monday. Nonexempt employees who work during a holiday will receive holiday pay in addition to the hours worked. .

## B. Paid Time Off

All full-time employees will accrue paid time off in the following manner:

Length of Service

Two (2) months – Five (5) years

Six (6) years – Ten (10) years

Over ten (10) years

Paid Time Off

Two (2) days per month

Two and one half (2 1/2) days/month

Three (3) days/month

Except in emergencies, employees must schedule use of their paid time off with their supervisor and must obtain his/her written approval, preferably two (2) weeks before the requested leave time. Prior to approving a leave request for paid time off, the supervisor must arrange for adequate coverage of essential clinical services and/or administrative functions performed by the employee requesting leave. Leave requests will not be granted if the employee's absence will adversely impact essential clinical services or administrative functions. When an emergency occurs, the employee must contact his/her supervisor as soon as possible, prior to the beginning of the shift. Supervisors will approve any paid time off with staff schedules and agency needs in mind.

Each employee may carry over no more than ten (10) days or eighty (80) hours of paid time off at the end of the calendar year. If more than ten (10) days or eighty (80) hours of paid time off leave remain, they may be designated as Catastrophic Leave Days. Up to forty (40) days or 320 hours of Catastrophic Leave may be accumulated. Staff should use these in the event of personal or family illness, birth or adoption of a child or other

extraordinary event. Before using Catastrophic Leave Days, the employee shall use all regular paid time off and must obtain prior approval from the Executive Director.

At termination, employees will be compensated for accumulated paid time off up to a maximum of ten (10) days or eighty (80) hours. No compensation will be given for accumulated Catastrophic Leave Days. New employees with less than six (6) months of continuous service will not be compensated for accumulated paid time off upon termination.

#### C. Other Leaves of Absence

Various types of leaves may be available to employees who must be temporarily absent from work for acceptable reasons and who have at least six (6) months of continuous service. For short-term leaves (two weeks or less) the employee must obtain approval from the supervisor and the Executive Director, allowing ample time for the revision of work schedules and assignments. The employee must submit the request in writing to the supervisor well in advance of the leave.

### 1. Emergency Family Leaves

In the event of a death of an immediate family member, an employee may be given time off with pay from the day of death to the day of the funeral or three (3) days, whichever is less. For this purpose the immediate family member is defined as parents, grandparents, siblings, spouse, child, adoptive child or parent, and parents-in-law. For other family or other deaths the employee may be given one paid day off if the employee's presence is necessary at the funeral. The Executive Director must approve this paid leave.

### 2. Short Term Leaves (two weeks or less)

Jury Duty: When an employee is summoned to serve as a juror, he/she will be provided time off from work to fulfill this duty. The employee will receive regular pay providing he/she presents proof of attendance. The employee will provide the Director of Finance and Administration with a copy his/her compensation check for jury duty. The amount of compensation for jury duty will then be deducted from his/her regular pay during the following pay period.

<u>Military Reserve Duty</u>: Employees who have military obligations requiring them to attend reserve camp will be granted unpaid leave to perform these duties in accordance with state and federal laws. The employees must notify her/his supervisor and the Executive Director as soon as possible after receiving orders so that they will have ample time to revise work assignments or schedules.

#### 3. Long Term Leaves (more than two weeks)

Medical Leave: When an employee becomes temporarily disabled for any medical condition, including pregnancy or pregnancy related problems, uses all vacation, sick and Catastrophic Leave Days accrued to his/her account and is still unable to return to work, she/he may request a medical leave of absence (unpaid) for up to six (6) months. Gateway will require a physician's statement for an employee to be given such leave and/or return to work. Employees must notify their supervisor and the Executive Director well in advance of their expected return to work in order that work assignments and schedules may be prepared. Gateway provides long term disability for approved medical conditions after the employee has been out for ninety days.

<u>Personal Leave without pay</u>: Consideration will be given to granting a personal leave of absence without pay for up to ninety (90) days. Personal leave is intended to accommodate unusual circumstances and may not be used to work elsewhere.

<u>Military Service</u>: Veterans will be re-employed by Gateway in accordance with the provision of applicable state and federal laws.

Maternity and Paternity Leave: The Executive Director may grant an employee up to 12 weeks of maternity or paternity leave without compensation during which time the employee's job will be held. The employee may use previously accumulated paid time off and catastrophic leave. Long term disability does not apply to maternity or paternity leave unless there is a medical reason that prevents the mother or father from performing the duties of their job.

While on long-term leave of absence, the employee does not accumulate paid time off.

Although Gateway normally contributes to medical and dental insurance and other employee benefits for full-time employees while they are working, whenever an employee is on a long term leave of absence, it may be necessary for her/him to convert their insurance and make monthly payments to Gateway, preferably prior to the beginning of the leave, but at least on a monthly basis in advance. The employee must make all necessary arrangements for coverage prior to beginning a leave of absence.

Upon expiration of an approved long-term leave, the employee may return to work if an opening is available for which she/he is qualified. If such an opening is not available or if the employee refuses to accept an available opening or if the employee is unable to return to work at the end of the leave, the employment will be considered ended. If the employee returns to work, for purposes of review and

salary treatment, the length of service shall include all time actually worked, and the date for future reviews shall be the date of return.

## D. Expense Reimbursement

Agency reimbursement for authorized business travel and related expenses will be made from completed expense reports that must include receipts. Auto travel will be reimbursed at a rate set by the organization and allowed by the Internal Revenue Service as adjusted annually.

## E. Training and Development

#### **General Training**

Gateway encourages and supports the professional growth of the staff through the provision of education and training.

Work related educational opportunities may be provided for staff. The Executive Director or designated supervisor shall make the decisions about staff training based on appropriateness of training and availability of agency funds.

In-service training is provided from time to time for all staff. Staff members may be asked to provide training in their areas of expertise and are expected to attend and take part in training provided.

## Specific Training For Staff Who Provide Direct Care:

Direct care staff shall receive training as required by licensing and regulatory agencies at the time of employment and annually thereafter.

## **Documentation Of Training**

All staff training and development will be documented and filed in the employee's personnel file.

#### F. Other Benefits

Gateway provides to full-time employees other benefits that may include group health and dental insurance (family coverage is available under payroll deduction). A Simple Plan (401K) is made available to all employees. Gateway will match up to 3% of salary, group term life insurance, accidental death and disability insurance, and long term disability insurance. Full-time employees are eligible for insurance programs when they become employed with Gateway and they are eligible to participate in the pension plan immediately. Gateway provides workers' compensation benefits to all employees.

These benefits are more fully described in the Summary Plan Descriptions and the Benefit Plan documents, copies of which shall be provided to each employee. The terms of the Benefit Plan describe the exact scope of coverage and provide the specific procedures for administration. Questions about benefits should be directed to the Director of Admissions and Ancillary Services.

Upon termination of employment (and upon certain other events such as divorce or the attainment of majority status by a child), the employee and his/her dependents may be eligible to convert the organization's health insurance plan into an individual policy and to convert group life insurance into an individual policy. In either event the employee is responsible for the full cost of the coverage. A more detailed explanation of these opportunities including the events that permit the coverage and the procedures for extending the coverage should termination or any other events occur is contained in the Summary Plan Descriptions and the Benefit Plan documents.

# Section VI- Corrective Action and Employment Termination

## A. Forms of Corrective Action

In order to ensure the proper delivery of services to residents and the community, the organization's management may be required to address problems related to work habits, performance, and conduct. When corrective action is necessary, the amount and type of action taken depends on the particular circumstances. Gateway maintains the discretion to determine what corrective action is appropriate in each situation, regardless of what correction the employee may have received previously. For example, in some circumstances, it may be appropriate to give an additional written warning before taking any stronger action, while in other circumstances it may be appropriate to take strong action including discharge, without any previous warnings or suspensions. Though other forms of corrective action are also possible, these are the types most often taken.

## 1. Counseling:

When the supervisor becomes concerned about an employee's performance at work, he/she may meet with the employee to discuss concerns and develop ways to address the concerns. The supervisor shall document the conversation and forward the documentation to the Directory of Admissions and Ancillary Services for placement in the employee's personnel record.

# 2. <u>Notice of Need For Improvement:</u>

If the employee's performance does not improve after counseling or if circumstances otherwise warrant, it may be necessary to give a written warning to an employee which may include the following:

- Current level of performance and areas requiring improvement;
- Specific level of performance expected in each of the identified deficiencies;
- Time frame for improvement;
- Steps the supervisor will take to support improvement;
- Specified time for follow-up meeting; and
- Potential consequences if performance does not improve

The employee will read and sign the written warning. In signing, the employee acknowledges that she/he has read and understood the document. The signature does not imply agreement.

#### 3. Dismissal:

Notwithstanding anything set forth above, Gateway retains the right to dismiss an employee when this action is in the best interest of the organization, or its residents, without prior warning, counseling or other corrective action. Employees should remember that employment with Gateway is at-will. Both employee and the organization are free to terminate the employment relationship at any time and for any reason.

## B. Occasions for Corrective Action

Listed below are some of the kinds of behavior or performance that may lead to corrective action. It is, of course, not possible to list all of the kinds of problems that may occur in the work place, and other kinds of behavior or performance may also lead to corrective action.

- Unsatisfactory job performance;
- Excessive absenteeism or tardiness, or failure to contact supervisor about absence;
- Violation of Gateway procedures or rules;
- Falsification of Gateway documents, including time records;
- Breach of confidentiality;
- Conflict of interest;
- Supplying false or misleading information as a means of obtaining employment;
- Use of intoxicating liquor or drugs either during the work day or off the job in such a way that it interferes with work attendance or ability to work;
- Theft or willful damage of the property of the agency or other employees;
- Illegal activity involving agency resources or business, or that interferes with the employee's ability to perform their assigned duties;
- Refusal to perform work as directed or willful neglect of duties;
- Violent or abusive behavior or language;
- Unlawful harassment or other discrimination;

- Acceptance of any gifts, favors, other remuneration from any individual or firm having or proposing to have any relationship with Gateway;
- Neglect in providing care and services to a client; and
- Verbal, physical, or sexual abuse of other employees or any client.

### C. Reduction in Force

Because it is impossible to predict future events, the organization may face an unexpected need to reduce force. The decisions about force reduction will be based on the particular circumstances at the time.

## D. Voluntary Termination

Although an employee is free to terminate the employment relationship at any time and for any reason, employees voluntarily terminating their employment are expected to give at least two (2) weeks notice in writing.

If written notice is not given, the employee's supervisor should document the oral notice and include this in the personnel file.

# Section VII- Grievance Procedure

An employee is encouraged to make use of the following grievance procedure after she/he has made a good faith effort to approach the supervisor in an attempt to correct a perceived wrong.

Step 1: The employee shall present the initial grievance in writing to the immediate supervisor within ten (10) working days after the event or action which is the basis for the grievance. Within three (3) working days of receipt of the grievance, the immediate supervisor will arrange a meeting with the employee. Within three (3) working days of the meeting with the employee, the supervisor will provide the employee with a written response to the grievance. If the employee does not agree with the response, the employee may forward the grievance to the Executive Director within (3) working days of receipt of the supervisor's written response.

Step 2: Within three (3) working days of receipt of a grievance, the Executive Director will meet with the employee and the supervisor. Following this meeting the Executive Director will promptly provide a written response to the employee. If the employee does not agree with the response, the employee may forward the grievance to the Executive Committee within five (5) working days of receipt of the Executive Director's written response. (The Executive Director will supply the contact information to the employee.)

The Executive Committee will meet promptly to hear the employee's grievance. Under most circumstances, the meeting shall be within five (5) working days of receipt of the request for an appeal. The Executive Committee will promptly furnish its findings to the

Executive Director and the employee. The decision of the Executive Committee shall be final and binding.

If the employee feels intimidated or threatened by pursuing any of the steps in this grievance procedure, she/he is urged to bring this concern directly and immediately to the Executive Director.

Nothing in this section shall prohibit the employee from taking action with the EEOC or appropriate state agency.

# Section VIII- Affirmative Action Policy and Implementation

#### A. Affirmative Action Policy Statement:

Gateway recognizes the necessity of providing equal employment opportunity without regard to race, religion, color, sex, age, national origin, marital status, sexual orientation, disability, or veteran status. This practice of non-discrimination applies to all employees, volunteers and applicants for employment. The organization's activities in providing services to the community in recruiting, hiring, conditions and privileges of employment, compensation, training, upgrading and promotion, and terminations of employees will actively and aggressively promote this policy.

Gateway seeks to maintain a Board of Directors and staffing compliment representative of the community and open to all segments of the public.

# Section IX: Electronic Equipment Security

Gateway employees are advised that computers are not truly private because knowledgeable computer users may gain access to Gateway computers or computer transmissions. Employees should keep computer systems secure; this includes hard drives, discs, email, ccmail, and voice mail. Passwords for computers and voice mail that are Gateway property must be registered with the Manager of Benefits and Quality Improvement who will secure them in the administrative files. Employees may be liable for the replacement costs of Gateway's electronic equipment when such equipment is damaged, lost, or destroyed due to negligence on the part of the employee.

#### Email

The email system is the property of Gateway. Personal use by employees should be on a limited basis.

Gateway employees should refrain from sending, downloading, or forwarding discriminatory or otherwise offensive comments, vulgarities, obscenities, or jokes in email messages. The use of such language is grounds for disciplinary action or dismissal.

Employees are advised that email is not truly private and that knowledgeable computer users can gain access to Gateway's computer transmissions. Therefore, employees should not make confidential communications by email. An email message is never totally deleted and may be retrieved by computer experts long after the user deletes the message.

If Gateway becomes involved in an investigation, litigation or any other proceeding that may necessitate the review or production of Gateway records, the organization may, with or without notice, review email messages. Email messages to and from Gateway employees may be produced as evidence in litigation.

# Section X Use Of Gateway And Personal Vehicles:

Gateway company vehicles may only be used for authorized company business. The use of company vehicles is restricted to authorized drivers. Non-employees, including residents of Gateway, are not authorized to drive company vehicles at any time. Gateway will consider any unauthorized use of company vehicles as the equivalent of theft and the driver may be held liable for the consequences of any accidents.

Authorized drivers are determined at the time of their employment with Gateway and annually thereafter. Gateway will require the employee to provide proof of a valid Virginia driver's license and review of the Motor Vehicle Record. All approved employees will be asked to sign an "Employee Driver Agreement Form" and to maintain a valid Virginia Drivers License.

# Section XI Use Of Gateway Credit Cards:

Gateway credit cards may only be used for authorized purchases for company business.