



Caretech, Inc.

*"Helping people remain in their own home."
Serving Iowa and Nebraska*

**PERSONNEL POLICY MANUAL AND EMPLOYEE HANDBOOK
Approved by Board of Directors July 2013
CONFIDENTIAL MATERIALS**

THIS HANDBOOK IS THE PROPERTY OF CARETECH, INC. IT CONTAINS CONFIDENTIAL AND PROPRIETARY INFORMATION. IT MAY NOT BE DUPLICATED, ENTERED INTO COMPUTER OR DATA STORAGE SYSTEMS OR USED IN ANY MANNER WITHOUT THE EXPRESS WRITTEN CONSENT OF CARETECH, INC. AND MUST BE RETURNED TO CARETECH, INC. WHEN THE EMPLOYEE SEPARATES EMPLOYMENT.

THIS HANDBOOK, WITH ITS MANAGERIAL GUIDELINES AND POLICIES, DOES NOT FORM A CONTRACT AND SUPERCEDES ALL PREVIOUS MATERIALS AND HANDBOOKS AND ALL OTHER INCONSISTENT EMPLOYMENT-RELATED MATERIALS, PRACTICES, PROCEDURES, REPRESENTATIONS OR TERMS AND CONDITIONS OF EMPLOYMENT WITH CARETECH, INC., WHETHER VERBAL OR WRITTEN, ALL OF WHICH ARE HEREBY REVOKED AND/OR RESCINDED.



INTRODUCTION

Welcome

Welcome to Caretech, Inc.! We are glad that you have joined our team and hope your employment is successful and enjoyable. At Caretech, our greatest assets are our employees. All of our successes are due to the efforts of each and every employee. No matter what position or what department in which you work, everyone makes a difference. Ultimately, this is our Company; take pride in the services we provide and in the role you play in ensuring quality and customer satisfaction. Together, we can accomplish our goals and achieve future success.

Again, welcome to Caretech!

About Caretech

Today, people are choosing to stay at home much longer with assistance from caregivers. Caretech provides caregivers to seniors and disabled individuals who need non-medical assistance to remain at home. This method of care is usually a fraction of the cost of living in a facility and allows the person to stay where they are comfortable and familiar.

Caretech, founded in 1999, is a family owned and managed organization dedicated to quality care and understanding of clients' needs. As an employee, you are now a part of the Caretech family.

Important Information About This Handbook

The Caretech Personnel Policy Manual and Employee Handbook has been prepared to acquaint you with your responsibilities as an Employee. The Handbook provides an overview of some of the benefits and privileges you may enjoy. It is the responsibility of each person to become familiar with the important information contained in this Handbook. This edition of the Handbook supersedes all previous editions.

This Handbook is presented to you as a matter of information only. This Handbook is not intended to create a contract of employment between any Employee and Caretech and does not alter the at-will employment relationship. The material in this Handbook is not a complete statement of the benefits provided by Caretech or of the Company's Human Resources policies or practices. Caretech reserves the right to modify or discontinue policies and practices at any time, with or without notice to Employees, as business conditions and the Company's needs change.

An Employee has the right to terminate his/her employment at any time and for any reason, and Caretech retains a similar right. Neither this Handbook nor any other communication by any Caretech representative should be construed to change this relationship.

Clients/consumers/patients are all considered the same when referenced within this handbook. Furthermore, employees, caregivers and staff are also considered the same when referenced herein unless otherwise noted.

Caretech, Inc.'s Mission and Motto

Caretech's mission is to support our customer's independent lifestyle and encourage a friendly, safe, healthy, and comfortable living environment. Caretech helps seniors and disabled individuals maintain their independence through supportive, non-medical services. Caretech prides itself in offering "Excellence in Helping Others Live Independently." Our service options

are flexible and we strive to tailor the services we provide to each individual client's specific needs.

References to Management, Staff, and Clients

References to *Caretech* management or management refer to the President/CEO or the Operations Director who may act in place of the CEO. For purposes of reporting absences or emergencies, *Caretech* management includes office personnel. Furthermore, references to Home Care/Chore Specialists (field staff) in the policies may also be referred to as caregivers, employees, workers, or staff. Clients may also be referred to as consumers or members. Office staff are held to the same policy standards as caregivers.

EMPLOYMENT POLICIES

At Will Employment

Unless an Employee has entered into a written employment agreement with *Caretech*, all employment with *Caretech* is voluntarily entered into and Employees are free to resign at-will at any time, with or without cause. Similarly, *Caretech* may terminate the employment relationship at-will at any time, with or without notice or cause, so long as there is no violation of applicable federal or state law.

Policies set forth in *Caretech's* Employee Handbook are not intended to create a contract, nor are they to be construed to constitute contractual obligations of any kind or a contract of employment between *Caretech* and any of its Employees. The provisions of the Employee Handbook have been developed at the discretion of management and, except for its policy of employment-at-will, may be amended or canceled at any time, at *Caretech's* sole discretion.

Except for those Employees who have written employment contracts with *Caretech*, all Employees are required to sign an Employee Acknowledgment form. Execution of the Employee Acknowledgment form is a mandatory condition of employment by *Caretech* and is not negotiable. All prospective Employees are required to sign the "Employee Acknowledgement Form" (last page of this document) within a reasonable time after accepting employment with *Caretech*. A reasonable time is typically not greater than two weeks.

Open Door Policy

In order to achieve a cooperative work environment, *Caretech* has an open door policy. Every Employee has the right to approach any member of management about a problem, complaint, suggestion, or concern about your job, working conditions, policies, and procedures without fear of retaliation. This includes an Employee's concerns or complaints regarding equal opportunity or sexual harassment. Employees are encouraged to discuss issues with their immediate supervisor/manager first, allowing them a reasonable time to respond, before escalating issues through the chain of command. If there is no response or an unsatisfactory response from your supervisor/manager, or if the concern is directly related to your supervisor/manager, you may then bring the concern to Human Resources or upper management.

Equal Opportunity Statement

Caretech treats all persons equally, regardless of race, color, sex, religion, pregnancy, national origin, age, creed, military status, sexual orientation, disability, genetics, gender identity, or any other characteristic protected by federal or state law. This policy extends to all persons and to all aspects of the employment relationship, including selection, job assignment, compensation, pay differentials, discipline, termination and access to benefits and training. *Caretech* seeks to



employ individuals for available positions who are qualified on the basis of merit and ability alone.

In addition, this policy of equal opportunities applies to all terms and conditions of employment. This includes, but is not limited to, hiring, placement, promotion, disciplinary action, termination, layoff, recall, transfer, benefits, leave of absence, compensation, and training.

As part of Caretech's policy to insure fair and equal treatment for each Employee, any Employee who has a question about equal employment opportunity matters or who believes that he or she has been treated in a discriminatory manner should contact his/her supervisor/manager, who will then work to resolve and investigate any perceived employment discrimination issue. In the event the Employee is uncomfortable discussing the matter with his or her superior, the Employee may speak to upper management.

Anyone found to be engaging in any type of unlawful discrimination will be subject to disciplinary action, up to and including termination of employment. Caretech prohibits any form of retaliation against any Employee for filing a bona fide complaint under this policy or for assisting in a complaint investigation. However, if, after investigating any complaint of unlawful discrimination, it is determined that the complaint is not bona fide or that an Employee has provided false information regarding the complaint, disciplinary action may be taken against the individual who filed the complaint or who gave the false information.

Americans with Disabilities Act

It is Caretech's policy that we will not discriminate against qualified individuals with disabilities with regard to any aspect of their employment. Caretech is committed to complying with the Americans with Disabilities Act of 1990. Caretech recognizes that some individuals with disabilities may require accommodations at work. If you are currently disabled or become disabled during your employment, you should contact your manager to discuss reasonable accommodations that may enable you to perform the essential functions of your job. At the same time, however, Caretech cannot control its clients' environments. This means clients may smoke, own animals or have mold or other allergens present in their homes. By accepting employment with Caretech, caregivers represent and agree that they are able to work in these conditions and will accept employment under such conditions. It is imperative to Caretech's business that caregivers accept all available clients at the time the Caregiver is hired or in need of more hours. Any Caregiver who, for medical reasons, cannot work in such an environment cannot perform the essential functions of a Caregiver's position with or without accommodation.

Harassment

Caretech is committed to providing a work environment that is free of discrimination and unlawful harassment, including sexual harassment. Caretech expressly prohibits any form of unlawful Employee harassment based on race, color, sex, religion, pregnancy, national origin, age, creed, military status, sexual orientation, disability, genetics, gender identity, or any other characteristic protected by federal or state law. Improper interference with the ability of our Employees to perform their expected job duties is not tolerated.

Sexual harassment is a form of Employee conduct that is intimidating, coercive or demeaning to another person, undermines the integrity of the employment relationship and is strictly prohibited. With respect to sexual harassment, Caretech prohibits the following:



- A. Unwelcome sexual advances; requests for sexual favors; and all other verbal or physical conduct of a sexual or otherwise offensive nature, especially where:
 - 1. Submission to such conduct is made either explicitly or implicitly a term or condition of employment;
 - 2. Submission to or rejection of such conduct is used as the basis for decisions affecting an individual's employment; or
 - 3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

- B. Offensive comments, jokes, innuendos and other sexually-oriented statements.

All Employees are responsible for respecting the rights of their coworkers and conducting themselves in a businesslike manner. Any behavior or action which is unduly coercive, intimidating, harassing or sexual in nature is inappropriate and prohibited. In addition to all Caretech Employees, this guideline applies to all business or related interactions between Caretech Employees, including supervisor/managers, managers, customers, vendors, visitors, etc. Employees are urged to exercise common sense and respect for individuals in the exercise of this policy. Incidents of harassment may be subjective in nature and what is deemed acceptable by some persons in the workplace may be highly offensive to others.

Each member of management is responsible for creating an atmosphere free of discrimination and harassment, sexual or otherwise and should administer employment practices in a manner consistent with this policy. Supervisor/managers and managers are encouraged to confer with Human Resources or upper management when appropriate to ensure that the intent of this policy is carried out.

Employees who experience or observe any job-related harassment or who believe that they have been treated in an unlawful, discriminatory manner should promptly report the incident to their supervisor/manager in writing. If the supervisor/manager is unavailable or if the Employee is not comfortable discussing the matter with the supervisor/manager, the Employee may bypass the supervisor/manager and report it directly to Human Resources or upper management, again in writing. In addition, Employees who believe they are being subjected to such inappropriate behavior are encouraged to advise the offender that the behavior is unwelcome and request that it immediately cease.

When a supervisor/manager becomes aware of an incident of harassment, the matter must immediately be reported to his or her superior or Human Resources. It is necessary to receive a written or formal complaint. Immediately upon receiving a complaint or being informed of a concern of sexual harassment, or other harassment in the workplace, the matter will be investigated.

Caretech prohibits any form of retaliation against any Employee for filing a bona fide complaint under this policy or for assisting in a complaint investigation. An Employee who believes that he/she has been subjected to any form of retaliation should promptly bring the matter to the Employee's immediate supervisor/manager. If the supervisor/manager is unavailable or if the Employee is not comfortable discussing the matter with the supervisor/manager, the Employee may bypass the supervisor/manager and report it in writing directly to Human Resources or upper management. Any Employee found to have engaged in retaliatory behavior will be



subject to disciplinary action, up to and including termination of employment. However, if, after investigating any complaint of harassment, unlawful discrimination or retaliation, it is determined that the complaint is not bona fide or that an Employee has provided false or misleading information regarding the complaint, disciplinary action may be taken against the individual who filed the complaint or who gave the false or misleading information.

Other Grievances

Grievances regarding Company policies or procedures not previously covered above should be presented to the immediate supervisor/manager within five business days of the action/event. Failure to do this within the time deadline may result in the loss to continue this complaint/grievance. (If the complaint/grievance is directed at the immediate supervisor/manager, the complaint/grievance should be brought before the management.)

The complaint/grievance may be in writing and clearly entitled "Formal Grievance," but a typed complaint is preferred and should contain a full statement of the following:

- A. Time and place of incident or complaint.
- B. The specific nature of the complaint/ grievance.
- C. The Employee's version of the facts.
- D. Names of witnesses who have direct knowledge of circumstances of the complaint/ grievance and a phone number and time that these witnesses can be contacted during normal business hours.
- E. The result desired.

The Employee must discuss the complaint/grievance with the immediate supervisor/manager/ manager (or if appropriate, the management) at a time and place mutually agreed upon. If warranted, an investigation may be conducted, but is not always required in the case of grievances brought forward under this section.

Investigations

Investigations into Employee complaints and incidents, including alleged Equal Employment Opportunity (EEO) discrimination and harassment complaints, may include private discussions with the complaining party, the alleged harasser and any witnesses or others with information or knowledge of the matter. The investigator may also conduct a review of files and other tangible evidence, and should be given all necessary access privileges for this purpose. The investigator will make every reasonable attempt to rationally and objectively resolve any questions or credibility between the complaining and accused Employees. Whether a particular action or incident constitutes harassment or other inappropriate conduct requires consideration of all the facts and surrounding circumstances. The investigation may include any other lawful methods deemed pertinent by the investigator. In addition, Caretech may take immediate steps, at its discretion, to protect the complainant and Employee's pending completion of an investigation.

Report

After completing the investigation, the supervisor/manager will prepare a written report summarizing the problem, the discussion with the Employee, the supervisor/manager's conclusion if the complaint/grievance is justified, and the disposition of the matter. The supervisor/manager will consider the facts and circumstances and will take such corrective action as is deemed appropriate. Such action may include disciplinary action against the



offending individual, including but not limited to counseling, verbal and/or written warnings, suspension, transfer, demotion and/or termination from employment.

Copies of the report prepared by the reviewing supervisor/manager are to be forwarded to the employee and to the employee's immediate supervisor/manager (if appropriate).

Appeals

If the complaint/grievance is not resolved to the Employee's satisfaction by the supervisor/manager as specified in Section 1 above, then the Employee may request in writing a hearing with the Caretech, Inc. Personnel Committee. This must be done within five business days of the immediate supervisor/manager's decision. The decision of Caretech, Inc. Personnel Committee is final.

Appeals and Grievance policies are distributed annually to clients and employees.

Employment Eligibility Verification

Caretech does not and will not unlawfully discriminate on the basis of citizenship or national origin. However, Caretech is committed to employing only United States citizens and aliens who are authorized to work in the United States. In compliance with the Immigration Reform and Control Act of 1986 and the Illegal Immigration Reform and Immigrant Responsibility Act of 1996, each new Employee, as a condition of his or her employment, must complete the Employment Eligibility Verification Form I-9 and present the requisite documentation establishing their identity and employment eligibility. In accordance with federal law, documentation must be provided to Caretech or Caretech's authorized representative within three (3) days of an individual's first day of employment. This information will be recorded on the most recent version of the Form I-9 and retained, in confidence, in the Employee's personnel file. Caretech will be unable to continue employment for anyone who cannot verify his or her eligibility as required. The Form I-9 is available in English and Spanish. Any Employee may request to use the Spanish version of the Form I-9 as a translation guide, but under current federal laws, must complete the English version for the employer's records. Employees may also use or ask for a translator/preparer to assist them in completing the form.

Background Checks

Prior to offering employment to an applicant, background checks will be completed for statewide criminal history; state registry for adult abuse and neglect; Office of Inspector General; S.A.M.; sexual offender's registry; and state department of motor vehicles. Previous employer verification and personal references may be requested. Compliance with these provisions by signing the required releases is a condition of employment with Caretech due to the nature of the industry in which we are involved. Background checks required by state law may be repeated annually; Employees must remain in good standing with such laws to continue employment with Caretech, Inc. and compliance with these procedures and policies is a condition of continued employment.

Identity and Medical Identity Theft

All Caretech employees are expected to comply with the set of regulations issued by the Federal Trade Commission rule called the Red Flags Rules. These rules are designed to take steps to prevent and mitigate identity and medical identity theft. As such, all Caretech employees must report any suspicion of such activity to the Caretech President/CEO or



Operations Manager. All employees must abide by the laws and any employee involvement in stealing a client's identity or health identity or aiding another individual in such activities will be dismissed from employment with *Caretech* immediately and law enforcement will be informed.

Employment Classifications

Each staff position is defined by a written job description, which defines job responsibilities, education, training, and experience requirements. Job descriptions may be revised, from time to time, by *Caretech's* management to meet the changing needs of clients and contractors. Generally, the two following categories are used to describe *Caretech's* Employees and the following general guidelines apply:

Office Employees

Description: Office Employees are those Employees who are employed on a full-time basis for 40 hours per week and primarily perform their duties in *Caretech's* business office.

Duties: Office employees are generally responsible for performing clerical duties associated with the conduct and smooth running of *Caretech's* business and direct program operations. However, office employees are expected to fill-in for field employees, caregivers, when the need arises or perform other such reasonable duties as requested by the management from time to time based on the needs of the Company.

Home Care/Chore Specialist Employees (Caregivers)

Description: Home Care/Chore Specialist Employees are those Employees who are primarily responsible for providing services to clientele of *Caretech*. Home Care/Chore Specialist Employees primarily render non-medical care services to the elderly and disabled adults and are the face of the Company. Services include general household activities enabling the client(s) to maintain a healthy and safe environment. Home Care/Chore Specialist Employees include all field staff and non-office employees.

Duties: Caregivers' duties include, but are not limited to, assisting clients with homemaking, companionship, chores, errands, personal care and doctors' appointments.

Location: *Caretech, Inc.* clients are located in their own home or apartment which requires that caregivers travel to provide care. *Caretech* tries to locate clients close to a caregiver's home, but cannot guarantee that clients will be close to caregiver's homes. Employee agrees to accept clients within a 25 mile radius of their home. In addition, *Caretech* cannot control its clients' environments. This means clients may smoke, own animals or have mold or other allergens present in their homes. By accepting employment with *Caretech*, caregivers represent and agree that they are able to work in these conditions and will accept employment under such conditions. It is imperative to *Caretech's* business that caregivers accept all available clients at the time the Caregiver is hired or in need of more hours. Any Caregiver who, for medical reasons, cannot work in such an environment cannot perform the essential functions of a Caregiver's position. The failure to accept a client based on the caregivers' perceived distaste for such environmental conditions shall constitute misconduct



and be grounds for immediate termination. Furthermore, caregivers must immediately deny or accept positions once asked. Failure to immediately accept available work constitutes denial of available work. Caregivers must also own a working vehicle to get back and forth to work and for client errands.

Exempt and Non-Exempt Employees: In addition to the above categories, employees are classified as either exempt or non-exempt. Exempt employees are not entitled to overtime or compensatory time and are excluded from the specific provisions of federal and state wage and hour laws. Non-Exempt employees are entitled to overtime pay or compensatory time under the specific provisions of federal and state wage and hour laws.

Mandatory Reporting Requirements: Caretech staff serve both children and adults. All employees are required to immediately and promptly report any suspected child and adult abuse or neglect to the employee's supervisor/manager and adult protective services or child protective services. Also, caregivers are required, in Iowa only, to report any and all suspected abuse to the abuse hotline at 1-800-362-2178. Abuse is defined as involving physical harm or exploitation of an adult or child. In addition, any changes in the client's health and behavior should be immediately communicated to the Employee's supervisor/manager. Appropriate training is required. See below for training requirements.

Rights Restrictions/Restraints and Behavioral: Caretech does not restrict, restrain, or modify behaviors of consumers. Should a caregiver become concerned about a consumer's actions, the caregiver should call the Caretech Office and speak with the Operations Coordinator or Director, to discuss the concerns. The consumer's case manager will be contacted to address the matters.

Additional Responsibilities: Home Care/Chore Specialist Employees, as a condition of their employment, are required to attend all training workshops. In addition, Home Care/Chore Specialist Employees are responsible for timely completing activity and time sheet reports and service records (as defined within this manual).

Based on State rules, Caretech caregivers may be required to attend or complete mandatory trainings. These trainings are required by law in order to maintain Caretech's State contracts. When required, caregivers must complete these mandatory trainings in order to continue employment. If a caregiver is unable to complete mandatory trainings, this will constitute misconduct that may result in disciplinary action up to and including termination. Mandatory trainings include, but are not limited to:

Children's Mental Health Mandatory Trainings ("CMH"): Orientation, Four Month, First Year, and Annual Training hours are required by State Law. Caregivers providing CMH care must adhere to the training standards as directed by Caretech administration. Caregivers providing CMH care are required to attend all mandatory trainings (details of training are located on page 42).

Brain Injury Training ("BI"): Training must be met prior to providing services to BI waiver consumers. Training includes, but is not limited to, a description of Brain Injuries, overview of approved training packet and viewing of Pieces of the Puzzle (DVD)



Mandatory Reporting Training: Approved training must be completed within the first 6 months of employment and then every 5 years thereafter. Iowa Code 235B.16 must be followed for Iowa caregivers. Caretech has certified, approved, training for Iowa caregivers which must be completed as stated to continue employment.

General Caregiver Training: Caregivers are required to have the following trainings within the first 90 days of employment: Introduction to Services – history, philosophy, and service description, consumer rights, right restrictions and limitations, consumer rights, and confidentiality need to be reviewed annually. Caregivers do not administer medications and, therefore, are not trained to do so. Service documentation training will be on-going as office staff review caregiver documentation each pay period.

Personnel Files and Records

The Company maintains a personnel file on each employee, which will include the date of hire and other required information. Specifically, Caretech's President/CEO is responsible for maintaining individual personnel files. Personnel files are the property of Caretech, and access to the information they contain is restricted to Company officials and representatives of the Company who have a legitimate reason to review information in a file. An Employee who wishes to review his/her file should contact Caretech's President/CEO in writing and within a reasonable time, a meeting will be set to review the personnel file. Any review will take place in the presence of the President/CEO or designated Human Resource person.

Annual Review

Job performance evaluations shall generally be conducted annually based on the Employee's date of hire. Evaluations may be verbal or written.

Employee Non-Compete Agreement

A. Restricted Period. In consideration of employment with Caretech, Employee agrees that for a period of one (1) year after termination of employment with Caretech, for any reason, whether voluntary or involuntary, Employee shall not, directly or indirectly, either on behalf of Employee or any other person, firm, or entity, solicit or perform work for any customer of Caretech, with whom Employee had personal contact and actually did business at any time during the two (2) year period immediately preceding Employee's termination of employment with Caretech, for the purpose of obtaining the business of such customer in competition with Caretech.

B. Damages. If Employee engages in conduct in violation of this Agreement, Caretech is entitled to recover from Employee all fees, compensation, bonuses, and other remuneration earned by the Employee as a result of and during the Employee's breach of the agreement. It is further agreed that if the Employee violates the terms of this Agreement, money damages will be insufficient to compensate Caretech. Therefore, Caretech will be entitled to seek injunctive relief. In addition or in the alternative, Caretech may seek any other legal or equitable remedies against the Employee that are available. The parties agree that this provision does not represent a penalty. Regardless of the remedy or damages being pursued, Caretech is also entitled to recover its reasonable attorney's fees and costs incurred in enforcing this agreement and pursuing its remedies and/or damages hereunder.



C. Savings Clause. If any term or provision of this Agreement is held invalid or unenforceable to any extent, the remaining terms and provisions of this Agreement shall not be affected thereby, but each term and provision of this Agreement shall be valid and enforced to the fullest extent permitted by law.

Attendance Policy

Daily attendance of each Employee is essential to the successful operation of Caretech. Employees who are not present for scheduled work cause unnecessary hardships for their co-workers and create costly rescheduling to meet our customer demands. Every Employee is responsible for reporting promptly and being fully prepared for all scheduled work.

Caretech recognizes that some Employees are not able to report for all of their scheduled hours. This policy is to provide guidelines to ensure that all Employees are treated fairly and consistently regarding attendance. It is recognized that exceptional circumstances may arise. Caretech reserves the right to make exceptions to this policy based on the circumstances of an individual case. Any exception due to individual circumstances will be made by the President/CEO of Caretech.

Non-Protected Leave Procedure

Non-protected leave includes all absences outside of leave protected under Federal and State laws, specifically leave that is not covered under the FMLA or USERRA. Employees are expected to be at their work station in a fit condition and ready to work at starting time. Work activity should commence at starting times and continue until the normal designated stopping times for breaks, lunch, or the end of work. Employees are expected to be at their work stations on time. Tardiness is defined as being at your work past your scheduled starting time. You should also notify the appropriate person when you know you may be late for work. Being on time makes it easier for all of us because tardiness hinders teamwork among Employees. Being tardy for work or leaving the job station before quitting time will be considered cause for corrective action.

Probationary Period Policy

New Employees or Employees who are rehired who request or have one(1) or more unexcused absences from work within the first ninety (90) days of employment may be dismissed from employment with Caretech immediately.

Absences

A. Excused Absences: An Employee's absence will be considered excused if covered by policy and the Employee provides proper notice deemed satisfactory to the Caretech management. Timely notification means calling in to the Caretech office on the day of absence or providing advance notice for absences which can be anticipated. In the event of absence or tardiness from an assigned work schedule, the Employee is required to provide "proper notice" to the Company.

B. Proper Notice Defined:

1. Unanticipated absences: When reporting an unscheduled absence, the Employee must telephone the office not later than 60 minutes before the Employee's scheduled start time. Telephone calls made outside of this parameter will not be considered proper notice. Employees must have a doctor's note if they are absent for illness two days or more within 30 days. The note must be received by 5:00PM, Central Time Zone, on day following the second



missed illness day. If the note is not received by the Caretech Office by 5:00PM on the day following the second illness day, then the absence is considered misconduct and is grounds for disciplinary action up to employment termination.

2. Absences that Can Be Anticipated: If an Employee's absence can reasonably be anticipated, the Employee must provide advance notice, at least one week/seven (7) days prior to the absence, to the Caretech management. Failure to provide advance notice of an anticipated absence will not be considered proper notice.

C. Unexcused Absence: An Employee's absence will be deemed unexcused when an Employee fails to call in to the Caretech office, fails to provide proper notice as defined above, fails to give advance notice for an absence which could be anticipated or exceeds the number of length of absences as defined by policy or authorized in advance by Caretech management. Unexcused absentees are subject to corrective discipline or termination.

D. Excessive Absenteeism: Due to the critical nature of the services Caretech provides, excessive absenteeism cannot and will not be tolerated. Our clients depend on our ability to provide professional and reliable services. Clients rely on their caregivers and in turn, Caretech's business needs demand reliability from its caregivers as well. Excessive absenteeism encompasses the following situations:

1. Two or more instances of unexcused absences in a 60-day period.
2. Three or more consecutive instances of non-protected excused absences in a 60-day period.
3. Two or more instances of lateness or leaving early from work in a 60-day period.

Such excessive absenteeism is considered misconduct and subject to corrective discipline, including termination of employment.

E. Other absences: Pre-scheduled medical/professional appointments (lawyers, clergy, counselors, etc.) or other compelling reasons, with prior Caretech management approval, at least one week/7 days prior to the absence, may also be considered as excused absences.

F. Job Abandonment: Based on Caretech's State contracts, it is imperative that Employees show for work, or give reasoning why they missed work. If Employees do not show for work and do not communicate with the office as to the reason they missed work, Caretech must reassign clients immediately, or risk losing clients and Caretech State contracts. In the event an Employee is absent for one or more days without prior notice or approval, and Caretech staff cannot reach the Employee via telephone within 24 hours for an explanation, such absence is viewed as job abandonment. The Employee is then separated from employment as a voluntary quit.

G. Early Leaving: An Employee's request to leave work early may be considered by Caretech management. Approval of such absences should be based upon the urgency of the reason for absence and department staffing needs. As a general guide, early leaving should not exceed one instance per month or five instances in a calendar year. Approval must be given before the Employee leaves early.



Weather-Related Attendance

Caretech encourages Employees to make a responsible decision as to their ability to travel to work safely. However, Caretech must continue to operate during periods of bad weather. Thus, the need for Employees to be on the job during such emergencies is of paramount importance. You are expected to make every effort to report for work. If you do not report for work when scheduled during a weather emergency, you will be considered absent.

Family and Medical Leave Act (FMLA)

The Family and Medical Leave Act (FMLA) provides eligible Employees with up to 12 workweeks of unpaid leave for certain family and medical reasons during a 12-month period. During this leave, an eligible Employee is entitled to continued group health plan coverage, if such health coverage was previously available to that Employee, as if the Employee had continued to work.

A. Eligibility

In order to qualify for a leave under this policy, Employees must meet all of the following conditions:

1. You must have worked for Caretech at least twelve months, either consecutively or non-consecutively.
2. You must have worked at least 1,250 hours during the twelve (12) month period immediately before the date when the leave would begin.

B. Types of Leaves Covered

In order to qualify as a Family and Medical Leave Act leave under this policy, you must be requesting a leave for one of the following reasons:

1. The birth of a child or in order to care for that child;
2. The placement of a child for adoption or foster care;
3. To care for a spouse, child or parent with a serious health condition; or
4. The serious health condition of yourself.

Pursuant to the January 28, 2008 Amendments to the FMLA of 1993, an Employee who is the spouse, son, daughter, parent or next of kin of a covered seriously injured service member is authorized up to 26 weeks of unpaid leave to care for the service member under the same terms and conditions set forth above with respect to traditional FMLA leave.

In addition, Employees, in the event of a "qualified exigency," as defined by the Department of Labor, as a result of a spouse, son, daughter or parent being on active duty or being notified of an approaching order to active duty, are authorized up to 12 weeks of unpaid leave also under the same terms and conditions as traditional FMLA leave.

Employees will be required to use any accrued vacation days prior to using unpaid leave. This paid leave time will be deducted from the twelve (12) weeks unpaid leave. Employee must officially announce that they are "taking Family Medical Leave" in writing and submit to the Administrator or Operations Director. The employee should make a copy of the letter for their records.

If the need for leave is foreseeable due to planned medical treatment, you must make a reasonable effort to schedule the treatment so as not to unduly disrupt operations.

Migraine Policy

Migraines present a challenge to employers for several reasons. *Caretech* recognizes that legitimate migraines are debilitating and meet the FMLA's definition of a serious condition. However, at the same time, some Employees may merely have headaches, but use them as an excuse to take an FMLA absence or time off. Migraine-related leave under the FMLA has been a recent source of Employee abuse across the country. In order to balance the rights of the truly afflicted Employee against the Employer's need to prevent abuse, an Employee utilizing FMLA leave for migraine-related conditions must provide initial, one-time certification of a diagnosis or documented presentation of migraines signed by a physician. The documentation should be provided prior to the use of any FMLA leave if the Employee is previously aware of his or her diagnosis. If the Employee is unaware, such documentation will be required to be presented to *Caretech* one-week from the Employee's return to work date. *Caretech* may also request recertification if *Caretech* receives information casting doubt on the reason given for the absence, or if the Employee seeks an extension of his or her leave.

Jury Duty

Caretech supports Employees in fulfilling their civic responsibilities by serving jury duty when required. Employees should notify *Caretech* management upon receipt of jury duty notice and should keep the Company apprised of their status at all times.

Full-time Employees selected for jury duty are eligible for pay at their regular wage rate. If court is dismissed prior to the end of the regular workday, the Employee must report back to work to finish the shift. To receive regular pay for the time spent in court for jury duty, the Company will pay you for hours missed, up to 8 hours at your normal pay rate. You must then reimburse the Company for the amount of pay you receive from court.

Employees working second or third shift that are summoned to jury duty will be paid their normal pay rate only if they are required to participate in a full day of jury duty. This policy does not apply to other types of court appearances, such as court-issued subpoenas.

Voting

Employees are expected to vote either before or after work or during the Employee's authorized lunch break. If an Employee who is entitled to vote in a public election does not have three consecutive nonworking hours between opening and closing of the polls to vote, the Employee will be given up to three hours of time off with pay to vote, provided that the Employee notifies *Caretech* at least one business day in advance. *Caretech* may specify the hours during which the Employee may be absent for voting purposes only.

Military Leave

Pursuant to the Uniformed Services Employment and Reemployment Rights Act (USERRA), *Caretech* prohibits discrimination against persons because of their service in the Armed Forces, the Army National Guard and the Air Force National Guard when engaged in active duty for training, inactive duty training, or full-time National Guard duty, the commissioned corps of the Public Health Service, and any other category of persons designated by the President/CEO in time of war or emergency.

Caretech' military service policy conforms to the requirements of the Uniformed Services Employment and Reemployment Right Act (USERRA) and all other applicable rules and regulations according to the law. If you are activated for military duty, please contact *Caretech* management immediately.

Employment Termination

Employees that voluntarily resign are required to give at least two weeks written notice prior to their final day of employment. Terminated Employees will be paid for all unused earned vacation days. Final paychecks for terminated Employees will be issued at the next regularly scheduled payday. Failure to give at least two weeks written notice by Home Care/Chore Specialist Employees will result in application of *Caretech's* Special Wage Structure. See the section titled Special Wage Structure for Home Care/Chore Specialist Employees below.

Upon termination, Employees are required to turn in all Company-issued tools and equipment. In accordance with state and federal law, *Caretech* may take appropriate action to recover or be compensated for items not returned, including withholding value amounts from the Employee's final paycheck. By signing the acknowledgement form located in the back of this manual, the Employee agrees to have such wages withheld.

Nursing Mother Policy

Caretech supports its Employees who desire to breastfeed. An Office Employee that wishes to utilize this policy shall notify Human Resources. An appropriate location shielded from view and free from intrusion will be designated for expressing milk. Employees should work with their supervisors to agree on the schedule of times for these unpaid break periods to express milk.

Non-Smoking Policy at Caretech Offices

Caretech wishes to promote the health and safety of all Employees by providing safe and healthy working conditions. Therefore, *Caretech* has established a no-smoking policy and prohibits smoking anywhere on *Caretech* premises. This policy also prohibits the use of smokeless tobacco on *Caretech* premises. State law in Nebraska and Iowa prohibits smoking in all private workplaces. If Employees believe there has been a violation of this policy, please contact Human Resources immediately so that *Caretech* can take prompt action. Retaliation against an Employee, job applicant, or customer because the Employee, job applicant, or customer exercised any rights afforded under the law, registered a complaint, or attempted to prosecute a violation of the law is strictly prohibited.

WORK ENVIRONMENT

Office Employees

I. Hours of Work: Office Employees are expected to be at their desks and ready to work at 8:00 a.m. and remain at work until 5:00 p.m., Monday through Friday. Employees who abuse start or end times may be subject to disciplinary action, up to and including termination.

II. Duties: Office Employees shall perform such duties as are customarily performed by one holding such position in other, same, or similar businesses or enterprises as that engaged in by the Employers, and shall also additionally render such other and unrelated services and duties as may be assigned to him/her from time to time by Employer.

III. Lunch Break: Office Employees are authorized a one-hour lunch/meal period. Lunch/Meal periods shall be taken in two shifts so that the telephone is covered at all times by an Employee of *Caretech*. Additionally, if an Employee is unable to return within 15 minutes of the end of their designated lunch period for any reason, prior notification and approval must be provided to the management. Employees who abuse lunch breaks by taking longer lunch breaks than scheduled or taking excessive breaks may be subject to disciplinary action, up to and including termination.

Office Employees are also expected to abide by the requirements and standards applicable to home care/chore specialist when applicable.

Home Care/Chore Specialist

A. Hours of Work: Caregivers are required to work the hours and schedule authorized for each client.

B. Location of Work. Caretech cannot control its clients' environments. This means clients may smoke, own animals or have mold or other allergens present in their homes. By accepting employment with Caretech, caregivers represent and agree that they are able to work in these conditions and will accept employment under such conditions. It is imperative to Caretech's business that caregivers accept all available clients at the time the Caregiver is hired or in need of more hours. Any Caregiver who, for medical reasons, cannot work in such an environment cannot perform the essential functions of a Caregiver's position. The failure to accept a client based on the caregivers' perceived distaste for such environmental conditions shall constitute misconduct and be grounds for immediate termination.

C. Duties

1. Contracted Services Stipulations: Caretech, Inc. maintains contracts for the services it provides. Contracts and services may change as contracts are added or renegotiated. Caretech reserves the right to change services accordingly. Definitions of contracts follow:

Chore and Respite Care Services:

Chore services include:

- a. Errand service;
- b. Essential shopping;
- c. Food preparation;
- d. Housekeeping;
- e. Laundry service;
- f. Simple home repairs;
- g. Bill paying (with Caretech President/CEO's approval and proper training only);
- h. Maintenance; and
- i. Supervision.

2. Respite Care is temporary care of an aged adult, or adult or child with disabilities, to relieve the usual caregiver from continuous support and care responsibilities. Components of respite care service are supervision, tasks related to the individual's physical needs, tasks related to the individual's psychological needs, and social recreational activities. **A Respite Care Provider/Employee will not leave the client alone when providing respite services.** Client's safety is the utmost importance of Caretech. Each client must have an annual safety plan completed which addresses the threat of fire, tornado, flood or bomb threats. Additionally, annual updates of client records must include maintenance of the client's name, birth date, age, address and telephone (both work and emergency) number of each parent, guardian, or primary caregiver, emergency medical care release, emergency telephone numbers such as the physician, neighbors, friends, etc., updated medical issues, allergies, daily routine and preferences in activities or foods, etc.



A. Reporting of Incidents:

1. If the Respite consumer is injured or develops an illness during the *Caretech* employee's shift, the employee must contact the office to report the incident or illness. Furthermore, if the parent, guardian or primary caregiver reports any injuries or illness to the *Caretech* employee, the employee is required to report the information to the *Caretech* office.
2. Home Care/Chore Specialists are not involved in the administration of medications.

Caretech does not place any right restrictions or limitations on their clients nor does the company or employees place restraints or behavioral modification plans.

4. Transportation: All employees must abide by all State motor vehicle laws including, but not limited to, the use of seat belts, and speed limits.

A. Using your own vehicle:

1. *Caretech* Employees may provide incidental transportation, utilizing their privately owned vehicle, providing the Employee has completed an application for Copy of Driving Record form and has received approval for driving.
2. Employees providing such service must have a valid driver's license, a vehicle in good working order and maintain appropriate insurance for such vehicle as required by state law.

B. Employees may utilize the client's vehicle under the following conditions:

1. The Employee must contact the main office to receive permission from the *Caretech* supervisor/manager.
2. Employee has completed an Application for Copy of Driving Record form and has received approval for driving by *Caretech* management.
3. Employees providing such service must have a valid driver's license.
4. Written permission to use the client's vehicle has been granted and is on file in the *Caretech* office. The Client must sign both "Permission" and "Indemnification" forms and they must be on file in the *Caretech* office. These forms can be obtained by contacting the *Caretech* office and must be signed before the Employee may use the Client's vehicle.
5. Client assures the vehicle is in good working order.
6. Client certifies that all appropriate vehicle insurance is in force and will be maintained as required by state law.
5. Gas: Employees are generally not reimbursed for gas expenses. Gas shall only be paid if the Employee has a specific agreement with *Caretech* covering such expenses.



5. Laundry and Dry cleaning:

A. **Laundry:** Employees are prohibited from taking a client's laundry to the Employee's personal residence to launder. If an Employee, for any reason, is unable to do the client's laundry in the client's home or building, the Employee should contact the Caretech office immediately.

B. **Dry Cleaning.** When dropping off the client's clothes to be dry cleaned, it is important that the receipt ticket be delivered back to the client along with the date items are to be picked up. After picking up clothes from the dry cleaner, Employees must ensure that the client receives the receipt for payment.

C. **Prohibition:** Under no circumstances may an Employee borrow, purchase, store or use clothing or any other client possessions in any way belonging to the client, relatives, friends or other associates of the client.

6. Access to Cash or Checkbooks: Employees who have access to client finances, including cash and checkbooks, shall take steps to safeguard client information. If helping client with finances, caregiver must be approved by his/her supervisor before assisting with such services. The caregiver must have experience with financial payments and reconciling. When relevant, the CDAC Agreement must be followed to provide financial assistance. All receipts must be provided to the client for documentation of expenses and oversight purposes. Copies of receipts must be sent to Caretech or amounts noted on documentation. Original receipts must be given to consumer. All checks must be signed by consumer or guardian. Caregiver is expected to assist with financial tasks and must be directed by the consumer. If the consumer is unable to direct the caregiver, the caregiver is not allowed to provide assistance with financial matters. In the event a financial penalty is incurred due to an Employee's action or inaction, Caretech shall reimburse the client for such penalty after supervisor confirms mistake by caregiver. Theft allegations must be accompanied by a police report. The amount of the penalty shall be deducted from the Employee's paycheck.

7. Cessation of Services. All contracted services with a client must immediately cease when a client has been admitted to a hospital or other medical facility. State and Federal rules prohibit Medicaid home-based service while the client is away from their home, including a hospital stay. Accordingly, services provided by Caretech during a hospital stay will not be paid or otherwise covered by Medicaid. Regularly scheduled services can be provided on the day the client leaves for the hospital. Services may be resumed the day the client returns home from the hospital **provided that the Employee has obtained express Caretech approval to resume services.** If further explanation is required or additional questions arise, Caretech's office should be contacted immediately and prior to performing any services that have the potential to be unauthorized.

CODE OF CONDUCT

Mixing Business and Personal Affairs

The mixing of business and personal errands is strictly prohibited. If you are running an errand for the client, personal business or errands are not to be conducted for any reason. Employees are also prohibited from bringing a client's personal possessions or other items home with them for any reason. Such actions expose both the Employee and Caretech to liability. Employees should also avoid bringing any personal items into the client's home. This includes items such as purses, bags and backpacks. Employees are to refrain from discussing personal or family



problems with the client. Employees are in the client's home to tend to the day-to-day needs of the client and should avoid adding to their burdens.

Use of Client Amenities

Employees are not to use the client's telephone or utilities or consume the client's food and beverages under any circumstances. In the event of a violation, *Caretech* will reimburse the client in an amount commiserate with the value of the unauthorized consumption. The amount reimbursed will be deducted from the violating Employee's paycheck.

Theft

Theft of a client's possessions, belongings, checks, cash or funds is strictly prohibited. Violation of this policy will result in dismissal. In the event of a theft, *Caretech* will reimburse the client the fair market value of the stolen item. The amount reimbursed will be deducted from the violating Employee's paycheck provided that the theft is documented.

Personal Relationships Prohibited

Employees are to be professional and remember that they are part of a business. Accordingly, personal relationships outside of a normal, working relationship with the client are strictly prohibited by *Caretech*.

Visitors

Visitors are not allowed in the *Caretech* business office or client's home absent a valid business reason for the visit. Employees are not to be accompanied by or have present a child or other unauthorized person during working hours. This includes, but is not limited to, the Employee's spouse, son, daughter, grandchild, friend, cousin, neighbor, aunt, uncle, niece, nephew or pet(s).

Office/Administrative Employees may not leave the office during business hours to see a visitor except in case of an emergency. Office/Administrative Employees meeting visitors during the authorized lunch/meal period should instruct the visitor to remain outside of the office.

Respect of Client's Choices

Employees should not impose restrictions on the client by prohibiting them or admonishing them from making personal choices. For example, a client is free to choose to purchase foods that are not appropriate for their diet or wear clothing that is out of fashion. A client's personal choices are not of the Employee's concern and should be left solely to the discretion of the client.

Non-Solicitation Policy

A. Solicitation and Distribution by Outsiders. Although *Caretech* recognizes legitimate charities and the outside interests of its Employees, *Caretech* also has an obligation to maintain an environment with a minimum amount of distractions to the Employees and customers.

For this reason, *Caretech* prohibits persons who are not Employees of *Caretech* from coming on or remaining *Caretech* premises for the purpose of making solicitations or posting or distributing cards, letterhead, notices, or papers of any kind.

B. Solicitation and Distribution by Employees. Employees may not sell merchandise, solicit financial contributions, or solicit for any other cause on *Caretech* premises or to *Caretech* clients at any time. This policy applies to collecting funds, requesting contributions, selling or receiving



merchandise, gathering Employee signatures and promoting memberships in clubs or organizations.

Other than work-related materials, Employees may not distribute literature or printed material of any kind in working areas at any time. Working areas do include break areas and the parking lot. Employees who violate the solicitation policy may receive disciplinary action, up to and including termination. This policy is not intended to restrict and does not restrict activity that is protected by the National Labor Relations Act or any other law.

Religious Beliefs

Religious beliefs should not be imposed on any client, fellow Employees or any other person connected to your employment with *Caretech*. This includes making promotional statements of a religious nature, passing brochures or pamphlets or displaying icons in the work place, including the client's home. Religious jewelry, apparel, or articles may be worn while at work if they are neat, conservative, and discreet.

Religious Accommodation

Caretech may provide a reasonable accommodation based on a person's sincerely held religious belief. In making this determination, *Caretech* reviews a variety of factors, including whether the accommodation would create an undue hardship. The accommodation request imposes responsibilities and obligations on both the individual requesting the accommodation and *Caretech*. The person requesting the accommodation is obligated to make *Caretech* aware of the need for a religious accommodation in advance.

Once a request is made, *Caretech* will explore reasonable accommodations to address the person's religious belief or practice, unless, again, the request creates an undue hardship. The person requesting the accommodation is obligated to cooperate with the Company's attempts to accommodate the request. When more than one accommodation is possible, the Company may select any of the accommodations, provided the accommodation will effectively eliminate the religious conflict. It may be necessary for the Company to request the Employee to provide documentation or other authority to support the need for an accommodation based on the Employee's religious practice or belief. Further, the Company may need to discuss the nature of the religious belief(s), practice(s) and accommodation with the religion's spiritual leader (if applicable) or religious scholars to address the request for a religious accommodation.

Business Transactions

Generally, Employees and their relatives are prohibited from entering into business transactions with current clients of *Caretech*. Such transactions include purchasing, trading or borrowing items of any type for the client or the client's family, friend, relative or neighbor. These types of transactions pose ethical and financial concerns and have the potential to create liability both with respect to the Employee and to *Caretech*. If an Employee has a unique situation, which he or she believes warrants an exception to this policy, the Employee may request permission from *Caretech* management upon disclosure of all the attendant facts and circumstances. However, Employees should be advised that, generally, *Caretech* will not authorize such a result. The request and authorization must be in writing.

Gifts

Employees may, on occasion, accept de minimis gifts from clients. A de minimis gift is one that does not have a value exceeding \$5.00. All other gifts may not be accepted. This includes, but is not limited to, vehicles, clothing, furniture, jewelry, linens, figurines, china, coins, gift cards,



money, real estate, pets, gasoline, food, household fixtures and trips. As a general rule, If the Employee has a question regarding whether a gift is “de minimis,” it probably is not. If clarification is required, the Employee may request clarification from Caretech management.

Confidentiality

Personal client information of all of Caretech’s past, current and potential clients is confidential. Specifically, the client’s name, address, telephone number, financial information, family problems, medical diagnoses and treatment, etc. are confidential and must not be disclosed to the public. This also includes the name, address, telephone number, e-mail address, mutual friends, relatives, neighbors or any other information about your clients of a personal and private nature. Should the need arise to discuss a client’s personal information to person’s other than the client, the caregiver must contact the office to obtain written approval from the Operations Director or Coordinator.

During your employment, or any time thereafter, Employees are prohibited from disclosing to others or utilizing for their own benefit, or the benefit of others, any such client information without the express prior written consent of Caretech’s CEO/President/CEO.

Upon separation of employment, Employees must return all confidential information to Caretech. In the event that this policy is breached, Caretech is entitled to legal means to seek restitution or any other remedy provided by law.

Employees should take the following precautionary measures to ensure confidentiality:

- A. Discuss work matters only with Caretech Employees who have a specific business need to know.
- B. Do not discuss work matters in public places.
- C. Monitor and supervise visitors to Caretech to ensure that they do not have access to Company information that they are not authorized to have.
- D. Secure confidential information at the end of every business day and/or destroy information no longer needed that is nonetheless confidential.
- E. Confidentiality policies will be reviewed yearly with employees.

Provision of Services to Client’s Family Members or Relatives

Employees must not provide services or agree to provide services if the caregiver is the spouse, parent of consumer who is a minor child, or legal representative (guardian/P.O.A., etc.) of the consumer. If the caregiver is a friend or a non-restricted relative, the caregiver must adhere to the policies provided herein. Furthermore, the caregiver is prohibited from influencing the client based on the caregiver’s family relationship or friendship. If a caregiver influences the client for their own financial or personal gain, the caregiver may be terminated from employment.

Standards of Conduct

Caretech, Inc. maintains high standards in regard to the assistance and care of its clientele. Thus, the following qualities and requirements for Employees are set forth:

- A. Must be personable and friendly to clients. Any aggressive or abusive behavior on the part of an Employee or a client should be reported immediately to the Caretech Operations Director or President/CEO for disposition.
- B. Exercise reasonable caution and care in the use and storage of clients’ equipment, appliances, tools, and supplies.



- C. Must respect every client's right to confidentiality and safeguard confidential information.
- D. Contact *Caretech* office with any questions or concerns about clients. Do not contact client(s)'s case managers, social workers, relatives, friends or other outside parties without consent of the *Caretech* Operations Director or President/CEO.
- E. Must be available by telephone in order to communicate with the office concerning, but limited to, issues of client welfare, scheduling and general communication with the main office.
- F. Understand and accept responsibility for the client's safety and property.
- G. Report any changes in client's health, environment, and behavior to the *Caretech* Operations Director or President/CEO.
- H. Report immediately any suspected client abuse and/or neglect to the *Caretech* Operations Director or President/CEO.
- I. Be free of communicable disease; a physician's verification statement may be required at any time at *Caretech's* discretion.
- J. Must be physically capable of performing his/her duties as a *Caretech* Employee; a physician's verification statement may be required at *Caretech's* discretion.
- K. Not be accompanied by or have present a child or other unauthorized person during working hours.
- L. May not accept gifts or loans of any kind from clients except as described under "de minimis" gifts.
- M. Shall not bring personal items, including purses and bags into clients' homes.
- N. Have knowledge of basic first aid skills and available emergency medical resources if the Employee provides full time/live-in housekeeping, personal care, or supervision.
- O. Have had training and/or experience in carrying out chore services comparable to those that will be authorized.
- P. Must not lift more than 25 lbs.
- Q. Will not leave the client alone when providing respite services.
- R. Prepare and serve any appropriate meals and/or snacks.
- S. Agrees not to provide services if he or she is the legally responsible relative.
- T. Keep current any state or local license/certification required for service provision.
- U. Is strictly prohibited from dispensing and administering medication unless possessing the proper licensing and certification and receiving written approval by the *Caretech* Operations Director or President/CEO.
- V. Proper safety plans must be developed with each client in the event of a Tornado Siren Alert, Flood, Fire, or Bomb Threat. In the event a client is located in a rental property or public housing, a review of the standard safety plans is required. Client and Employee(s) must also understand his/her response to public notices of emergencies. If the client, guardian, and Employee(s) are unable to develop a safety plan for the above mentioned emergencies, the caregiver is required to contact the office.



- W. Must maintain a regular day and time schedule with clients, and contact the office prior to any absences in accordance with the terms and conditions set forth in this handbook, including, but not limited to illness, bad weather, and personal matters.
- X. Employees must dress appropriately for the assigned work environment. Clothes must be neat and clean with no holes and no printed tee shirts. Tattoos must be concealed. Scrubs are appropriate dress for caregivers. For safety purposes, shoes should cover the feet. Flip flops or similar shoes are not acceptable.
- Y. Employees are expected at all times to present a reasonably professional and business-like image to customers, clients and the public. Hair should be clean, combed and neatly arranged and tattoos and body piercings other than earrings worn in the ears should not be visible.
- Z. Employees will not reveal *Caretech* trade secrets or any other proprietary information for purposes other than working for *Caretech*.
- AA. Deliberate actions that are harmful to the company's image or interest are prohibited.
- BB. It is imperative to *Caretech's* business that caregivers accept all available clients at the time the Caregiver is hired or in need of more hours. Consequently, Caregivers are required to accept all available clients at the time the Caregiver is hired or in need of more hours.
- CC. *Caretech* must follow state guidelines for billing procedures and many payment programs will reject billing after a certain period of time. Consequently, it is absolutely essential that time reports and documentation return to the office in a timely manner as described in this manual.

Workplace Bullying

Caretech is committed to creating and maintaining a workplace environment which fosters mutual respect, integrity and professional conduct. In keeping with this commitment, policies and procedures for all employees have been established, related to the issue of bullying in the workplace. *Caretech* will not tolerate bullying in the workplace and will make every reasonable effort to prevent and eliminate conduct which falls within the scope of this policy.

Definition: Workplace bullying and psychological harassment is defined as unwanted conduct, comments, actions or gestures that affect an employee's dignity, psychological or physical health and well-being. Bullying and psychological harassment may result from the actions of one individual towards another, or from the behavior of a group. Bullying and psychological harassment are often characterized through insulting, hurtful, hostile, vindictive, cruel or malicious behaviors which undermine, disrupt or negatively impact another's ability to do his or her job and results in a harmful work environment for the employee(s). Bullying and psychological harassment can take many forms and may occur when the behavior or conduct:

- would reasonably tend to cause offense, discomfort, humiliation or embarrassment to another person or group;
- has the purpose or effect of interfering with a person's work performance;
- creates an intimidating, threatening, hostile or offensive work environment.



Employee Responsibilities: Each and every employee of the organization is expected to support the implementation of this policy by:

- conducting themselves in a manner which demonstrates professional conduct, mutual respect for others and which honors diversity in the workplace.
- participating fully and in good faith, in any resolution process or formal complaint and investigation process where they have been identified as having potentially relevant information
- reporting any incidents which may be in violation of this policy
- respecting the rights to personal dignity, privacy and confidentiality pertaining to this policy

Employees who experience or observe any work place bullying should be reported to the immediate supervisor/manager within five business days of the action/event. Failure to do this within the time deadline may result in the loss to continue this complaint/grievance. (If the complaint/grievance is directed at the immediate supervisor/manager, the complaint/grievance should be brought before the management.). In addition, Employees who believe they are being subjected to such inappropriate behavior are encouraged to advise the offender that the behavior is unwelcome and request that it immediately cease.

The Employee must discuss the complaint/grievance with the immediate supervisor/manager (or if appropriate, the management) at a time and place mutually agreed upon. If warranted, an investigation may be conducted, but is not always required in the case of grievances brought forward under this section.

Where anyone is found responsible for workplace bullying, corrective measures will be taken. Corrective measures may include, but are not limited to:

- Counseling;
- Education and training;
- Formal written apology;
- Warning ;
- Change of work assignment;
- Disciplinary action, in accordance with this policy up to and including dismissal.

If, as a result of the findings, disciplinary action is taken, this shall be noted on in the employee's personnel file.

Examples: Although there can be no all inclusive list, examples of behavior and impact that may signify bullying or psychological harassment include, but are not limited to:

Behaviors	Impact
<ul style="list-style-type: none"> • insulting or derogatory remarks, gestures or actions • rude, vulgar language or gestures • malicious rumors, gossip or negative innuendo • verbal aggression and/or verbal abuse • shouting, yelling • swearing, name-calling • glaring or staring • outbursts or displays of anger directed at others • targeting an individual through persistent, unwarranted criticism • public ridicule • verbal, written or physical threats and intimidation • mobbing and/or swarming • misuse of power or authority • isolation and/or exclusion from work-related activities 	<ul style="list-style-type: none"> • undermines • humiliates • offends • embarrasses • intimidates • threatens • frightens • de-motivates • demoralizes Can cause: • depression • anxiety • emotional distress • physical distress • low morale • inability to perform work tasks • absenteeism • loss of productivity • turnover

Violations

Violations of this subsection shall be taken seriously and can lead to disciplinary action, up to and including, discharge of the Employee. Upon identification of a potential violation or conflict of interest as detailed above, Caretech’s President/CEO will investigate the situation and make a determination regarding the appropriateness of the conduct and the course of corrective action, if applicable.

USE OF COMPANY PROPERTY

Telephones

Effective telephone communications are vital, especially when conversing with customers. Employees should always greet and speak in a courteous and professional manner when using the telephone with customers.

Personal telephone calls shall be kept to a minimum, and if possible, be made before work or after work unless there is a personal emergency. The phone system at Caretech, including voicemail and Company-issued cell phones, is property of the Company and is intended for business use only. Personal long distance calls on Company phones are only permitted with management approval, and may require reimbursement to the Company. Incoming personal calls (excluding emergencies) are not relayed to Employees. A message will be taken and posted in the break room or passed along to the Employee, so that he/she may return the call during a break or before or after shift.

Employees with cell phones will limit their use to personal emergencies, during the lunch break or before and after work. Incoming calls should be limited to emergencies. Cell phones should remain on vibrate during working hours.



Caretech management may discipline an employee, including dismissal, for failure to comply with these policies.

Computers, Email and Internet Usage

Email is vital for communication and likewise should be used in a courteous and professional manner. Personal emails shall be kept to a minimum, and if possible, written during lunch or break times. Likewise, using the Internet for personal use shall be kept to a minimum, and if possible, be performed during lunch or break times.

The Company reserves the right to review, audit, intercept, access and disclose all messages created, received or sent over the communications systems for any purpose. In addition, the Company may access and review all sites visited on the Internet and may also review content saved or stored on an Employee's computer.

As a condition of providing Internet access to its Employees, Caretech places certain restrictions on workplace use of the Internet. This Internet-Acceptable-Use Policy is designed to serve as notice to Employees of the permitted uses of Internet access provided by Caretech and the restrictions placed on such use.

I. Permitted Uses:

Caretech encourages Employee use of the Internet:

1. To perform research and acquire information related to, or designed to facilitate, the performance of regularly assigned duties.
2. To communicate with fellow Employees, patients and other professionals regarding matters within an Employee's assigned duties.
3. To transfer files and other information pertaining to matters within an Employee's assigned duties.
4. To facilitate performance of any task or project in a manner approved by an Employer's Supervisor/manager.
5. Incidental, occasional and brief personal use of the Internet is permitted within the reasonable limits. Incidental personal use is a privilege that can be lost through abuse.

II. Prohibited Activities:

Caretech strictly prohibits the following uses of the computer systems and Internet (violations of these policies may result in immediate employment termination):

1. Copying, disseminating or printing of copyrighted materials (including articles and software) in violation of copyright laws.
2. Downloading unauthorized software or any software not registered to Caretech, including personal software.
3. Using, sending, viewing, promoting offensive or harassing statements, pictures or other material including disparagement of others based on race, national origin, sexual orientation or preferences.
4. Sending or soliciting sexually-explicit or sexually-orientated messages or images.
5. Sending chain letters, gambling, or engaging in any activity in violation of local, state or federal law.



6. Gaining access to the Internet by using any access-control mechanism not assigned to the particular user, or permitting another person to have access to the Internet by using the Employee's assigned access-control mechanism.
7. Gaining or attempting to gain unauthorized access to any computers, computer networks, databases, data or electronically stored information.
8. Using, transmitting, changing or deleting another user's files or software without permission.
9. Introducing destructive software or programs such as computer viruses, Trojan horses, or worms, into any computer, computer system or network.
10. Office staff members will not engage in any practices which may be harmful to the office computers, office equipment, or proprietary information utilized by the company.
11. Staff members will use good judgment when utilizing the Internet for e-mail purposes.
12. Staff members will only utilize licensed copies of software.
13. Staff members will not authorize or give out any valuable password or proprietary information over the Internet or by any other means of communication.
14. Confidential information will not be shared with unauthorized persons.
15. Files, data or other related information will not be, in any way, carried off site without the written permission of Caretech's President/CEO. All Caretech information and client/employee records are confidential and are not to be shared with unauthorized persons.
16. Password and access permission are only to be utilized by the person authorized to access specific information.
17. Staff members must not attempt to circumvent or subvert system or network security or confidentiality.
18. Office members are not to destroy, delete, purposefully corrupt, or harm company files or computer hard drives or operating systems.
19. Staff members will refrain from monopolizing systems, overloading networks with excessive data, degrading services, or wasting computer or connection time, disk space, printer paper, manuals, or other resources.

Office Supplies, Tools, Equipment

Company supplies, tools, and equipment are reserved solely for the conduct of Company business. When using office supplies, tools, or other equipment, Employees should exercise care and follow all operating instructions and safety standards. Borrowing Company office supplies, tools, etc. for personal business is strictly prohibited.

Notify your supervisor/manager if any equipment or machines appear to be damaged, defective or in need of repair. This prompt reporting could prevent the equipment's deterioration and could also help prevent injury to you or others. Should you have questions about the maintenance and care of any workplace equipment, contact your supervisor/manager.

Employees using or operating equipment improperly, unsafely, or for non-work use may be disciplined or even discharged. In addition, Employees may be held financially responsible for any loss to Caretech due to mistreatment.

Removal or Destruction of Company Property

No Employee will remove property from the premises without written permission from the Administrator. Employees may not damage or destroy company property or convert it to their



own personal use. Examples of the kinds of property subject to this policy, include, but are not limited to the following:

- A. Materials, equipment, tools, supplies, medications, etc.
- B. Personal property owned by the Company or other individuals.
- C. Confidential literature including personnel, clients and financial data.
- D. Computer disks, tape and other storage media.
- E. Information identified as proprietary or trade secret, including extract formulas, etc.

Removing or attempting to remove Company property, as well as property damage or destruction, without permission, can be grounds for action under the Company's disciplinary policy and the employee may be held financially responsible for damage or destruction of any company property.

Document Retention Policy

The corporate records of *Caretech, Inc.* are important assets. Corporate records include essentially all records you produce as an employee and those records, narratives, and mailings from caregivers or case managers, whether paper or electronic. A record may be as obvious as a time report, an employee or client file, a case plan, or something not as obvious, such as an electronic calendar, expense note, or written calendar.

The law requires the Company to maintain certain types of corporate records, usually for a specified period of time. Failure to retain those records for those minimum periods could subject you and the Company to penalties and fines, cause the loss of rights, obstruct justice, spoil potential evidence in a lawsuit or audit, place the Company in contempt of court, or seriously disadvantage the Company in litigation.

Failure to comply with this Document Retention Policy may result in punitive action against the employee, including suspension or termination. Questions about this policy should be referred to the President/CEO, who is in charge of administering, enforcing and updating this policy.

Good Housekeeping

Each Office Employee is expected to help keep the premises neat and clean at all times to ensure safety and to maintain a professional appearance. This includes the break room, restrooms, offices, hallways, and production areas. Place all trash in the proper places and wipe up spills immediately. Please report any broken or damaged equipment to management at once so that proper repairs can be made. Food must not be eaten at the employee's desk. Liquids should have caps or lids; cans with small openings are acceptable. Employees who disregard good housekeeping rules may face disciplinary action up to termination of employment.

Inspections

Respect of privacy is important to the Company; however there may be instances when the Company will need to search work areas, offices, cabinets/drawers, computers, etc. for particular items. Business property and equipment is not private and *Caretech* has the right to search for prohibited materials when necessary. For example, cabinet/drawer inspections are required by USDA to ensure we are maintaining sanitary conditions in our area. Employees who fail to cooperate in an inspection may be subject to disciplinary action, up to and including termination.

Caretech is not responsible for any articles placed in a locker, office, or desk that are lost, damaged, stolen or destroyed.

COMPENSATION

Withholdings

Federal and state withholding taxes and social security taxes are standard deductions and will be deducted from your salary in accordance with federal and state laws. Caretech pays the amount of F.I.C.A. mandated by federal regulations.

Compliance with the Fair Labor Standards Act

On rare occasions, it may sometimes be necessary for the Company to change work schedules or require you to work overtime. Management will make every attempt to give prior notice before requesting an Employee to work overtime. Employees must not work overtime unless requested to by management.

Caretech intends to fully comply with the requirements of the Fair Labor Standards Act. Accordingly, Exempt Employees are not entitled to time and a half compensation for over time. Non-exempt Employees are entitled to one and one-half times their regular rate for any hours worked over forty per work week.

If an Employee feels they have been improperly compensated, the Employee should immediately bring his or her concern to their immediate supervisor/manager or upper management and an investigation into the Employee's complaint shall be conducted.

Whenever a client is unable to provide the caregiver with necessary supplies (i.e.: gloves, cleaning products, etc.) the caregiver must contact the office for verbal permission to purchase such items. Caretech will then reimburse caregiver the expense once a proof of purchase has been received by the Caretech office.

Paydays and Pay Periods

Employees are generally paid bi-monthly on the 12th and 27th of each month, or monthly on the 12th. For bimonthly pay periods, paychecks issued on the 12th encapsulate all hours worked during the 16th through the end of the month. Paychecks issued on the 27th encapsulate all hours worked during the 1st through the 15th of that month. For monthly pay periods, the 1st through the end of the month will be paid on the 12th of the following month. If the pay date falls on a Saturday, the Employee will receive payment on the preceding Friday. If the pay date falls on a Sunday, the Employee will receive payment on the following Monday. There may be occasions when payroll is delayed due to holidays or administrative delays. Other deductions from pay may be made with the Employee's written permission. An employee's payroll cannot be processed until all time cards, required documentation and monthly forms are correctly completed and submitted to the office in a timely manner. Administrative burdens and compliance with Medicaid may require Caretech to apply monthly pay periods for some or all Employees. Caretech will make reasonable efforts to notify an Employee in advance if the Employee will be paid monthly and whether the Employee will be paid on the 12th or the 27th of each month.

The work week for payroll purposes begins at 12:01 a.m. on Sunday and ends at Midnight the following Saturday. For caregivers, the work day shall commence when the caregiver enters

the client's resident and ends when the caregiver exits the residence. Hours of caregivers may fluctuate with the needs of the client.

Caretech takes all reasonable steps to ensure that Employees receive the correct amount of pay for each pay period and that Employees are paid promptly on the scheduled payday. In the unlikely event that there is an error in the amount of pay, the Employee should promptly bring the discrepancy to the attention of the Employee's supervisor so that corrections can be made as quickly as possible. Errors attributed to the Employee will be corrected on the next scheduled payday. Accuracy of all time entered is solely the responsible of the Employee. There may also be extenuating circumstances which may delay payroll processing and delay payroll by a day or two. Caretech will make all efforts to avoid any payroll delays, but delays may occur periodically. Should the Employee need additional income stubs/receipts, Caretech may charge \$4.00 per pay period before the information will be forwarded to the Employee.

Special Wage Structure for Home Care/Chore Specialist Employees

Due to the costs associated with payroll processing and writing separate checks, Caretech has a special wage structure for Home Care/Chore Specialist Employees. Home Care/Chore Specialist Employees receive, depending on the provisions in this policy, the minimum wage per hour as designated by state and federal law plus an additional wage amount per hour as designated by *Caretech*. Home Care/Chore Specialist Employees will be told their total wage amount per hour (minimum wage plus additional wage amount) upon hire. If time report envelopes are postmarked by the 4th (for the 16th – end of the month time period) and the 19th (for the 1st – 15th time period) of each month, Home Care/Chore Specialist Employees will receive the total wage for those hours turned in. In addition, for employees who are paid once a month, employees' time reports must be postmarked by the 4th of the month following the month to be paid to receive the total wage for those hours turned in. If time reports are not postmarked on time, or otherwise received late by *Caretech's* office, Home Care/Chore Specialist Employees may receive only the minimum wage per hour for those hours turned in or which should have been turned in on the late time report. In addition, if time reports are received late, the employee's payroll check may be delayed until the following pay date.

In addition, *Caretech* requires that employees who terminate employment or voluntarily resign provide at least two weeks written notice prior to their final day of employment. If a Home Care/Chore Specialist Employee does not provide at least two weeks written notice, the Home Care/Chore Specialist Employee may receive only the minimum wage per hour for those hours turned in or which should have been turned in on his or her final time report.

By signing the Employee Acknowledgement form in the back of this handbook, the Home Care/Chore Specialist Employee agrees to this special wage structure. By signing the Employee Acknowledgement form in the back of this handbook, the Employee expressly agrees to abide by this policy.

Direct Deposit

Caretech prefers that all new hires participate in Direct Deposit into their bank account. This ensures timely deposit and receipt of your wages. However, in the event an Employee elects to receive a paper check, *Caretech* will mail the check on or before the pay date described above. *Caretech* assumes no further responsibility for the Employee's paycheck once the check is deposited for mailing with the United States Postal Service. Employees should not inquire or contact management regarding the status of their paycheck unless the Employee has not



received his or her paycheck one week after the date of mailing. Inquiries prior to this time may be disregarded.

Pay Raises

Pay raises may be given at the sole discretion of the management. Factors that may affect an Employee's eligibility for and amount of a pay raise include attendance, performance and length of service to the Company. Employees should not expect a pay raise even if they have received a pay raise in consecutive years. The Company's repeated issuance of a pay raise does not create any sort of contract or expectation of a future raise. Employees are reminded that all pay raises are purely discretionary and up to the sole decision of the management.

Time Reports Employees

I. Time Reports: Time reports are a simple document, but are one of the most important documents an Employee handles. Time reports, including any special State required documents, are not only how you get paid, but also how Caretech gets paid. Time reports are also the document that may be requested for review by State and Federal audit officials. Employees will receive at least one time card for each client assigned. The time card will display the name of the client, number of hours authorized, Employee name, work code and so forth. Filling this document out properly is not difficult; however, the document is critical to the functioning of Caretech. Accordingly, it needs to be filled out with care. The number of hours you report on the front of the card must reflect the work narrative you report on the back of the card or the required Daily Service Record. Please list your work activities honestly and in detail so that your hours are substantiated and supported. **The client, following the end of the workday, must sign all time cards or affix an identifying mark.**

II. Responsibility: Home Care/Chore Specialists are responsible for completing documentation for each visit at the end of each visit and obtaining the appropriate signature on Caretech's time report card and the Daily Service Record when required. The client, following the end of each visit worked, must sign for that visit in order to verify that the Employee performed services.

III. Authentication of Signature: At your initial visit to the home, an authentication of written signature may be filled out with the client. The caregiver will receive written notice when an Authentication of Signature is needed. If the client is unable to fully sign his or her own name, an alternative identifying mark, such as initials, can be used. However, the alternative must be what is recorded on the signature authentication. In the event the client is completely unable to sign or otherwise affix an identifying mark, a relative may be required to sign the signature authentication form. In some circumstances, the case manager of the client may obtain the authentication of signature for Caretech.

IV. Mandatory Mailing Guidelines: Employees are responsible for mailing their paperwork to the office on time. Paperwork includes, but is not limited to: time reports, Daily Service Records, billing documents, and narrative documentation. Paperwork **envelopes must be postmarked by the 4th (for the 16th to the End of the Month pay period) and the 19th (for the 1st to the 15th pay period) of each month.** Postmarks after the 4th or 19th will constitute late time reports. Employees are urged to complete documentation and time reports correctly, because the office will return incomplete paperwork, which may cause the employee's paperwork to be deemed late. **If the employee is on a monthly payroll cycle, then their time reports must be postmarked by the 4th of the month following the month in question.** See

the Special Wage Structure for Home Care/Chore Specialists above under the section titled **Special Wage Structure for Home Care/Chore Specialist Employees** and the subsection immediately below titled **Consequences of Untimely Time Reports**.

V. Consequences of Untimely Time Reports: It is absolutely vital that time reports and documentation are submitted to the office in a timely manner as defined above. Caretech is required to follow state guidelines for billing procedures and can be subject to severe penalties and funding and reimbursement disallowances as a result of missing, inaccurate, incomplete or untimely reporting. Failure to turn in time reports according to the **Mandatory Mailing Guidelines** may result in disciplinary action up to and including termination of employment. Late time may be paid the following pay period. In addition, please see the Special Wage Structure for Home Care/Chore Specialists above under the section titled **Special Wage Structure for Home Care/Chore Specialist Employees**.

In the event of an untimely submitted time report, Caretech office staff may attempt to notify the caregiver and request the necessary documentation via telephone and through the US post office. Failure of a caregiver to timely respond to such requests constitutes misconduct and is grounds for employee termination. In addition, a caregiver's submission of a grossly delinquent time report (more than 30 days late) or a caregiver's routine violation of the policy on time reports (five or more late time reports within a calendar year) constitutes misconduct and is grounds for employee termination. By signing the Employee Acknowledgement form in the back of this handbook, the Employee expressly agrees to abide by this policy.

VI. Falsification of Time Reports and Required Daily Service Records: Altering of time reports or the required Daily Service Records and/or reporting hours not actually worked is considered falsification of Company records and may result in disciplinary action up to and including termination of employment.

Work Schedules

The Company has the right to establish and change work schedules due to staffing needs, business demands, or other factors at its discretion. As a result, starting and ending times may vary on occasion. In the event it is necessary to modify work schedules, the Company will provide as much advance notice of the changes as possible. Caregivers are reimbursed travel time between clients based on time allowed by Google Maps. The time in excess of Google Maps between clients' homes will be considered non-payable personal time (allowing for meal breaks, personal errands, picking up or dropping off children from school, etc.) unless the caregiver attaches a written note to the client's time report explaining problems with traffic, detours, etc. that requires extra travel time. Caregivers should plan ahead to avoid unnecessary personal time delays, like obtaining gas for vehicles or other personal errands.

Holidays

Full-time hourly Office Employees are eligible for time off with pay for the following holidays: New Year's Day, Veteran's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving, and Christmas Day. Additional holidays will be designated solely at the Employer's discretion.

If a paid holiday falls on a Saturday or Sunday, it will be observed as determined by the President/CEO.

Employees who are on an unpaid leave of absence (FMLA, personal, etc.) are not eligible for holiday pay.

Minor and Major Incidents

A. Minor incidents are defined as: occurring during the time Caretech caregivers are providing services and are NOT a major incident/s. Results in the application of first aid, results in bruising, results in seizure activity, results in injury to self, others or to property, or constitutes a medication error. Minor incident reporting consists of: calling the Caretech office to notify Quality Assurance Specialist by the end of the next calendar day of the actual incident. The Caretech office will go over the report with caregivers. Office staff member will fill out all documentation. Caregivers may be called for assistance. Caretech office staff will follow up with the client and the caregiver involved. Once a resolution is reached, a copy of the incident report will be placed in the client's file and the original will be placed in a centralized location.

B. Major incidents are defined as: an occurrence involving a consumer, enrolled for waiver services. An incident report must be completed if the caregiver witnesses an incident or becomes aware of a major incident and is a result of the physical injury to or by the individual that requires medical treatment, results in the death of any person, requires emergency mental health treatment for the individual, requires law enforcement assistance, requires a report for child or dependent adult abuse or medication error requiring any of the above. When a major incident occurs or a staff member becomes aware of a major incident: (1) The staff member involved shall notify the following persons of the incident by the end of the next calendar day after the incident:

1. Caretech Client/Caregiver Specialist (caregiver's supervisor).
2. The consumer or the consumer's legal guardian. EXCEPTION: Notification to the consumer is required only if the incident took place outside of the provider's service provision. Notification to the guardian, if any, is always required.
3. The client's case manager. If the caregiver is unclear of the name and contact information of the case manager, the caregiver should contact the Caretech office for this information. Caregiver should not contact the case manager for anything other than incident or abuse reporting.

(2) By the end of the next calendar day after the incident, the staff member who observed or first became aware of the incident shall also report as much information as is known about the incident to the department's bureau of long-term care by:

1. By direct data entry into the Iowa Medicaid Provider Access System (the Caretech Quality Assurance Specialist is able to assist by placing the information into the IMPA system verbatim), (On-line Form 470-4698, Critical Incident Report,) according to the directions on the form.

(3) The following information shall be reported:

1. The name of the consumer involved.
2. The date and time the incident occurred.
3. A description of the incident.
4. The names of all provider staff and others who were present at the time of the incident or who responded after becoming aware of the incident. The confidentiality of other waiver-eligible or non-waiver-eligible consumers who were present must be maintained by the use of initials or other means.
5. The action that the provider staff took to manage the incident.
6. The resolution of or follow-up to the incident.
7. The date the report is made and the handwritten or electronic signature of the person making the report.



Caretech staff must make available and submit follow-up reports as requested by the case manager/service worker. The Caretech office staff will make a copy of the incident report and place it in the client's file and the original will be placed in a centralized location, Caretech Incident Binder.

Workers' Compensation

The Iowa and Nebraska Workers' Compensation Laws are compulsory and require that all employers (with few exceptions) carry insurance for the benefit of those who suffer injury in the course of their employment. The law also requires that medically necessary expenses resulting from such personal injury be paid. Although in Iowa the Iowa State Industrial Commission and in Nebraska the Nebraska Workers' Compensation Court, administer their respective States' laws, Caretech pays all the costs.

Workers' Compensation Laws are created to protect both you and the Company. These laws spell out procedures which must be followed if you expect to be compensated. Medical bills are paid when a Company representative authorizes them or when an emergency situation is created by a work-related injury.

If an Employee suffers an injury, even a slight one, he/she is required to report it at once to his/her supervisor/manager.

If there is a need to be sent to a doctor, Caretech will send you to a doctor of the Company's choice to see if your injury or illness would be work-related. If the determination is made that your injury or illness is work-related, Caretech will pay the doctor, hospital, and prescription bills. However, if it is determined after an investigation that your injury or illness is not work-related, Caretech will pay for the first doctor call, after which you will be responsible to pay any further bills.

RESPECTFUL WORK ENVIRONMENT

At Caretech we value each other and value differences in each other. Bringing together people with varying ideas, backgrounds, and perspectives ultimately leads to more innovation and higher quality solutions. That is how Caretech wins in our market place: more and better ideas delivered faster to our customers.

Respectful Work Environment Policies are distributed to all Employees. As a member of the Caretech Team, you are expected to familiarize yourself with those policies. You are also expected to do your part to help sustain a work environment that is free of discrimination, disrespect or harassment, alcohol, illegal drugs, legal substances used illegally, and violence. You are also expected to help ensure a safe and positive work environment by promptly reporting inappropriate conduct.

Policy for a Violence-Free Workplace

Caretech does not tolerate violence and will work to prevent violent incidents from occurring. For that reason, violations of this policy may result in discipline, up to and including discharge. To ensure a secure working environment at all Caretech sites, security procedures will be evaluated routinely and strengthened as needed. Necessary training will be provided on a timely basis at all locations. This policy applies to all Employees of Caretech and independent contractors doing work for Caretech.



Workplace Searches

In accordance with Caretech's commitment to maintaining a safe working environment, certain items and substances are restricted from being brought on or being present on Company premises. Employees and others working on Company premises are prohibited from reporting to work with drugs or alcohol on their person or in their systems, or carrying any concealed or unconcealed weapons. Any Employee found guilty of carrying illegal drugs, alcohol, or any weapon on Company property will be subject to discipline, up to and including discharge.

To safeguard property and the Company's legal interests, to protect against the carrying and misuse of weapons, and to help prevent the possession, sale and use of alcohol and illegal drugs in the Company and on the Company premises, the Company reserves the right to question Employees and all other persons entering and leaving the premises and to inspect any packages, parcels, purses, handbags, briefcases, lunchboxes, or any other possessions or articles carried to and from the Company premises. In addition, Caretech reserves the right to search any Employee's office, desk, files, computers, computer files, locker or any other area or article on the Company premises, including Employee vehicles. However, the Administrator will not normally search purses, briefcases, or other personal items in which the individual has a reasonable expectation of privacy, unless there is reason to believe the Employee is carrying property without authorization.

Persons entering the premises who refuse to cooperate in an inspection conducted pursuant to this policy will not be permitted to enter the premises. Employees working on, entering or leaving the premises who refuse to cooperate in any inspection, as well as Employees, who, after the inspection, are believed to be in the possession of stolen property, weapons, unacceptable materials, alcohol or illegal drugs will be subject to immediate removal from the Company premises and disciplinary action, including discharge.

Reporting Violence

Any Employee who has been subjected to an act of violence, or who is aware of another individual who has been subject to an act of violence should immediately report this information to Caretech management. Employees should assume that all threats of violence are serious.

Reports of threats or violence will be carefully investigated, and confidentiality will be maintained to the extent possible.

In addition to disciplinary action, any act of violence will also be reported to the proper authorities for prosecution.

Weapons Policy

Weapons, including but not limited to: firearms, explosives, chemical and biological devices, or any other item obtained with the intent to be used to commit violence against a person or property, are forbidden on Caretech property and on the property of Caretech clients at any time. This policy pertains to property owned, leased or rented by Caretech or its clients. This policy applies even if there is no intent to use the item as a weapon, and even if the item is kept in a locked car or other secure location. Furthermore, possession of any weapon on Company property, at Company functions, on Caretech Clients' property or while performing Company-related business violates this policy and may result in discipline up to and including discharge.



Drug & Alcohol-Free Workplace

Caretech's goal is to maintain a safe, healthy, and efficient operation and to protect the safety and security of Employees, Company property, and equipment. Being under the influence of drugs or alcohol on the job poses serious safety and health risks both to the user and to teammates. The use, possession, and distribution of illegal drugs, or alcohol also pose unacceptable risks to the maintenance of a safe and healthy working environment. Legally prescribed drugs are permissible if used under the care of a physician and if used solely by the patient for prescribed purposes; however, any distribution, misuse, sale, or improper usage by the prescribed patient or any other Employee violates Company policy. Employees may not work or report to work under the influence of alcohol or drugs, or with a detectable level of alcohol or drugs in their system. Violation of this policy will result in disciplinary consequences including possible termination and criminal prosecution. This policy applies to all Caretech Employees and all applicants for employment.

EMPLOYEE CONDUCT & DISCIPLINE

Employee Requests for Information

Employees sometimes request information from the employer that has already been given to them. Information such as past pay, W2s or other work related materials cause extra work for the Caretech office staff. Caretech may charge a reasonable fee for each page of a copy made by the employer for an employee of an item in the employee's personnel file. For purposes of this subsection, "reasonable fee" means an amount equivalent to an amount charged per page for copies made by a commercial copying business. Employees are advised that copies of all documents should be maintained by the Employee. In addition, if employees request information for their personal affairs that need to be completed by Caretech staff, such as housing forms, a \$2.00 fee will apply for each request.

Guidelines Regarding Employee Conduct and Discipline

Caretech's Employee Conduct and Discipline procedures are designed to provide clear expectations for all of its Employees. Caretech expects its Employees to follow rules of conduct that will protect the interests and safety of all Employees and of the organization.

To accomplish these goals, the following guidelines are necessary. These are general guidelines and Caretech reserves the right to handle each disciplinary situation as it deems necessary, including the right to discipline Employees for any reason (even for reasons not specified here) and for serious violations, to terminate without prior discipline or notice. No Employee is entitled to progressive discipline. Caretech, may, in its sole discretion use any and all of the following disciplinary procedures:

- Verbal Warning;
- Written Warning;
- Written Reprimand;
- Suspension/Demotion; and
- Termination.

The degree of discipline imposed by the management will be relative to the severity of the offense and the Employee's record



Examples of Misconduct: Since it is not possible to provide an exhaustive list of misconduct, the following are examples of conduct that may result in disciplinary action, up to and including termination of employment:

- Failure to work efficiently or produce satisfactory results.
- Failure to notify your supervisor/manager in advance of absence, or excessive absenteeism.
- Failure to conduct oneself in a professional or business-like manner with clients and coworkers.
- Leaving work prior to the completion of your shift without prior authorization of your Supervisor/manager.
- Failure or refusal to follow instructions or directives from supervisor/managers or management, including any policies contained in this manual.
- Failure to follow safety or health rules, to immediately correct an unsafe condition or to immediately report injuries or accidents.
- Inappropriate removal, possession, use, destruction or abuse of Caretech's property or equipment.
- Possession, consumption or transfer of alcohol or illegal drugs on the job or reporting for work under the influence of either alcohol or drugs.
- Personal use of Caretech's tools, materials, telephones, computers, mail machines or vehicles.
- Engaging in any activity that conflicts with or interferes with your responsibilities at Caretech.
- Violation of any Caretech policy, including the policies as written in this Employee Handbook.
- Failure to timely submit written time reports.
- Failure to attend mandatory training.
- Threatening, intimidating, coercing, or interfering with fellow Employees on Company premises.
- Possession, custody, or control of any weapon (as defined by the Violence Policy) within a vehicle anywhere on Caretech property.
- Using profane, abusive, or threatening language toward another person or persons.
- Dishonesty out of deliberateness, maliciousness, or to avoid discipline.
- Violating Respectful Work Environment Policy and/or breaking confidentiality as the result of an investigation.
- Intentionally providing false information for medical records to obtain leave, time off, or other benefits and privileges.
- Illegal conduct.
- Theft or unauthorized removal from the premises of any Company property or property of any other Team Member.
- Failure of a Caregiver to accept all available clients at the time the Caregiver is hired or in need of more hours.
- Use of cell phone, or other personal device, during work hours.

Termination/Resignation

Termination is an inevitable part of Employee activity within any organization. Examples of the most common circumstances under which employment is terminated include:

- A. Resignation: voluntary employment termination initiated by Employee



- B. Discharge: involuntary employment termination initiated by the Company
- C. Retirement: voluntary employment termination initiated by the Employee when no further gainful employment or self-employment is intended

Employees who intend to resign their employment with the Employer are expected to provide written notice of their intended termination date at least two (2) weeks prior to the effective date of the resignation so that a replacement may be found. In addition, the following shall be deemed automatic resignation by the Employee:

- A. Failure to notify Employer or to return to work upon expiration of sick, vacation or other type of leave provided for by Caretech policy.
- B. Failure to notify Employer of an absence of one or more days.

Reporting Work Injuries

It is very important that all injuries, regardless of severity, be reported to your supervisor/manager. Prompt reporting of accidents will allow us to better determine the cause of work-related injuries and to take preventative measures to assure a safe work environment. Prompt reporting is also necessary to meet the time limits for reporting work accidents set by state law.

Employees must have prior authorization before obtaining medical treatment for a work-related injury or illness. The Company may not pay for injury-related expenses if an Employee goes to a Health Care Provider for a work-related injury without prior authorization from the Company (unless in an emergency situation). Falsification of a work injury report is cause for disciplinary action, up to termination, in addition to possible pursuit of legal action.

Exposure Control Plan

To ensure a safe, healthy work environment and to provide safe and wholesome products to our customers, Caretech has designed policies to minimize exposures to communicable diseases, such as Human Immunodeficiency Virus, Hepatitis B Virus, and Hepatitis C Virus. Although all Employees are not designated first aid responders, all Employees should be aware of hazards and practice universal precautions.

Precautions:

1. Try not to make contact with an Employee or Client who has a cut or injury.
2. If contact with another person's blood or body fluids is expected, use appropriate barriers to prevent exposure to your skin, eyes, nose, and mouth.
3. As soon as the incident is under control and barriers are removed, wash your hands with soap and water.
4. An area contaminated with blood or body fluid needs to be cleaned and sanitized with appropriate disinfectants and hot water. Personnel involved in the cleanup must wear gloves and glasses.
5. Contaminated material must be disposed in a biohazard container.
6. If you suspect you may have been exposed, contact your supervisor/manager immediately.

Communicable Diseases

If an Employee contracts any serious communicable disease which medical evidence indicates can be spread to co-workers by casual contact that Employee will be required to take a medical Leave of Absence until the disease is deemed by a medical doctor to be under control. Before



returning to work, the Employee must provide the Company with a signed medical release from his/her treating physician, certifying that the Employee is not infectious or contagious and may safely return to work.

Any Employee who knows or suspects that they have contracted a communicable disease should contact the Company. These discussions will be handled on a strictly confidential basis. Referrals to appropriate medical providers will be made if necessary.

IMPORTANT

Because of the seriousness of communicable diseases, any Employee who is found to have continued working with full knowledge of being diagnosed as a carrier of a communicable disease, which poses a health risk to co-workers and customers, is subject to disciplinary action, including termination of employment.

HIV/AIDS

It is the policy of Caretech, in accordance with state and federal law, to continue to employ individuals who have HIV/AIDS as long as they are able to meet the normal standards of performance for their jobs. The Company's intent will be to provide maximum employment opportunities to Employees with HIV/AIDS, but also serving the safety and health needs of all patients and other Employees.

No action will be taken solely because the Employee has been diagnosed as having HIV/AIDS, or because the Employee is considered to be at risk of contracting HIV/AIDS, unless health risks to patients and other Employee become a concern to the Employer.

Safety Precautions

The safety of Caretech Employees and clients is a priority; thus the following guidelines have been established:

Infection Control

- A. Use of good hand washing techniques with antibacterial soap.
- B. Use of safe work practices and personal protective equipment.
- C. Proper handling, cleaning, and disinfection of patient care equipment, supplies and linens.
- D. Employee education to include information concerning infections and modes of transmission, hygienic practices, methods of infection prevention, and methods for adapting available resources to maintain appropriate hygienic practices
- E. In such cases of broken glassware which may or may not be contaminated should not be picked up with the hands, but only by mechanical means, such as brush and dust pan, tongs, or forceps.
- F. Blood borne Pathogens
 1. Eating, drinking, smoking, applying cosmetics or lip balm, and handling contact lenses are prohibited in work areas where there is a reasonable likelihood of occupational exposure.
 2. All procedures involving blood or other potentially infectious materials shall be performed in such a manner as to minimize splashing, spraying, spattering, and generation of droplets of these substances.
 3. All human blood and body fluids should be considered infectious, and all precautions should be taken to avoid contact. Gloves shall be worn when it can be reasonably anticipated that the Employee may have hand contact with



blood, other infectious materials and when handling or touching contaminated items or surfaces. Disposable gloves must not be reused and should be replaced after each use; dispose of immediately if they are torn, punctured, damaged, or when their ability to function as a barrier has been compromised; and as soon as possible after they become contaminated. Contact the office when new gloves need to be ordered or if gloves not provided by client. Caretech will provide gloves at no cost to Employee or client. Workers shall immediately wash their hands after each exposure or removal of gloves. These practices are called universal precautions, which shall be observed to prevent contact with blood or other potentially infectious materials. Under circumstances in which differentiation between body fluid types is difficult or impossible, all body fluids shall be considered potentially infectious materials.

4. Contaminated work surfaces shall be decontaminated with appropriate disinfectant immediately or as soon as feasible when surfaces are overtly contaminated or after any spill of blood or other potentially infectious materials or at the end of the work shift if the surface may have become contaminated again.
5. Goggles/masks should be worn whenever splashes, sprays, spatter, or droplets of blood or other potentially infectious materials may be generated. Contact the office if not provided by client and Caretech will provide them at no cost to client or Employee.
6. If a garment(s) is penetrated by blood or other potentially infectious materials, the garment(s) shall be removed immediately or as soon as feasible.

G. Clean-up of Rodent-Contaminated Areas

1. Persons involved in the clean up should wear rubber gloves and follow mandated procedures for use of rubber gloves and washing hands.
2. Spray dead rodents, rodent nests, droppings, or food or other items that have been tainted by rodents with a general-purpose household disinfectant. Soak the material thoroughly and place in a plastic bag/s. After clean up, or when the bag/s is full, place it into a second plastic bag/s, seal, and label each double bag clearly as "contaminated". Consult a Caretech Supervisor/manager with regard to disposal of infected items.
3. Mop floor and carpets with a solution of water, detergent, and disinfectant. Do not vacuum or sweep dry surfaces before mopping
4. Launder any contaminated bedding and clothing with hot water and detergent.
5. Dispose of contaminated rubber gloves in sealed doubled plastic bags as mandated and label each as "contaminated" (consult a Caretech Supervisor/manager with regard to disposal of infected items).

Mandatory Reporting

Caretech's Employees are mandatory reporters under Iowa and Nebraska law. The following guidelines must be complied with in the event of suspected child and/or elder abuse:

Child Abuse

State law requires the reporting of suspected child abuse. It is not the reporter's role to validate the abuse. The law clearly specifies that reports of child abuse must be made when the person reporting reasonably believes a child has suffered abuse.



Definition: Child abuse encompasses any child who is subjected to one or more of the following nine categories of abuse:

- Physical abuse
- Mental injury
- Sexual abuse
- Denial of critical care
- Child prostitution
- Presence of illegal drugs
- Manufacturing or possession of a dangerous substance
- Bestiality in the presence of a minor
- Cohabits with a registered sex offender

AND the abuse is the result of the acts or omissions of the person responsible for the care of the child.

Dependent Adult Abuse:

The law requires the reporting of suspected dependent adult abuse. It is not the reporter's role to validate the abuse. The law clearly specifies that reports of dependent adult abuse must be made when the person reporting "reasonably believes a dependant adult has suffered abuse."

Definition: "Dependent Adult Abuse" includes the following four categories of abuse as the result of the willful or negligent acts or omissions of a caretaker:

- Physical abuse (including unreasonable confinement or punishment and assault)
- Sexual abuse
- Financial exploitation
- Denial of critical care (including denial of critical care by the dependent)

Reporting Procedures

Imminent Danger: If you see a child or dependant adult that is in imminent danger, immediately contact law enforcement to provide immediate assistance to the child or dependent adult. After you have notified law enforcement, then contact the Iowa or Nebraska Department of Health or Human Services.

Other cases of Suspected Abuse: If danger is not imminent, report a case of suspected child abuse as follows:

1. If during regular business hours, call any local Department of Health and Human Services office. If outside of regular business hours, contact the toll-free 24-hour hotline:
Nebraska: 1-800-652-1999
Iowa: 1-800-362-2178, if outside of regular business hours
The oral report must be made to DHS orally within 24 hours of becoming aware of the situation. Caretech Employees are also required to inform his or her supervisor/manager anytime a report is made with DHS.
2. In Iowa, a written report is required to be made within 48 hours of your oral report. Blank forms are provided in the Appendix attached to this handbook.



Substance of Reports: Oral and written reports should contain the following information, if it is known:

- The names and home address of the child or dependant adult and the person's guardians or other persons believed to be responsible for the suspected victim's care
- The suspected victim's present whereabouts
- The suspected victim's approximate age
- The nature and extent of the injuries, including any evidence of previous injuries
- The name, age, and condition of other individuals in the same household
- Any other information that you believe may be helpful in establishing the cause of the abuse or neglect to the victim
- The identity of the person or persons responsible for the abuse or neglect to the victim
- Your name and address.

If the alleged perpetrator is an Employee, then Caretech will take all appropriate action, including, but not limited to, suspension, supervised visits and/or additional training or re-training. Caretech may conduct its own investigation into the incident, particularly if one of its Employees is alleged to be the perpetrator. However, under no circumstances may the Caretech investigation impede the DHS/DIA investigation.

Sanctions for Failing to Make a Report:

Iowa: In Iowa, there are both civil and criminal sanctions for failing to report child abuse. A person who knowingly and willfully fails to report a suspected case of child or dependant adult abuse is guilty of a simple misdemeanor. In addition, a person who knowingly fails to make a report, or who knowingly interferes with the making of such a report is civilly liable for the damages proximately caused by such failure or interference.

Nebraska: Any person who willfully fails to make any report of child or dependant adult abuse or neglect shall be guilty of a Class III misdemeanor.

Training

Iowa state law requires that a mandatory reporter whose work involves the examination, attending, counseling, or treatment of adults and children on a regular basis shall:

- ◆ Complete two hours of training relating to both the identification and reporting of dependent adult abuse and child abuse within six months of initial employment; and
- ◆ Complete at least two hours of additional dependent adult abuse and child abuse identification and reporting training every five years.

A person required to complete both child abuse and dependent adult abuse mandatory reporter training may complete the training through a program which combines child abuse and dependent adult abuse curricula and thereby meet both training requirements simultaneously.

Employees are required to comply with these training requirements. Failure to comply may result in temporary suspension of employment until the required training is completed. Employees must also sign the acceptance Employee Acknowledgement Form at the end of



these policies as proof of acceptance and training within 1 month of employment. These forms indicate that the Employee received a statement of the above abuse reporting requirements.

Medicaid Waiver Training

Any Employee providing services to a client under a Medicaid waiver must receive the required training pursuant to applicable State law to provide services to that client. In the event the training requirements are not complied with, the Employee cannot render services in the client's home without being accompanied and supervised by a trained individual.

Other trainings that may be required under Medicaid waiver consist of:

CMH Training:

Prior to providing service under CMH waiver caregivers must have training in the policies and procedures, HCBS philosophy and outcomes for Rights and Dignity.

Within the first 4 months of providing service under CMH waiver caregivers must have the following:

- Introduction to emotional disturbance
- Confidentiality
- Medication administration
- Mandatory Reporting
- Incident Reporting
- Documentation training
- Restraint policies
- Ethics Training

Within the first year caregivers must have a total of 24 hours of training and every year after 12 hours of training in children's mental health based on State law.

Definition

"Incident" means an occurrence involving a member that:

1. Results in a physical injury to or by the member that requires a physician's treatment or admission to a hospital;
2. Results in someone's death;
3. Requires emergency intervention or mental health treatment for the member;
4. Requires the intervention of law enforcement;
5. Requires a report of child abuse or a report of dependent adult abuse; or
6. Constitutes any prescription medication error or sudden illness of consumer.

The supervisor/manager receiving the report shall document incidents and shall make the incident reports and related documentation available to the department upon request. The supervisor/manager shall ensure cooperation in providing pertinent information regarding as requested by the department.



Report Form

Each incident shall be recorded on an incident report form that is completed and signed by the staff person who was directly involved at the time of the incident or who first became aware of the incident. The report shall include the following information:

1. The name of the member involved.
2. The date and time the incident occurred.
3. A description of the incident
4. The names of all provider staff and others who were present at the time of the incident or responded after becoming aware of the incident. The confidentiality of other members who are involved in the incident must be maintained by the use of initials or other means.
5. The action that the staff took to handle the incident.
6. The resolution of and follow-up to the incident as requested by case manager.

Reporting Procedure for Incidents

When any incident occurs, the Employee shall notify his or her supervisor/manager immediately and provide a written report within 24 hours of the incident.

The supervisor/manager, upon receipt of a report, must immediately notify Caretech's President/CEO. If the report constitutes a "major" incident, Caretech's President/CEO shall distribute the completed incident report form as follows:

1. Send a copy of the report to the member's Medicaid targeted case manager and the department's bureau of long-term care within 72 hours of the incident;
2. Notify the parent or guardian of the client within 72 hours of the incident; and
3. File a copy of the report at Caretech's principal place of business and make a notation in the member's file.

Failure to Report

Failure to report an incident in accordance with this section shall be cause for disciplinary action, up to, and including termination of the Employee.

DRUG/ALCOHOL POLICIES

It is the policy of Caretech to maintain an effective and efficient work force in an environment safe for Employees and patients, free from the effects of alcohol and illegal or abused drugs. To promote this policy, Employees are required to report to work in appropriate mental and physical condition to perform their jobs in a satisfactory manner.

Selling, purchasing, distributing, using, possessing, manufacturing or dispensing drugs or alcohol; the presence of drugs or alcohol in the Employee's body; or being impaired due to the effects of drugs or alcohol while on Caretech premises or while conducting business for Caretech are strictly prohibited. "Caretech premises" means Caretech offices, including all remote locations and parking lots, and driving or riding as a passenger in a Caretech vehicle. Employees should not consume alcoholic beverages before reporting to work or during working hours. Violation of this policy shall be grounds for disciplinary action, up to and including termination of employment.

It shall be the responsibility of all Employees who observe or have knowledge of another Employee in a condition which impairs the other Employee's ability to perform his or her job



duties, or who poses a hazard to the safety or welfare of others, or is otherwise in violation of this policy, to promptly report that fact to their immediate supervisor/manager.

For purposes of this policy, “the presence of drugs or alcohol in the Employee’s body” means that the Employee or prospective Employee has tested positive for the presence of a prohibited drug or controlled substance or alcohol in a concentration of not less than .04, expressed in terms of grams of alcohol per 210 liters of breath, or its equivalent.

The legal use of prescribed or over-the-counter drugs is permitted on the job only if it does not impair the Employee’s ability to perform the essential functions of the job effectively and in a safe manner that does not endanger other individuals or property, including equipment, in the workplace. Any Employee undergoing medically prescribed treatment with a controlled substance or using an over-the-counter medication which may limit the Employee’s ability to perform his or her job, must report that treatment or use to his or her supervisor/manager immediately prior to beginning work. Failure to report such treatment or use to the supervisor/manager shall be cause for disciplinary action. It is the Employee’s responsibility to determine from his or her health care provider or pharmacist whether a medication may impair job performance. The information will be treated as confidential.

Each Employee is responsible for complying with this policy as a condition of employment and for acknowledging receipt of the policy.

Drug Testing

Caretech may require a blood test, urinalysis, hair test or other drug or alcohol screening of Employees suspected of using or being under the influence of drugs or alcohol or where other circumstances or workplace conditions justify such testing. The refusal to consent to testing may result in disciplinary action, including termination.

Depending on where you work, different laws regulate drug and alcohol testing of Employees. Any drug and alcohol testing conducted by Caretech shall conform to the applicable policy.

Iowa Procedures –Drug or Alcohol Testing

Caretech may conduct drug or alcohol testing under the following conditions or circumstances in compliance with Iowa law:

- A. Periodic, unannounced, random testing of Employees in accordance with Iowa law;
- B. During and after completion of drug or alcohol rehabilitation;
- C. Based upon a reasonable suspicion of drug or alcohol use in violation of this policy. “Reasonable suspicion” shall be based upon specific objective facts and the reasonable inferences drawn from those facts, including but not limited to any of the following:
 1. Direct observation of alcohol or drug use or abuse or of the physical symptoms of or manifestations of being impaired due to alcohol or other drug use;
 2. Abnormal conduct or erratic behavior while at work or a significant deterioration in work performance;
 3. A report of alcohol or drug use provided by a reliable and credible source;
 4. Evidence that an Employee has tampered with any drug or alcohol test during the Employee’s employment with Caretech;
 5. Evidence that an Employee has caused an accident while at work which



- resulted in an injury to a person which, if suffered by an Employee, would be reportable under Iowa Code Chapter 88, or which resulted in damage to property or equipment in an amount reasonably estimated to exceed \$1,000; or
6. Evidence that an Employee has manufactured, sold, distributed, solicited, possessed, used or transferred drugs while working or while on *Caretech* premises or while operating *Caretech* vehicles, equipment or machinery in violation of this policy.
- D. Testing of prospective Employees;
 - E. As required by federal law or regulation or by law enforcement; or
 - F. In connection with an investigation of a workplace accident which resulted in a reportable injury or property damage reasonably estimated to exceed \$1,000.

Persons subject to testing shall have the opportunity to provide any information which may be relevant to the test.

Upon receipt of a positive initial test result for drugs or alcohol, *Caretech* will notify the affected Employee by certified mail, return receipt requested. The affected Employee must notify *Caretech*, in person or by certified mail, return receipt requested, within seven (7) days from the date *Caretech* mailed the notice if the Employee desires to have a second confirmatory test performed. The Employee must also (1) inform *Caretech* of the approved laboratory the Employee has chosen to perform the test, and (2) submit the fee for the test to *Caretech*.

Caretech shall notify any prospective Employee who has a positive initial test result in writing of a confirmed positive result, along with the name and address of the medical review officer who certified the positive result. Thereafter, the prospective Employee shall have fifteen (15) calendar days to request copies of the relevant test records.

Upon receipt of a confirmed positive drug or alcohol test which indicates a violation of this policy, or upon a refusal to provide a testing sample, *Caretech* shall use the positive test result or test refusal as a basis for disciplinary action, up to and including discharge.

- A. With respect to a prospective Employee, a confirmed positive test result or refusal to provide a testing sample shall result in the refusal to hire the prospective Employee;
- B. With respect to a current Employee, a confirmed positive test result or refusal to provide a testing sample shall result in one of the following:
 1. Require that the Employee enroll in approved rehabilitation, treatment, or counseling program, which may include additional drug or alcohol testing, participation in and successful completion of which may be a condition of continued employment, and the costs of which may or may not be covered by the employer's health plan or policies.
 2. Suspension of the Employee, with or without pay, for a designated period of time.
 3. Termination of employment.

Any action taken against an Employee or prospective Employee shall be based only on the results of the drug or alcohol test.



Rehabilitation Rehabilitation is generally not required and will only be provided as an option to Employees under exceptional circumstances. However, rehabilitation shall be offered to Employees, in accordance with Iowa law, when the following conditions are met:

- A. Upon receipt of a confirmed positive alcohol test which indicates an alcohol concentration greater than the concentration level established by the employer pursuant to this section;
- B. The Employee has been employed by the employer for at least twelve of the preceding eighteen months;
- C. The Employee agrees to rehabilitation is agreed upon by the Employee; and
- D. The Employee has not previously violated the employer's substance abuse prevention policy pursuant to this section.

Costs of rehabilitation under this section shall be apportioned equally between the Employee and the employer. However, Caretech shall not be required to pay more than two thousand dollars towards the cost of rehabilitation under this subparagraph.

Rehabilitation required pursuant to this paragraph shall not preclude an employer from taking any adverse employment action against the Employee during the rehabilitation based on the Employee's failure to comply with any requirements of the rehabilitation, including any action by the Employee to invalidate a test sample provided by the Employee pursuant to the rehabilitation. However, if rehabilitation is required as set forth herein, Caretech shall not take adverse employment action against the Employee so long as the Employee complies with the requirements of rehabilitation and successfully completes rehabilitation.

Nebraska Procedures

Any testing program implemented pursuant to this policy shall strictly conform to the provisions outlined in The Nebraska Drug Testing Act, Sections 48-1901 to 48-1910 of the Nebraska Revised Statutes, relating to drug and alcohol testing of Employees. The provisions outlined in the Act relating to the methods employed to test, and the use, requirements, release, and disclosure of test results, specimen preservation, and chain of custody, shall control the manner in which the testing program is conducted. Employees shall be notified of a positive test result either verbally or in writing. A confirmed positive test result shall be the basis for disciplinary action, up to and including discharge. A refusal to submit to a test shall also provide a basis for disciplinary action, up to and including discharge.

Federal Drug-Free Workplace Act of 1988

Under the requirements of the Federal Drug-Free Workplace Act of 1988, every Employee is required as a condition of employment to abide by this policy and to report any criminal convictions for drug-related activity in the workplace within five (5) days of his or her conviction. If an Employee voluntarily seeks help regarding a drug or alcohol problem, he or she shall be referred to the Administrator on a confidential basis. The Administrator may then refer the Employee to an appropriate counseling or medical facility for assistance. The Employee may be eligible for placement on a medical leave of absence.

Penalties for Violation of Policies

Employees are subject to disciplinary action, including termination of employment, if any of the policies of this manual are violated.

(Employee Acknowledgment on next page)

Employee Acknowledgement Form

Changes to Handbook: Since the information, policies, and benefits described in this Handbook are necessarily subject to change at any time, I acknowledge that the Employer may, in its discretion, make changes at any time, with or without notice to me and without a written revision of this Handbook, except to the Employer's policy of employment at-will. Employees may visit Caretech's website, www.caretechinc.com to review policies at any time. I understand that the Employer will generally attempt to communicate any revisions, modifications and changes to this Handbook to its Employees, but that these revisions, modifications and changes will be effective immediately upon adoption, with or without such notice. Accordingly, I will not rely on the continuation of any such information, policies or benefits.

At-Will Employment/Not a Contract: I furthermore acknowledge that I have entered into my employment relationship with the Employer voluntarily and acknowledge the relationship is one of "at-will" employment, unless I have signed a separate, written employment contract stating otherwise. Accordingly, I understand that either the Employer or I may terminate the relationship at will for any legal reason, with or without cause or notice, at any time. I acknowledge that this Handbook is not intended to be a contract of employment nor is any part of it intended to be a promise or representation of any specific term or condition of employment, and that no agent of the Employer has made any offer or representation to me in connection with my employment which is contrary to the terms of this Acknowledgement and this Handbook.

Confidentiality/Non-Disclosure. During the course of my employment with the Employer, I understand that I may have access to and become familiar with certain confidential information including, but not limited to patient-information, financial records, estimates and promotional methods, sales, performance and/or production and products and processes the Employer intends to develop, sell and/or use in the course of its business. I understand that such information, documents, products, and processes are the confidential information of the Employer, and I agree that I will not at any time, during or after my employment, use or disclose such confidential information to any individual or organization that is not affiliated with the Employer, in an unauthorized manner. I understand and expressly agree that in the event of a breach of this provision, the Employer shall be entitled, in addition to any other remedies, to an injunction from any competent court ordering me to cease and desist from any further unauthorized use or disclosures.

Covenant Not to Compete. I acknowledge that I have read and entered into a covenant not to compete with the Employer both during and after my employment with the Company under the terms stated in this handbook. Failure to sign this document will constitute immediate termination of employment with Caretech.

Written Authorization. I have specifically read and I understand the policies entitled Access to Cash or Checkbooks, Use of Client Amenities, and Theft, and I authorize and agree that Caretech may make deductions from my pay pursuant to those policies. I further acknowledge and admit that any such deductions pursuant to those policies accrue to my benefit and not to the benefit of Caretech.



Special Wage Structure for Home Care/Chore Specialist Employees and Consequences of Untimely Reports. I acknowledge that I have read and I understand the special wage structure for Care/Chore Specialist Employees and consequences of submitting untimely reports. If I am a Care/Chore Specialist Employee, I agree to receive this compensation structure and abide by the policy to submit reports in a timely manner consistent with the policies herein.

Termination Notice. I agree that if I voluntarily resign or terminate my employment I will provide at least two weeks written notice prior to my final day of employment. I understand that failure to abide by this policy results in application of the Special Wage Structure for Home Care/Chore Specialist Employees policy.

I further acknowledge that I have read the above pages and received either a print or electronic copy of the Caretech Employee Manual and Handbook, as indicated by my signature and date below.

_____ Signature of Employee _____ Date

_____ Print Name of Employee



BLANK REPORT FORMS—APPENDIX

This page left intentionally blank. Forms appear on following pages.

Iowa Department of Human Services

REPORT OF SUSPECTED CHILD ABUSE

This form may be used as the written report which the law requires all mandated reporters to file with the Department of Human Services following an oral report of suspected child abuse. If your agency has a report form or letter format which includes all of the information requested on this form, you may use the agency format in place of this form.

Fill in as much information under each category as is known. Submit the completed form to the local office of the Department of Human Services within 48 hours of oral report.

FAMILY INFORMATION		
Name of child	Age	Date of birth
Address		
Phone	School	Grade level
Name of parent or guardian		Phone (if different from child's)
Address (if different from child's)		
OTHER CHILDREN IN THE HOME		
NAME	BIRTH DATE	CONDITION
INFORMATION ABOUT SUSPECTED ABUSE		
<p>In this section, indicate the date of suspected abuse; the nature, extent and cause of the suspected abuse; the persons thought to be responsible for the suspected abuse; evidence of previous abuse; and other pertinent information needed to conduct the assessment. Use the back of this form if necessary to complete the information requested above and to identify individuals who have been informed of the child abuse report, such as building administrator, supervisor, etc.</p>		
REPORTER INFORMATION		
Name and title or position		
Office address		
Phone	Relationship to child	
Names of other mandatory reporters who have knowledge of the abuse		
Signature of reporter		Date

Iowa Department of Human Services

SUSPECTED DEPENDENT ADULT ABUSE REPORT

This form may be used as the written report that mandatory reporters file with the Department of Human Services following an oral report of suspected dependent adult abuse. See page 2 for instructions.

There are three criteria for a dependent adult abuse referral:

- (1) A dependent adult. (2) Abuse as defined in Iowa Code 235B. (3) A caretaker, if applicable.

REPORT INFORMATION

Name of Dependent	Phone ()	Birth Date	
Street	City	State	Zip Code
1. Person is a dependent adult because:			
2. Type of abuse noted:			
<input type="checkbox"/> Physical injury	<input type="checkbox"/> Financial exploitation	<input type="checkbox"/> Denial of care by dependent adult him/herself	
<input type="checkbox"/> Sexual offense	<input type="checkbox"/> Unreasonable punishment	<input type="checkbox"/> Denial of care by caretaker	
<input type="checkbox"/> Unreasonable confinement			
Information about suspected abuse: (Incidents, previous abuse, person responsible for abuse, name and address of guardian, etc.)			
3. Caretaker: (Omit if deprivation is by the dependent adult.)			
Name	Phone ()		
Street	City	State	Zip Code
Person is a caretaker because:			

REPORTER INFORMATION

Name	Position	Relationship to Adult
Office Address		Phone ()
Names of other mandatory reporters who have knowledge of the abuse		
Signature of Reporter		Date

470-2441 (Rev. 2/02)



**Instructions for Completing Form 470-2441,
Suspected Dependent Adult Abuse Report**

- ⇒ The mandatory reporter who has made the initial oral report of suspected abuse to the Department of Human Services prepares this form.
- ⇒ Submit this form within 48 hours of the oral report to the Protective Service Unit that will be conducting the evaluation or assessment.
- ⇒ If the oral report was not accepted for evaluation or assessment, this form is not necessary.
- ⇒ If your agency has a report form or letter format that includes all of the information requested on this form, you may use the agency format in place of form 470-2441.

Use the space below if there is not enough space for all pertinent information on the front of this form. You can attach collateral reports or other information to the form.