

Corporate Compliance, Workforce Protection, and Safety Educational Materials

Clients are among our organization's most valuable assets. Every employee represents The Care Source to our clients and the public. The way we do our jobs presents an image of our entire organization. Clients judge all of us by how they are treated with each employee contact. Therefore, one of our first business priorities is to assist any existing or potential clients. Nothing is more important than being courteous, friendly, helpful, and prompt in the attention you give to clients.

Our personal contact with the public, our manners on the telephone, and the communications we send to clients are a reflection not only of ourselves, but also of the professionalism of The Care Source. Positive client relations not only enhance the public's perception or image of The Care Source, but also pay off in greater client loyalty and increased revenues.

The Care Source believes that the work conditions, wages, and benefits it offers to its employees are competitive with those offered by other employers in this area and in this industry. If employees have concerns about work conditions or compensation, they are strongly encouraged to voice these concerns openly and directly to their supervisors.

Our experience has shown that when employees deal openly and directly with supervisors, the work environment can be excellent, communications can be clear, and attitudes can be positive. We believe that The Care Source amply demonstrates its commitment to employees by responding effectively to employee concerns.

In order to provide equal employment and advancement opportunities to all individuals, employment decisions at The Care Source will be based on merit, qualifications, and abilities. The Care Source does not discriminate in employment opportunities or practices on the basis of race, color, religion, sex, national origin, age, or any other characteristic protected by law.

This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, and access to benefits and training.

Any employees with questions or concerns about any type of discrimination in the workplace are encouraged to bring these issues to the attention of their immediate supervisor or the Administration Office. Employees can raise concerns and make reports without fear of reprisal. Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment.

Business Ethics and Conduct

The successful business operation and reputation of The Care Source is built upon the principles of fair dealing and ethical conduct of our employees. Our reputation for integrity and excellence requires careful observance of the spirit and letter of all applicable laws and regulations, as well as a scrupulous regard for the highest standards of conduct and personal

integrity.

The continued success of Care Source is dependent upon our clients' trust and we are dedicated to preserving that trust. Employees owe a duty to The and its clients to act in a way that will merit the continued trust and confidence of the public.

Care Source will comply with all applicable laws and regulations and expects its employees to conduct business in accordance with the letter, spirit, and intent of all relevant laws and to refrain from any illegal, dishonest, or unethical conduct.

In general, the use of good judgment, based on high ethical principles, will guide you with respect to lines of acceptable conduct. If a situation arises where it is difficult to determine the proper course of action, the matter should be discussed openly with your immediate supervisor and, if necessary, with the owner for advice and consultation.

Compliance with this policy of business ethics and conduct is the responsibility of every employee of Care Source.

Employees have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. This policy establishes only the framework within which The Care Source wishes the business to operate. The purpose of these guidelines is to provide general direction such that employees can seek further clarification on issues related to the subject of acceptable standards of operation. Contact the Administration Office for more information or questions about conflicts of interest.

An actual or potential conflict of interest occurs when an employee is in a position to influence a decision that may result in a personal gain for that employee or for a relative as a result of The Care Source business dealings. For the purposes of this policy, a relative is any person who is related by blood or marriage, or whose relationship with the employee is similar to that of persons who are related by blood or marriage.

No "presumption of guilt" is created by the mere existence of a relationship with outside clients or senior care firms. However, if employees have any influence on transactions involving senior care agreements it is imperative that they disclose to an officer of The Care Source as soon as possible the existence of any actual or potential conflict of interest so that safeguards can be established to protect all parties.

Employees are specifically prohibited from making private arrangements with or provide care independently to any The Care Source client during their employment with The Care Source and for one year after leaving the employ of Care Source. Any violation of this policy will result in the employee's financial liability to The Care Source in the amount of 45% of any monies received from these clients.

The protection of confidential business information and trade secrets is vital to the interests and the success of Care Source. Such confidential information includes, but is not limited to, the following examples:

- pending services and proposals

- referral source lists
- compensation data
- computer processes
- computer programs and codes
- customer lists
- customer preferences
- financial information
- labor relations strategies
- marketing strategies

All employees may be required to sign a non-disclosure agreement as a condition of employment. Employees who improperly use or disclose trade secrets or confidential business information will be subject to disciplinary action, up to and including termination of employment and legal action, even if they do not actually benefit from the disclosed information.

Employment Categories

It is the intent of Care Source to clarify the definitions of employment classifications so that employees understand their employment status and benefit eligibility. These classifications do not guarantee employment for any specified period of time. Accordingly, the right to terminate the employment relationship at will at any time is retained by both the employee and Care Source.

Each employee is designated as either NONEXEMPT or EXEMPT from federal and state wage and hour laws.

NONEXEMPT employees are those employees who are paid on an hourly basis. They are entitled to overtime pay under the specific provisions of federal and state laws.

EXEMPT employees are those working as salaried employees usually in an administrative or management capacity. As such they are excluded from specific provisions of federal and state wage and hour laws.

An employee's EXEMPT or NONEXEMPT classification may be changed only upon written notification by Care Source management.

Employees will receive all legally mandated benefits such as workers' compensation insurance and Social Security.

Access to Personnel Files

The Care Source maintains a personnel file on each employee. The personnel file includes such information as the employee's job application, resume, records of training, documentation of performance appraisals and salary increases, and other employment records.

Personnel files are the property of The Care Source and access to the information they contain is restricted. Generally, only supervisors and management personnel of The Care Source who have a legitimate reason to review information in a file are allowed to do so.

With reasonable advance notice, employees may review their own personnel files in Care Source offices and in the presence of an individual appointed by Care Source to maintain the files.

Employment Reference Checks

To ensure that individuals who join Care Source are well qualified and have a strong potential to be productive and successful, it is the policy of Care Source to check the employment references of all applicants. Some positions require that Motor Vehicle record checks, TB tests and Criminal Record investigations be conducted if not done by a licensing body. Motor Vehicle records and TB tests will be provided by the employee and conducted at the employee's expense.

Care Source will respond to all reference check inquiries from other employers. Responses to such inquiries will be limited to factual information that can be substantiated by The Care Source records.

Personnel Data Changes

It is the responsibility of each employee to promptly notify Care Source of any changes in personnel data. Personal mailing addresses, telephone numbers, number, individuals to be contacted in the event of an emergency, educational accomplishments, and other such status reports should be accurate and current at all times. If any personnel data has changed, notify the Administration Office.

Introductory Period

The introductory period is intended to give new employees the opportunity to demonstrate their ability to achieve a satisfactory level of performance and to determine whether the new position meets their expectations. The Care Source uses this period to evaluate employee capabilities, work habits, and overall performance. Either the employee or The Care Source may end the employment relationship at will at any time during or after the introductory period, with or without cause or advance notice.

All new and rehired employees work on an introductory basis for the first 90 calendar days after their date of hire. Any significant absence will automatically extend an introductory period by the length of the absence. If The Care Source determines that the designated introductory period does not allow sufficient time to thoroughly evaluate the employee's performance, the introductory period may be extended for a specified period.

During the introductory period new employees are eligible for those benefits required by law including Workers Compensation Insurance and Social Security.

Upon satisfactory completion of the introductory period, employees enter the "regular" employment classification.

Performance Evaluation and Skills Assessment

Supervisors and employees are strongly encouraged to discuss job performance and goals on an informal, day-to-day basis. Additional formal performance evaluations are conducted to provide both supervisors and employees the opportunity to discuss job tasks, identify and correct weaknesses, encourage and recognize strengths, and discuss positive, purposeful approaches for meeting goals.

Performance evaluations are scheduled annually unless a Performance Improvement Plan (P.I.P.) is initiated by the supervisor. If a P.I.P is initiated, 30, 60 or 90-day performance evaluations will be conducted at the supervisor's discretion and determined by the nature of the performance problem.

Merit-based pay increases are awarded by The Care Source in an effort to recognize truly superior employee performance. The award of such increase is based upon numerous factors, at the company's discretion and includes information obtained from clients and other sources.

A skills assessment will be done on all new caregivers prior to the start of their services. An employee who met all the requirements of the CHHA course, the documentation of their skills assessment and their passing score will be retained in their employee file.

Performance Evaluation was revised to indicate that a skills assessment will be done by the RN on all caregivers every three years and at the time of employment, prior to assigning a case to the newly hired caregiver. A skill checklist was developed. The checklist will be retained in the employee's file. The skills assessments will be monitored bi-annually for all three year employees by the office staff. The new hire skills assessments will be monitored by the office staff prior to the new employee starting a case. Results of the monitoring will be reported to the Quality Assurance Committee.

Timekeeping

Accurately recording time worked is the responsibility of every non-exempt employee. Federal and state laws require The Care Source to keep an accurate record of time worked in order to calculate employee pay and benefits. Time worked is all the time actually spent on the job performing assigned duties.

Non-exempt employees should accurately record the time they begin and end their work, as well as the beginning and ending time of each meal period. They should also record the beginning and ending time of any split shift or departure from work for personal reasons. Overtime work must always be approved before it is performed.

Altering, falsifying, tampering with time records, or recording time on another employee's time record may result in disciplinary action, up to and including termination of employment.

It is the employees' responsibility to sign their time records to certify the accuracy of all time recorded. The supervisor will review and then initial the time record before submitting it for payroll processing.

Employment Termination

Termination of employment is an inevitable part of personnel activity within any organization, and many of the reasons for termination are routine. Below are examples of some of the most common circumstances under which employment is terminated:

- Resignation - voluntary employment termination initiated by an employee.
- Discharge - involuntary employment termination initiated by the organization.
- Layoff - involuntary employment termination initiated by the organization for non-disciplinary reasons.

The Care Source will generally schedule exit interviews at the time of employment termination. The exit interview will afford an opportunity to discuss such issues as employee benefits, conversion privileges, repayment of outstanding debts to The Care Source, or return of property owned by The Care Source. Suggestions, complaints, and questions can also be voiced.

Since employment with The Care Source is based on mutual consent, both the employee and The Care Source have the right to terminate employment at will, with or without cause, at any time. Employees will receive their final pay in accordance with applicable state law. Employee benefits will be affected by employment termination in the following manner. All accrued, vested benefits that are due and payable at termination will be paid. Some benefits may be continued at the employee's expense if the employee so chooses. The employee will be notified in writing of the benefits that may be continued and of the terms, conditions, and limitations of such continuance.

Safety

To assist in providing a safe and healthful work environment for employees, customers, and visitors, The Care Source has established a workplace safety program. This program is a top priority for The Care Source. The Administrative Office has responsibility for implementing, administering, monitoring, and evaluating the safety program. Its success depends on the alertness and personal commitment of all.

The Care Source provides information to employees about workplace safety and health issues through regular internal communication channels such as supervisor-employee meetings, bulletin board postings, memos, or other written communications.

Each employee is expected to obey safety rules and to exercise caution in all work activities. Employees must immediately report any unsafe condition to the appropriate supervisor. Employees who violate safety standards, who cause hazardous or dangerous situations, or

who fail to report or, where appropriate, remedy such situations, may be subject to disciplinary action, up to and including termination of employment.

In the case of accidents that result in injury, regardless of how insignificant the injury may appear, employees should immediately notify the Administrative Office or the appropriate supervisor. Such reports are necessary to comply with laws and initiate insurance and workers' compensation benefits procedures.

If a client is to stay at home in a safe environment there are many things to do to make it that way. Use the following checklist to make the home a safe place to live.

Throughout the home

- Electric cords are properly plugged in and safely tucked away
- Extension cords aren't overloaded
- Smoke and carbon monoxide detectors are present and have fresh batteries
- Electrical outlets aren't warm to the touch
- The home is well-lit – inside and outside
- Night lights are present in hallways, stairwells, bedrooms and bathrooms
- Electric heaters are placed away from curtains, rugs and furnishings
- Electric appliances are a safe distance from water
- Fireplace chimneys are clear of accumulation and checked yearly
- Light switches are present at the top and bottom of stairs
- Light switches are located near room entrances
- Stairwells are well-lit
- Stairways are free of objects
- Stair handrails are present and sturdy
- Stairs are marked for visibility with contrasting tape
- Steps are even and uniform in size and height
- Floors aren't slippery or highly polished
- Carpeting, linoleum and plastic stair treads are secure
- Carpets do not have holes or snags
- Carpet edges are securely fastened
- Water temperature is reduced to prevent scalding
- Water faucets are clearly marked hot and cold
- House smoking rules are established
- Rope ladders are available on upper levels
- Furnace is checked yearly
- Room furniture patterns permit easy access to doors and windows
- Rooms are free of floor clutter
- Stairs and pathways are free of objects
- Drawers, doors and windows open and shut easily
- Flashlights are available in every room
- Glow tape is stuck on key items to identify them in the dark
- Cleaners and poisons are clearly marked
- Step stools are sturdy

- Window and door locks are secure and operating
- Medications are properly stored and usage instructions are written down
- A first aid kit is available and contains up-to-date supplies.
- Ladders are available on upper levels
- Furnace is checked yearly

In the kitchen

- Dishes and food are stored on lower shelves
- Towels and curtains are kept away from the stove
- Lighting is sufficient over stove, sink and counter tops
- Radio and electric appliances are a safe distance from the sink
- "Off" indicators on stove and appliances are clearly marked with brightly colored tape
- A telephone is in the kitchen
- Emergency telephone numbers are displayed near the telephone and on the refrigerator
- A fire extinguisher is in easy reach and in working order
- Whistling teakettles and food timers are in use
- Food is properly stored in the freezer
- No expired food is in the refrigerator or cupboards
- Plastic, easy-open containers and dishes replace glassware
- Heavy pots or pans are replaced with lighter ones
- Pot holder mitts are available and used
- Refrigerator and stove are in good working order
- Sturdy step stools are available
- Pet dishes are tucked away from the walking path

In the bedroom

- Lamps and light switches are within reach of bed
- The electric blanket is in good working order
- The telephone is accessible from the bed
- An emergency telephone list is near the telephone
- A flashlight and whistle are near the bed
- Medications are stored away from the nightstand
- The bed is an appropriate height

In the bathroom

- Non-skid decals and rubber mats are available for the tub and shower
- Floor rugs are secure and won't skid
- Grab bars and handrails are next to the toilet, and in the tub and shower
- Handrails are secure
- Shower and tub stools are present
- There is telephone access in the bathroom

Home exterior

- Tools and yard equipment are safely and securely stored
- Solvents, paints and sprays are clearly marked

- Goggles are worn when using power equipment
- Stair rails are secure
- Walking paths are clear and safe, with no holes in concrete
- Leaves and snow are cleared away
- There is telephone access while outside

Use of Phone and Mail Systems

Personal use of telephones including cell phone usage, is discouraged while in the workplace. Employees should practice discretion when making personal calls and may be required to reimburse The Care Source for any charges resulting from their personal use of the telephone.

Use of a client's home phone should be restricted to client-specific, work-related issues or emergency personal use.

To ensure effective telephone communications, employees should always use the approved greeting and speak in a courteous and professional manner. Please confirm information received from the caller, and hang up only after the caller has done so.

The use of The Care Source paid postage for personal correspondence is not permitted.

Use of Equipment and Vehicles

Equipment and vehicles essential in accomplishing job duties are expensive and may be difficult to replace. When using property, employees are expected to exercise care, perform required maintenance, and follow all operating instructions, safety standards, and guidelines.

Please notify the supervisor if any equipment, machines, tools, or vehicles appear to be damaged, defective, or in need of repair. Prompt reporting of damages, defects, and the need for repairs could prevent deterioration of equipment and possible injury to employees or others. The supervisor can answer any questions about an employee's responsibility for maintenance and care of equipment or vehicles used on the job.

The improper, careless, negligent, destructive, or unsafe use or operation of equipment or vehicles, as well as excessive or avoidable traffic and parking violations, can result in disciplinary action, up to and including termination of employment.

In the course of performing care-giving duties a client may request the employee use the client's vehicle for errands and incidental transportation. Prior permission must be received from The Care Source. It is the employee's responsibility to review the client's vehicle registration and insurance card prior to vehicle usage. In addition, the employee **MUST** have current driver's license and personal auto insurance

Employee Conduct and Work Rules

To ensure orderly operations and provide the best possible work environment, The Senior's Choice expects employees to follow rules of conduct that will protect the interests and safety of all employees and the organization.

It is not possible to list all the forms of behavior that are considered unacceptable in the workplace. The following are examples of infractions of rules of conduct that may result in disciplinary action, up to and including termination of employment:

- Theft or inappropriate removal or possession of property
- Falsification of timekeeping records
- Working under the influence of alcohol or illegal drugs
- Possession, distribution, sale, transfer, or use of alcohol or illegal drugs in the workplace, while on duty, or while operating employer-owned vehicles or equipment
- Fighting or threatening violence in the workplace
- Boisterous or disruptive activity in the workplace
- Negligence or improper conduct leading to damage of employer's or customer's property
- Insubordination or other disrespectful conduct
- Violation of safety or health rules
- Smoking in prohibited areas
- Sexual or other unlawful or unwelcome harassment
 - Possession of dangerous or unauthorized materials, such as explosives or firearms, in the workplace
- Excessive absenteeism or any absence without notice
- Unauthorized absence from work station during the workday
- Unauthorized use of telephones, mail system, or other employer-owned equipment

Drug and Alcohol Use

It is The Care Source's desire to provide a drug-free, healthful, and safe workplace. To promote this goal, employees are required to report to work in appropriate mental and physical condition to perform their jobs in a satisfactory manner.

While on duty and conducting business-related activities, no employee may use, possess, distribute, sell, or be under the influence of alcohol or illegal drugs. The legal use of prescribed drugs is permitted on the job only if it does not impair an employee's ability to perform the essential functions of the job effectively and in a safe manner that does not endanger other individuals.

Violations of this policy may lead to disciplinary action, up to and including immediate termination of employment. Such violations may also have legal consequences.

Employment with The Care Source is at the mutual consent of The Care Source and the employee, and either party may terminate that relationship at any time, with or without cause, and with or without advance notice.

the client's vehicle, the employee will decline its usage and is report that concern to the Administration Office.

Sexual and Other Unlawful Harassment

The Care Source is committed to providing a work environment that is free from all forms of discrimination and conduct that can be considered harassing, coercive, or disruptive, including sexual harassment. Actions, words, jokes, or comments based on an individual's sex, race, color, national origin, age, religion, disability, sexual orientation, or any other legally protected characteristic will not be tolerated.

Sexual harassment is defined as unwanted sexual advances, or visual, verbal, or physical conduct of a sexual nature. This definition includes many forms of offensive behavior and includes gender-based harassment of a person of the same sex as the harasser. The following is a partial list of sexual harassment examples:

Unwanted sexual advances.

Offering employment benefits in exchange for sexual favors.

Making or threatening reprisals after a negative response to sexual advances.

Visual conduct that includes leering, making sexual gestures, or displaying of sexually suggestive objects or pictures, cartoons or posters.

Verbal conduct that includes making or using derogatory comments, epithets, slurs, or jokes.

Verbal sexual advances or propositions.

Verbal abuse of a sexual nature, graphic verbal commentaries about an individual's body, sexually degrading words used to describe an individual, or suggestive or obscene letters, notes, or invitations.

Physical conduct that includes touching, assaulting, or impeding or blocking movements.

Unwelcome sexual advances (either verbal or physical), requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when: (1) submission to such conduct is made either explicitly or implicitly a term or condition of employment; (2) submission or rejection of the conduct is used as a basis for making employment decisions; or, (3) the conduct has the purpose or effect of interfering with work performance or creating an intimidating, hostile, or offensive work environment.

If you experience or witness sexual or other unlawful harassment in the workplace, report it immediately to your supervisor. If the supervisor is unavailable or you believe it would be inappropriate to contact that person, you should immediately report it. All allegations of sexual harassment will be quickly and discreetly investigated. To the extent possible, your confidentiality and that of any witnesses and the alleged harasser will be protected against unnecessary disclosure. When the investigation is completed, you will be informed of the outcome of the investigation.

Any employee who becomes aware of possible sexual or other unlawful harassment must immediately advise the Administration Office or any member of management so it can be investigated in a timely and confidential manner. Anyone engaging in sexual or other unlawful harassment will be subject to disciplinary action, up to and including termination of employment.

You may also contact the Administration Office or any other member of management. You can raise concerns and make reports without fear of reprisal or retaliation.

Attendance and Punctuality

To maintain a safe and productive work environment, The Care Source expects employees to be reliable and to be punctual in reporting for scheduled work. Absenteeism and tardiness place a burden on our clients, other employees and on The Care Source. In the rare instances when employees cannot avoid being late to work or are unable to work as scheduled, they should notify their supervisor as soon as possible in advance of the anticipated tardiness or absence.

Poor attendance and excessive tardiness are disruptive. Either may lead to disciplinary action, up to and including termination of employment.

Personal Appearance

Dress, grooming, and personal cleanliness standards contribute to the morale of all employees and affect the business image The Care Source presents to clients and visitors.

During business hours or when representing The Care Source, you are expected to present a clean, neat, and tasteful appearance. You should dress and groom yourself according to the requirements of your position and accepted social standards. This is particularly true if your job involves dealing with clients or visitors in person.

Your supervisor is responsible for establishing a reasonable dress code appropriate to the job you perform. If your supervisor feels your personal appearance is inappropriate, you may be asked to leave the workplace until you are properly dressed or groomed. Under such circumstance, you will not be compensated for the time away from work. Consult your supervisor if you have questions as to what constitutes appropriate appearance. Where necessary, reasonable accommodation may be made to a person with a disability.

Without unduly restricting individual tastes, the following personal appearance guidelines should be followed:

Shoes must provide safe, secure footing, and offer protection against hazards.

Tank tops, tube or halter tops, t-shirts, blue jeans or shorts may not be worn under any circumstances.

Mustaches and beards must be clean, well trimmed, and neat.

Unnaturally colored hair and extreme hairstyles, such as spiked hair and shaved heads, do not present an appropriate professional appearance.

Long hairstyles should be worn with hair pulled back off the face and neck to avoid interfering with job performance.

Excessive makeup is not permitted.

Offensive body odor and poor personal hygiene are not professionally acceptable.

Perfume, cologne, and aftershave lotion should be used moderately or avoided altogether, as some individuals may be sensitive to strong fragrances.

Jewelry should not be functionally restrictive, dangerous to job performance, or excessive.

Facial jewelry, such as eyebrow rings, nose rings, lip rings, and tongue studs, is not professionally appropriate and must not be worn during business hours.

Torso body piercing with visible jewelry or jewelry that can be seen

se his/her own vehicle for incidental transport on the client's behalf providing the employee has proven full and current license and insurance coverage to the Administration Office prior to that service.