



Employee Handbook

Options

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Our Mission

Options partners with people with disabilities and our communities to bring about self-directed and enriched lives through information, education and support.

Our Vision

Options is a national leader in services to people with disabilities that result in active citizenship, rewarding employment, and fulfilling relationships within their community.

Our Beliefs

- *All people are valued human beings with rights, freedoms, and choices.*
- *All people can make significant contributions.*
- *All people are empowered by the dignity of risk and strengthened by their experiences.*
- *All people can benefit from meaningful relationships and active citizenship.*
- *All people can and should direct their own lives.*

Organizational Values

Excellence

We have a passion for excellence and continually pursue quality

Team Development

We involve staff in all levels of decision-making and provide them with information and education to be the best

Community Involvement

We believe that the only way to impact the community is for Options to be an integral part of our communities

Innovation

We use the most current technology and embrace change

Accountability

We develop aggressive goals and hold ourselves accountable for their accomplishment

Respect

We respect the rights of each and every person

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Introduction

Welcome to Options, where we are committed to developing and continuing a spirit of success that will benefit the company, employees and customers. As we grow and expand, the greatest contribution to our success will be our employees. Each employee plays a vital part in establishing a distinguished reputation for reliability, quality and service.

At Options for Better Living, Inc. ("Options" or the "agency"), we realize that any successful business enterprise requires fair working conditions where both management and employees know each other's general expectations.

This handbook is intended to provide you with the basic information about your obligations and benefits as an employee of the agency. It will not answer all of your questions, but it is designed to address those most commonly asked. This handbook DOES NOT create any type of contract or guaranty of continued employment between Options and any or all of its employees.

The policies and procedures set forth in this handbook are merely a statement of general agency practices. Options may from time to time, at its sole discretion, change, supplement, or eliminate these policies and procedures without prior notice to employees. Employees may access the current Options Employee Handbook and policy updates via the Options website at www.optionsfbl.com and WorkSmart's DarwiNet website at www.worksmartpeo.com.

Your employment is "at-will," and therefore, just as you may terminate your relationship with the agency at any time for any reason, Options expressly reserves the right to terminate any employee at its sole discretion, with or without cause, with or without advance notice. Absolutely no one except the agency's Executive Director may change this relationship, and then only in writing.

This handbook is being provided to you as a reference guide during your employment with the agency. If you have any questions or need clarification on specific policies or procedures, please ask your supervisor or the agency's Human Resources Director.

We wish you success in your new position, and we hope your employment with Options will be both pleasant and rewarding.

What is a "Co-Employer Relationship?"

In September of 2009, Options entered into a relationship with WorkSmart, a Professional Employer Organization (PEO). The relationship between Options and WorkSmart Systems is joint or co-employment. This means that the two companies share the rights and responsibilities of an employer. This relationship provides our employees access to a full menu of high quality benefit programs, while maintaining a safe, equitable and positive work environment. In this manual, you will see reference to both Options and WorkSmart in various locations.

To contact WorkSmart Systems, please call 317-585-7870 or e-mail humanresources@worksmartpeo.com.

For additional information, please logon to www.worksmartpeo.com.

Go to: Co-Employee Information Center; Username: wsemployee; Password: 5857870.

Business Ethics and Conduct

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

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

Options will comply with all applicable laws and regulations and expects its management and employees to conduct business in accordance with the letter, spirit, and intent of all relevant laws and to refrain from any illegal, dishonest, or unethical conduct. More detail for employee conduct is spelled out in that section of the handbook.

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

Compliance with this policy of business ethics and conduct is the responsibility of every Options employee. Disregarding or failing to comply with this standard of business ethics and conduct may result in disciplinary action, up to and including termination.

Leadership Structure

Board of Directors

The Board of Directors is comprised of parents, customers, and community leaders. This group holds fiduciary responsibility and must be involved in all corporate legal matters. The board is charged with adopting new board policies, approving the annual budget, approving major capital acquisitions, and strategic planning.

Executive Leadership Team

The Executive Director, Chief Financial Officer, Development Director, and all Directors of Services comprise the Executive Leadership Team. This group is responsible for final decisions regarding salary and budget administration, policy writing and interpretation, and management of the total enterprise.

Leadership Team

Representatives from Services, Operations, and Executive areas are charged with sharing information, improving agency-wide communication, and making recommendations to the Executive Leadership Team about policies and procedures, and evaluating organizational structure.

Services Leadership Team

The Services Leadership Team is comprised of the Directors of Services. The team is responsible for providing leadership and direction to the Services Networks. The team is responsible for ensuring that the services are delivered in an effective and efficient manner. Quality and customer choice are paramount considerations in the decision making process for the team. In addition, the Services Leadership Team ensures that best practices are at the forefront of service delivery. The Services Leadership Team also reviews all referrals to help determine the appropriate match to the Service Networks, and to establish timelines for initiating services.

History

A group of family members founded Options For Better Living, Inc. in 1982. Out of their effort came the first respite services provided to families in Monroe and surrounding counties. The following is a brief summary of some of the milestones in Options' history:

- 1982 Options opened as "Better Living for Special People." The new agency received a respite grant for Monroe, Owen, and Lawrence counties. Options served 22 families in the first year.
- 1984 Options opened its first group home, Grandview, in Bloomington. Six men moved into the home, which was designed to enable them to move on their own as they gained daily living skills.
- 1984 To enable individuals to move into their own apartments and homes, Options began the "Semi-Independent Living" program.
- 1986 Options opened Ida Lane group home for six men, some of whom were moving back to their community from institutions.
- 1988 Options began some of the first supported living services in Indiana, through Alternative Family for Adults and Children.
- 1990 The agency officially changed its name to Options For Better Living, Inc. to better reflect the many services provided.
- 1991 Options built two new group homes in Spencer, Indiana, serving eleven individuals.
- 1992 Options began providing services through the Medicaid Waiver, a new funding stream for Indiana.
- 1993 Options built a home in Ellettsville with much opposition from neighbors, who today, are friends of the agency. We believe this was the last group home built in Indiana, as the state then placed a moratorium on opening new group homes.
- 1995 Options expanded Medicaid Waiver services to include personal assistance, attendant care, and residential-based habilitation.
- 1996 Options reorganized in-home services into one program named Supported Living.
- 1999 *Options added behavior support through the Medicaid Waiver to Supported Living.*
- 2000 Options added another new service: supported employment and individual habilitation. Options is able to provide customers with a holistic approach to service delivery.
- 2001 Options reorganized to ensure that all services are delivered in a quality manner.
- 2001 The Grandview group home was closed, and the people living there moved into their own homes.
- 2001 Proceeds from the sale of Grandview were used to open Options' first Endowment fund, the 20th Anniversary Fund.
- 2002 The Ellettsville group home residents moved from the group living to supported living. Options began delivering targeted case management services.
- 2003 Options opened its first satellite office in Bedford, Indiana
- 2004 East Street Group Home is converted to supported living
- 2004 Options moves office in Bedford to G Street location.
- 2004 Options moved its main office to the Winslow location.
- 2006 Options obtained funding from Monroe County to provide additional respite services and other supports for services.
- 2007 Options began its affordable housing program, Housing Options, and acquired 12 apartment units on Covey Lane that included 4 accessible apartments. CARF reviewed Community Living services for the first time and along with Employment and Community Participation they earned a three year accreditation.
- 2008 Options moves office in Bedford to Lincoln Avenue location.

Agency Teams

Services Team

All of Options services are implemented through a person-centered-planning approach whereby the individual, family, or significant others choose the supports and how they are delivered. Options believes strongly that all people can and should direct their own lives. We offer a full range of services to people residing in South Central Indiana to ensure self-direction and fulfilled lives. The Directors of Services lead all services and each has a designated number of Networks to oversee. Meeting areas and some administrative offices are also available at the Bloomington office.

Service Networks

The organization currently has five networks. Each network represents a blending of the following services: Community Living, Supported Employment, and Community Life. The purpose of the network structure is to develop systems that will support individuals in a way that recognizes whole life experiences. In doing so, it also encourages employee development through cross training and support. Each network is led by a team of Network Coordinators and Team Managers who are jointly responsible for the management of their network. The following describes each major service area:

Community Living Support

Options supports children and adults with disabilities through a variety of residential services. These services are designed so that individuals live where and with whom they want. Services are provided either in the individual's home or in one of the Options' group homes.

Specific services include:

- Respite services
- Supervised group living
- Residential based habilitation
- Community based habilitation
- Behavior Support
- Health Care Coordination

Supported Employment

Options supports individuals with disabilities so that they can get and keep jobs in the community. We take a team approach so all services that an individual receives are coordinated. Services include job-seeking skills, job placement, long-term career development services, and ongoing support.

Community Life

Options provides support to individuals in improving daily living skills, accessing recreation, or becoming part of community organizations. Services are tailored to individual's dreams and desires, and focus on community inclusion and participation. Options believes that this is an integral part of services, as all people benefit significantly from meaningful relationships and active citizenship.

Operations Team

The Operations Team is located in the Bloomington office, and is led by the Chief Financial Officer. Three major functions have been combined into one team in order to provide continuity of information flow and service to internal customers. The following are the major tasks that are performed by Operations Team:

Fiscal Services

The CFO and three Staff Accountants comprise the Fiscal Services department. This area is responsible for processing payroll, paying bills, billing for services, operations management and policy, budgeting and financial reporting, and financial audits.

Human Resources

The Human Resources Director and the Human Resources Assistant lead the hiring process, handle insurance issues, track employee data, and provide necessary reports to meet management and government requirements.

Information Technology

The IT Systems Specialist ensures that Options' computer equipment is in good working order and employees are trained.

Executive Team

The Executive Team is located in the Bloomington office and is led by the Executive Director. This area provides the visionary leadership and marketing strategy that is required to increase our presence in the communities we serve and beyond. Below are the major tasks that are performed by Executive Team.

Community Outreach/Development

The Community Outreach Director works to maximize local funding and support for Options. This area is responsible for marketing and promotional materials, community outreach, fundraising, event planning, and volunteer recruitment.

Leadership and Strategic Planning

The Executive Director and the Community Outreach Director are responsible for promoting Options' mission and vision in all communities served. The Executive Director works with constituents to identify agency strengths and correct weaknesses by gathering and analyzing feedback from all stakeholders including customers, staff, families, funders, and civic leaders.

Reception

The Office Manager answers the telephone, sorts and distributes mail, orders supplies, performs secretarial services to staff members and oversees general office management duties.

About The Main Office*Office Hours*

The Bloomington office is open from 8:00 a.m. to 5:00 p.m. and telephones are answered from 8:30 a.m. to 5:00 p.m., Monday through Friday. At other times, please use voice mail (1-800-875-9615), e-mail, or the pager system (1-877-313-1989) to contact individuals in the event of an emergency.

Parking

Employee parking is located on the west side of the main office and on the north side away from the building. Parking spaces located at the front of the office are reserved for customers and guests.

Office Equipment

The office copier is to be used for copying materials relating to Options business. An operating code may be required for you to access this machine. Please see the receptionist for the appropriate code.

Computers

Computers in the group homes, the Bloomington office, satellite offices, as well as laptops and netbooks are the property of Options, and are to be used solely for Options related business. Employees, family members, and friends are prohibited from performing routine maintenance or repairs to Options' computer

equipment. If you have problems with your computer, report this to the Information Technology Systems Manager.

Office Supplies

Office supplies that are purchased by Options are to be used for company business only. If you take supplies from the supply room, please record it in the book. Office supplies that are not normally kept may be specially ordered from the Services Administrative Assistant.

Reserving Conference Room Space

Conference rooms are for the convenience of Options employees, customers, customer families, and others connected with Options. These rooms must be reserved in advance. The receptionist keeps the schedule and can help you make your reservation.

Conference Room Cleanliness

Please be aware that a cleaning service provides only minimal service three times a week, and wiping tables and washing dishes are not included. Out of consideration for other Options staff and customers, please straighten the conference room after your meeting and clean off tables so that it will be ready for the next group.

Break Room

At the main office, Options has a designated break room and kitchen area for employee use. Please be considerate of others by wiping the table after your meal, washing your dishes, cleaning microwave (if used), and throwing out your trash.

Library

The library contains materials on disability issues, and is available for all Options employees, customers, and the community. Employees are encouraged to take advantage of library resources in completing annual continuing education requirements. Please return materials within 2 weeks. You will be charged for lost or damaged items.

Check Out Computers

Check-out computers are available at the Bloomington office for employee use. Staff and customers may use these work areas by reserving in advance with the receptionist or checking for availability with reception upon arrival.

Drop Box

Located on the outer wall to the left of the employee entrance door is an Options drop box for employee convenience. This box is to be used for handing in payroll adjustment forms after regular business hours. Please do not place cash, checks, or library materials in this box.

Personal Protective Equipment (PPE)

Employees are issued a PPE kit (see Health & Safety) upon hire and are encouraged to replace the kit annually. Please ask the Employee Development Coordinator for kit replacements.

Smoking

Smoking in any Options facility is prohibited! Smoking is allowed only outside in designated areas away from doorways.

Code of Conduct

The Principles set forth in this Code of Conduct will be distributed to all employees at hire through the orientation process and reviewed annually with Directors, Key Management, and volunteers having administrative or managerial responsibilities. All employees are responsible for ensuring that their behavior and activity is consistent with the Code of Conduct.

Principle 1 - Legal Compliance: Options will strive to ensure all activity by or on behalf of Options is in compliance with applicable laws and regulations. Employees are required to comply with all applicable federal, state and local laws and regulations, whether or not specifically addressed in these policies. If questions regarding the existence of, interpretation or application of any law or regulation arise, they should be directed to the Executive Director who serves as the corporation's Compliance Officer.

Standard 1.1 -Antitrust

All employees must comply with applicable antitrust and similar laws which regulate competition. Examples of conduct prohibited by the laws include (1) agreements to fix prices, bid rigging, collusion (including price sharing) with competitors; (2) boycotts, certain exclusive dealing and price discrimination agreements; and (3) unfair trade practices including bribery, misappropriation of trade secrets, deception, intimidation and similar unfair practices. Employees are expected to seek advice from the Executive Director when confronted with decisions involving a risk of violation of the antitrust laws.

Standard 1.2 -Tax

As a nonprofit entity, Options has a legal and ethical obligation to act in compliance with applicable laws and regulations, to engage in activities in furtherance of its charitable purpose, and to ensure that its resources are used in a manner which furthers the public good rather than the private or personal interests of any individual. Consequently, Options and its employees will avoid compensation arrangements in excess of fair market value, will accurately report payments to appropriate taxing authorities, and will file all tax and information returns in a manner consistent with applicable laws and regulations.

Standard 1.3 –Fraud, Waste and Abuse

Options expects its employees to refrain from conduct which may violate the fraud and abuse laws. These laws prohibit (1) direct, indirect or disguised payments in exchange for the referral of customers; (2) the submission of false, fraudulent or misleading claims to any government entity or third party payer, including claims for services not rendered, claims which characterize the service differently than the service actually rendered, or claims which do not otherwise comply with applicable program or contractual requirements; and (3) making false representations to any person or entity in order to gain or retain participation in a program or to obtain payment for any service. Any violation should be immediately reported per the waste and abuse policy. For additional guidance, please refer to the Fraud, Waste and Abuse Policy referenced in this Plan.

Standard 1.4 -Lobbying/Political Activity

Options expects each of its employees to refrain from engaging in activity which may jeopardize the tax exempt status of the corporation, including a variety of lobbying and political activities. Any requests or demands by any governmental representative for any improper benefit should be immediately reported to Executive Director who serves as the corporation's Compliance Officer.

Standard 1.5 -Discrimination

Options believes that the fair and equitable treatment of employees, people we serve and other persons is critical to fulfilling its vision and goals. It is a policy of Options to treat the people we serve without regard to the race, color, religion, sex, ethnic origin, age or abilities of such person, or any other classification prohibited by law.

It is a policy of Options to recruit, hire, train, promote, assign, transfer, layoff, recall and terminate employees based on their own ability, achievement, experience and conduct without regard to race, color, religion, sex, ethnic origin, age or abilities, or any other classification prohibited by law.

No form of harassment or discrimination on the basis of sex, race, color, abilities, age, religion or ethnic origin or abilities or any other classification prohibited by law will be permitted. Each allegation of harassment or discrimination will be promptly investigated in accordance with applicable human resource policies.

Principle 2 -Business Ethics: In furtherance of Options' commitment to the highest standards of business ethics and integrity, employees will accurately and honestly represent Options and will not engage in any activity or scheme intended to defraud anyone of money, property or honest services. The Standards set forth below are designed to provide guidance to ensure that its business activities reflect the high standards of business ethics and integrity. Employee conduct not specifically addressed by these standards must be consistent with this Principle.

2.1 -Honest Communication

Options requires candor and honesty from individuals in the performance of their responsibilities and in communication with its attorneys and auditors. No employee shall make false or misleading statements to any individual whom we serve or other person or entity doing business with Options about any individuals, persons or entities doing business or competing with Options, or about the services of Options or its competitors.

2.2 -Misappropriation of Proprietary Information

Options employees shall not misappropriate confidential or proprietary information belonging to another person or entity nor utilize any publication, document, computer program, information or product in violation of a third party's interest in such product.

All of Options employees are responsible to ensure they do not improperly copy for their own use documents or computer programs in violation of applicable copyright laws or licensing agreements. All employees must comply with Options' Information Technology and Equipment Policy.

2.3 -Fraud, Waste and Abuse (See Standard 1.3 above)

2.4 -- Outside employment

Employees are prohibited from engaging in outside employment duties while on company time. Further employees should not engage in work for another employer during off-work hours if the other job would conflict with company interests or would adversely affect the company. Employees are prohibited from engaging in any outside employment that would detract from their job performance or adversely affect their mental or physical effectiveness.

Principle 3 –Confidentiality: Options' employees shall strive to maintain confidential information in accordance with applicable legal and ethical standards.

Options and its employees are in possession of and have access to a broad variety of confidential, sensitive and proprietary information, the inappropriate release of which could be injurious to the people we serve, Options' business partners and Options itself. Every employee of Options has an obligation to actively protect and safeguard confidential, sensitive and proprietary information in a manner designed to prevent the unauthorized disclosure of information.

3.1 -Information Related to the People We Serve

All employees of Options have an obligation to conduct themselves in accordance with the principle of maintaining the confidentiality of information from and about people we serve in accordance with all applicable laws and regulations. Employees shall refrain from revealing any such personal or confidential information unless in accordance with applicable law and Options' policies. If questions arise regarding an obligation to maintain the confidentiality of information or the appropriateness of releasing information, employees should seek guidance from their supervisor.

The United States Department of Health and Human Services (HHS) has issued Standards for the Privacy of Individually Identifiable Health Information (Privacy Rule) which became effective on April 14, 2003, establishing a set of national standards for the protection of health information. The Privacy Rule standards address the use and disclosure of Protected Health Information as well as standards for an individual's privacy rights to understand and control how his/her health information is used. The Office of Civil Rights, within HHS has the responsibility for implementing and enforcing the Health Insurance Portability and Accountability Act (HIPAA) Privacy regulations.

All employees receive training related to confidentiality and HIPAA Privacy regulations prior to being responsible for Protected Health Information and have an obligation to follow all applicable confidentiality and HIPAA Policies and Procedures. These Policies and Procedures are related to confidentiality, individual access and amendment of Protected Health Information and communication preferences.

Employees should contact the Agency Privacy Officer, the HR Director, if they have questions about a specific HIPAA related Policy or Procedure.

3.2 -Proprietary Information

Information, ideas and intellectual property assets of Options are important to organizational success. Information pertaining to Options' competitive position or business strategies, payment and reimbursement information, and information relating to negotiations with employees or third parties should be protected and shared only with employees having a need to know such information in order to perform their job responsibilities. Employees should exercise care to ensure that intellectual property rights, including patents, trademarks, copyrights and software is carefully maintained and managed to preserve and protect its value.

3.3 -Personnel Actions/Decisions

Salary, benefit and other personal information relating to employees shall be treated as confidential. Personnel files, payroll information, disciplinary matters and similar information shall be maintained in a manner designed to ensure confidentiality in accordance with applicable laws. Employees will exercise due care to prevent the release or sharing of information beyond those persons who may need such information to fulfill their job function.

Principle 4 -Conflicts of Interest: Directors and employees owe a duty of undivided and unqualified loyalty to Options. Persons holding such positions may not use their positions to profit personally or to assist others in profiting in any way at the expense of the corporation. All Board members and employees are expected to regulate their activities so as to avoid actual impropriety and/or the appearance of impropriety which might arise from the influence of those activities on business decisions of Options, or from disclosure or private use of business affairs or plans of Options. Staff should refer to Options' Conflict of Interest Policy for further guidance.

4.1 -Participation on Boards of Directors/Trustees

Key Personnel must obtain approval from his/her supervisor prior to serving as a member of the Board of Directors/Trustees of any corporation whose interests may conflict with those of Options. Key Personnel who are asked, or serve on the Board of Directors/Trustees of any corporation whose interest would not impact Options (for example, civic, most charitable, fraternal and so forth) will not be required to obtain such approval.

4.2 -Honoraria

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Effective January 1, 2010
Revised July 1, 2010

Employees are, with the permission of their supervisor, encouraged to participate as faculty and speakers at educational programs and functions. However, any honoraria in excess of One Hundred Dollars (\$100.00) shall be turned over to Options *unless* the employee used paid time off to attend the program or that portion of the program for which the honoraria is paid.

4.3 – Conflict activities

Employees are discouraged from acting as an employee, officer, director, partner, consultant, representative, agent or advisor for a supplier, competitor of the corporation, or any business with which the corporation does business.

4.4 – Relationships

Employees may not be in the position of supervising, reviewing or influencing the job evaluation, pay or benefits of any relative, spouse, or anyone with whom they are in a romantic relationship. Romantic relationships between employees are discouraged and must be disclosed to a supervisor.

Principle 5 -Business Relationships: Business transactions with vendors, contractors and other third parties shall be transacted free from offers or solicitation of gifts and favors or other improper inducements. The Standards set forth below are intended to guide key employees in determining the appropriateness of the listed activities or behaviors. It is the intent of Options that this policy be construed broadly to avoid even the appearance of improper activity. If there is any doubt or concern about whether specific conduct or activities are ethical or otherwise appropriate, you should contact Options' Compliance Officer, the Executive Director.

5.1 -Gifts and Gratuities

It is Options' desire to at all times preserve and protect its reputation and to avoid the appearance of impropriety. Consequently:

- a) Gifts from People Whom We Serve. Employees are prohibited from *soliciting* tips, personal gratuities or gifts from people we serve and their family members. Employees may accept voluntary monetary gifts, gratuities and gifts of a nominal value (<\$25 value) from the people we serve and their family members. If a person we serve or another individual wishes to present a monetary gift to the organization, he/she should be referred to the development office.
- b) Gifts Influencing Decision-making. Employees shall not accept gifts, favors, services, entertainment or other things of value to the extent that decision-making or actions affecting Options might be influenced. Similarly, the offer or giving of money, services or other things of value with the expectation of influencing the judgment or decision-making process of any purchaser, supplier, customer, government official or other person by Options is absolutely prohibited. Any such conduct must be reported immediately to the Options' Compliance Officer.
- c) Gifts from Existing Vendors. Employees may retain gifts from vendors, which have a nominal value. Options has made no attempt to define "nominal" as a specific dollar value. Rather, Options expects its employees to exercise good judgment and discretion in accepting gifts. If an employee has any concern whether a gift should be accepted, the employee should consult with his/her supervisor. Employees shall not accept excessive gifts, meals, expensive entertainment or other offers of goods or services which have more than a nominal value nor may they solicit gifts from vendors, suppliers, contractors or other persons.
- d) Vendor Sponsored Entertainment. At a vendor's invitation, an individual may accept meals, entertainment or refreshments at the vendor's expense. In most circumstances, a regular business representative of the vendor should be in attendance with the employee.

5.2 -Contracting

Employees may not utilize "insider" information for any business activity conducted by or on behalf of Options. All business relations with contractors must be conducted at arm's length both in fact and in appearance and in compliance with Options' policies and procedures. Employees should obtain clarification on questionable issues which may arise and to comply, where applicable, with Options'

conflict of interest policy.

Principle 6 -Protection of Assets : All employees will strive to preserve and protect Options' assets by making prudent and effective use of Options' resources and properly and accurately reporting its financial condition. The Standards set forth below are intended to guide key employees related to activities or behaviors which may impact Options' financial health and reflect a reasonable and appropriate use of agency assets.

6.1 -Internal Control

Options has established control standards and procedures to ensure that assets are protected and properly used and that financial records and reports are accurate and reliable. All employees of Options share the responsibility for maintaining and complying with required internal controls.

6.2 -Financial Reporting

All financial reports, accounting records, research reports, expense accounts, time sheets and other documents must accurately and clearly represent the relevant facts or the true nature of a transaction. Improper or fraudulent accounting, documentation or financial reporting is contrary to the policy of Options and may be in violation of applicable laws.

6.3 -Travel

Travel expenses should be consistent with the employee's job responsibility and Options' needs and resources. Employees must also comply with Options' policies relating to travel.

6.4 -Personal Use of Corporation's Assets

All property and business of Options shall be conducted in a manner designed to further Options' interest rather than the personal interest of an individual employee. Employees are prohibited from the unauthorized use or taking of Options' equipment, supplies, materials, assets, or services. Prior to engaging in any activity on company time which will result in remuneration to the employee or the use of Options' equipment, supplies, materials or services for personal or non-work related purposes, employees shall obtain the approval of their supervisor.

Principal 7 Service Delivery: While providing services staff will adhere to the highest level of conduct. All employees will strive to promote the mission, vision, and values of the organizations. The ethical guidelines strive to ensure customer staff relationships are clear and free of conflicts of interest and that staff act professionally at all times.

7.1 – Conflicts of interest

Staff must disclose any conflict of interest arising from service provision to a customer. When such conflicts exist, the staff member may be reassigned.

7.2 – Exchange of gifts, money, and gratuities

Staff may never solicit and are discouraged from accepting gifts, money or gratuities from customers or their families. Staff must comply with employee policies outlined.

7.3 – Personal fundraising

Staff are not to solicit for personal causes from our customers or their families. Any solicitation to other staff must be approved by the Development Director.

7.4 – Personal Property

Staff must respect and safeguard the personal property of customers, visitors and personnel and property owned by the organizations

7.5 – Setting Boundaries

Staff are expected to maintain a professional relationship with customers, other staff, and agency funders. Intimate relationships with customers are prohibited and other relationship boundaries outlined in employee policies must be adhered to at all times.

7.6 – Witnessing of documents

Staff who are asked to witness signatures on documents are expected to do so with the utmost care ensuring the authenticity of the signature and accuracy of the document.

ADMINISTRATION AND APPLICATION OF THIS CODE OF CONDUCT

Options expects each person to whom this Code of Conduct applies to abide by the Principles and Standards set forth herein and to conduct the business and affairs of Options in a manner consistent with the general statement of principles set forth herein.

Failure to abide by this Code of Conduct or the guidelines for behavior which the Code of Conduct represents may lead to disciplinary action.

Nothing in this Code of Conduct is intended to nor shall be construed as providing any additional employment or contract rights to employees or other persons.

While Options will generally attempt to communicate changes concurrent with or prior to the implementation of such changes, Options reserves the right to modify, amend or alter the Code of Conduct without notice to any person or employee.

Fraud, Waste, and Abuse Compliance Policy

The purpose is to communicate the policy of Options regarding actions to be taken with respect to suspected misconduct committed, encountered, or observed by employees and volunteers at Options.

Like all corporations, Options faces many risks associated with fraud, waste, and abuse. The impact of these acts, collectively referred to as misconduct throughout this policy, may include, but not be limited to:

- Financial losses and liabilities
- Loss of current and future financial support
- Negative publicity and damage to the agency's good public image
- Loss of employees and volunteers and difficulty in attracting new personnel
- Deterioration of employee and volunteer morale
- Loss of customers
- Harm to the agency's relationships with funding sources, vendors, bankers, and sub recipients
- Litigation and related costs of investigation

Our corporation is committed to establishing and maintaining a work environment of the highest ethical standards. Achievement of this goal requires the cooperation and assistance of every employee and volunteer at all levels of the corporation.

DEFINITIONS

For purposes of this policy, misconduct includes, but is not limited to:

- Actions that violate the corporation's Code of Conduct (and any underlying policies)
- Fraud (see below)
- Forgery or alteration of documents
- Disclosure to any external party of proprietary information or confidential personal information obtained in connection with employment with or service to the corporation
- Inappropriate personal or other inappropriate (nonbusiness) use of the corporation's equipment, assets, services, personnel, or other resources
- Acts that violate federal, state, or local laws or regulations
- Failure to report known instances of misconduct in accordance with the reporting responsibilities described herein (including tolerance by supervisory employees of misconduct of subordinates)
- Acts that violate agreements or contracts

- Violation of Compliance Screening for Excluded Providers – Options will not employ, contract, or affiliate with a Health Care Provider who has been excluded from the Medicare and Medicaid Programs. We will ensure that there is timely and accurate review of all individuals and entities that are subject to exclusion by checking the List of Excluded Individuals and Entities (LEIE) which is maintained by the Office of Inspector General (OIG) and is available on its website. This database is updated monthly.

Fraud is further defined to include, but not limited to:

- Theft, embezzlement, or other misappropriation of assets
- Intentional misstatements in the corporation's records, including intentional misstatements of accounting records or financial statements, or of program accomplishments
- Authorizing or receiving payments for goods not received or services not performed
- Authorizing or receiving payments for hours not worked
- Forgery or alteration of documents, including but not limited to checks, timesheets, contracts, check requests, receiving reports

It is the policy of Options to prohibit each of the preceding acts of misconduct on the part of corporation employees, officers, executives, volunteers, and others responsible for carrying out the corporation's activities.

WHISTLE BLOWER PROTECTION

It is the responsibility of every employee, officer, and volunteer, to immediately report suspected misconduct without the fear of retaliation. Any reprisal against a reporting individual because that individual, in good faith, reported a suspected act of misconduct, is prohibited and will, in turn, be considered a misconduct. The grievance process outlined in the Employee Handbook should be used to report suspected retaliation.

APPLICATION

Options expects all employees to abide by the principles in the Code of Conduct and related Options' policies and procedures. As a result, all employees are expected to report an activity or practice that may violate applicable rules. Failure to abide by these principles or report violations may lead to disciplinary action. Employees who encounter any situation that raises a compliance concern should:

- a) Speak to their supervisor; or
- b) Speak to their supervisor's superior; or
- c) Speak to the Executive Director, who serves as the Corporate Compliance Officer; or
- d) Speak to Board President when the Executive Director or a Board member is involved

When in doubt staff should talk to the Executive Director who serves as the Corporate Compliance Officer. Any reprisal or harassment against a reporting individual because that individual, in good faith, reported a suspected act of misconduct, is prohibited and will, in turn, be considered misconduct. Information will be held confidential, within limits of the law. The Executive Director is responsible for reporting all investigations to the Board Audit Committee on matters pertaining to Executive Limitations and Goals.

Investigative Responsibilities

Proper handling of allegations is imperative. Due to the sensitive nature of suspected misconduct, supervisors and managers should not perform any investigative procedures. The Executive Director has the primary responsibility for investigating suspected misconduct for positions including CFO downward. Investigations will begin within 10 days of a complaint and will be completed within 30 work days. A summary of all investigative work shall be reported to the Audit Committee.

The Audit Committee has the primary responsibility for investigating suspected misconduct involving the Executive Director and members of the Board. Investigation into suspected misconduct will be performed without regard to the suspected individual's position, length of service, or relationship with the corporation. Investigations will begin within 10 days of a complaint and will be completed within 60 work days.

In fulfilling its investigative responsibilities, the Audit Committee shall have the authority to seek the advice and/or contract for the services of outside firms, including law firms, CPA firms, forensic accountants and investigators, and so on.

In cases of suspected fraud, investigators shall have free and unrestricted access to all corporation records and premises, whether owned or rented, at all times. They shall also have the authority to examine, copy, and remove all or any portion of the contents (in paper or electronic form) of filing cabinets, storage facilities, desk, credenzas, and computers without prior knowledge or consent of any individual who might use or have custody of any such items or facilities when it is within the scope of an investigation into suspected misconduct or related follow-up procedures.

Neither the existence nor the status or results of investigations into suspected misconduct shall be disclosed or discussed with any individual other than those with a legitimate need to know in order to perform their duties and fulfill their responsibilities effectively.

Disciplinary action will be coordinated with the Human Resources Director. The seriousness of the misconduct will be considered in determining appropriate disciplinary action, which may include:

- Reprimand
- Probation
- Suspension
- Demotion
- Termination
- Reimbursement of losses or damages
- Referral for criminal prosecution or civil action

This listing of possible disciplinary actions is for information purposes only and does not bind the corporation to follow any particular policy or procedure.

When misconduct involves a Board member, the Audit Committee will make recommendations to the Executive Committee of the Board which will determine appropriate action which may include reprimand, suspension or dismissal from the Board.

Information Technology & Office Equipment Policies

6.12.1 Conduct Regarding All Technology At Options Policy

To inform employees and volunteers of the appropriate use of Options technical resources (i.e., computers, internet, email and voicemail systems, copiers and fax machines), and to advise that they are to have no expectations of privacy regarding utilization of these resources.

1. Options furnishes copiers, faxes, telephones, computers, internet access, email and voicemail to Options employees and volunteers. Using these resources is not to be conducted in any way that may be disruptive to Options operations or in violation of Options policy or law.

2. Options technology resources are provided exclusively to assist in the conduct of business at Options.
3. Anonymous communications, as well as communications that may constitute verbal abuse, slander, or defamation, or that may be considered offensive, harassing, vulgar, obscene, or threatening, are strictly prohibited, as are copying, posting, and/or accessing sexually explicit or offensive material (such as through an internet website). Offensive content would include, but not be limited to, sexual comments or images, racial slurs, gender specific comments, or any comments that would offend someone on the basis of his or her age, race, sex, color, religion, national origin, disability, or veteran status.
4. Violations of any of the following equipment related policies will subject violators to disciplinary action up to and including termination. In addition, Options may refer certain violations, including, but not limited to, accessing pornographic materials or illegally duplicating software to appropriate authorities.

6.12.2 Computer Equipment & Software Policy

To provide business tools for employees to enhance efficiency and productivity in the work place and to provide e-mail communication capabilities.

To ensure that machines are in excellent working order, and that computer hardware and software are compatible across the agency.

To practice good stewardship in procurement, maintenance, and upgrading company hardware and software.

To provide a computer technology replacement plan that will address current and future needs of the agency, and will be the basis for preparing the annual capital asset budget.

1. Computers, computer peripherals, and computer software are provided to employees by Options and are the property of Options. The equipment is to be used by authorized Options employees, volunteers, and customers only in the course of their work at Options.
2. Use of these resources is not to be conducted in any way that may be disruptive to the operation of Options or in violation of policy or law. Employees, volunteers, friends of employees, and customers are prohibited from disassembling, removing, or adding internal hardware, erasing software, and engaging in any illegal or pornographic internet activity while using equipment belonging to Options.
3. Options uses the following computer software as the company's standard, in a Microsoft Windows environment:
 - Microsoft Word
 - Microsoft Excel
 - Microsoft Access
 - Microsoft Power Point
 - Microsoft Publisher
 - Microsoft Front Page
 - Raiser's Edge
 - Accel
 - MAS90 Payroll/Accounting
 - Budget Maestro
 - Adobe PageMaker
 - Crystal Reports
 - FRx Report Writer
 - Medicaid approved billing software provided by EDS
 - FSSA Budget & Billing
 - Others as recommended by IT Coordinator and authorized by the Executive Director
4. Only authorized software may be installed on Options computers. Options will not be held responsible for program malfunctions or lost data resulting from the use of software that the company does not

use or support.

5. Options must follow software license agreements on all computer software. This is accomplished when the Information Technology Systems Coordinator installs all software according to each software package's specific license agreement. This ensures proper license tracking and proper installation on each computer.
6. The Information Technology Systems Coordinator will act as the sole Computer Network Administrator for the agency. This person will provide routine maintenance as needed, perform all software installations and upgrades, train staff, and assist in computer purchase decisions.
7. Staff will use a written work request to notify the IT Systems Coordinator immediately of any computer problems.
8. All computer equipment will be purchased in accordance with the current annual Capital Equipment purchase plan as recommended by the Audit Committee and approved by the Board of Directors. For emergencies, or other unusual situations, the Executive Director may expressly approve in advance, within executive approval limitations, a computer purchase that is not in the Capital Equipment budget.
9. The Information Technology Systems Coordinator in consultation with the Executive Director and Chief Financial Officer, will perform price comparisons and make all computer hardware and software purchases.
10. Options will develop a technology plan to direct the use of information technology. The plan will be revised annually and will include:
 - Hardware
 - Software
 - Security
 - Confidentiality
 - Back up policies
 - Assistive Technology
 - Disaster recovery preparedness
 - Virus protection

6.12.3 Security Policy

To safeguard hardware, software, and data processed by computers and electronically stored devices against damage, loss, alteration, theft, and unauthorized access or disclosure.

1. All customer and employee data are the property of Options.
2. All Options computer users will use processes for accessing customer and employee data that comply with Health Insurance Portability and Accounting Act (HIPAA) provisions and Options privacy policy. Access to all HIPAA protected data at Options will be assigned on a need to know basis.
3. Each employee is responsible for creating and maintaining a secure login and password. Passwords will expire in six months and must be changed by the user. Passwords are confidential and will not be shared with anyone or written down anywhere. Each user has sole responsibility for all data and email sent from within his/her login and password. If a user suspects that someone knows his/her password, the user should change the password immediately.
4. An employee who shares his/her ID's and password with someone else will be responsible for any wrongdoing and misconduct committed by the person the login and password was shared with.
5. Staff may only disclose passwords or grant access if requested by the Information Technology Systems Coordinator.
6. Unauthorized attempts to discover another user's password, or to break into or access a computer

system, account, or data files other than one's own, are strictly prohibited. The absence of file protection does not indicate such authorization.

7. Local document storage is defined as saving a file to the hard drive, in most cases the "C" drive. Users are prohibited from storing data on this drive. Files must be stored on the network, in the proper folder for the user's set of rights (see below).
8. Network storage is defined as saving a file to the network server's hard drive in either the personal "home" folder or a "shared" drive. It is recommended that all data be stored on a network drive. Data stored on a network drive will be available from any computer, eliminating the need to transfer one's documents from the local hard drive in the event of a computer crash or upgrade to another computer.
9. Data stored on the network drive will be automatically backed up daily.

6.12.4 Email and Internet Usage Policy

To provide guidelines for using Options email and the internet appropriately, ethically, and in a professional manner.

1. Supervisors must notify the Information Technology Systems Coordinator of new Options employees who need a user login and email address. The supervisor must also notify him/her immediately if an employee leaves the organization.
2. Email should be used in a professional manner at all times. Options' name is attached to all messages so using discretion in formulating messages is essential.
3. To avoid slowing down the network, music streaming, sending large files that are not business related, i.e. large pictures, programs, etc. is prohibited.
4. No user should send chain email for any reason.
5. All email should be stored on the mail server and non essential email should be removed regularly.
6. Options internet and email access may not be used for transmitting, retrieving or storing of any communications of a defamatory, discriminatory or harassing nature or materials that are obscene or X-rated. No message with derogatory or inflammatory remarks about an individual's race, age, disability, religion, national origin, physical attributes or sexual preference shall be transmitted.
7. Harassment of any kind is prohibited.
8. Disparaging, abusive, profane, or offensive language; materials that would adversely or negatively reflect upon Options or be contrary to Options best interests; and any illegal activities – including piracy, cracking, extortion, blackmail, copyright infringement, and unauthorized access to any computers on the internet or email – are forbidden.
9. Copyrighted materials belonging to entities other than Options may not be transmitted by employees on the company's network. Providing the URL for others to view these materials on their own is preferable.
10. Each employee is responsible for the content of all text, audio or images that he/she places or sends over the company's internet and email system. No email or other electronic communications may be sent which hides the identity of the sender or represents the sender as someone else.
11. Staff may not participate in chat rooms using Options internet services.
12. Email is not guaranteed to be private or confidential. All electronic communications are the property

of Options, therefore, Options reserves the right to examine, monitor and regulate email messages, directories and files, as well as internet usage.

13. Email messages are considered business records and may be subject to discovery in the event of litigation.

6.12.5 Ethical Usage Policy

To ensure ethical usage of technology at Options

1. Examples of unethical usage are as follows:
 - Violations of computer system security
 - Unauthorized use of computer accounts, access codes, or network identification numbers assigned to others.
 - Intentionally undermining the productivity of others.
 - Use of computing resources for private business purposes unrelated to the mission of Options.
 - Violation of software license agreements.
 - Violation of network usage policies and regulations.
 - Violation of another user's privacy.
 - Copyright infringement
2. Examples of proactive usage are as follows:
 - Regular deletion of unneeded files from one's account on the server.
 - Refraining from overuse of information storage space, printing facilities, or processing capacity.
 - Overuse of remote access or wireless connectivity.
3. Staff who violate IT policies will be subject to discipline up to and including termination.

6.12.6 Door Key Cards Policy

To ensure the safety of employees working in the main office building and to ensure the proper use of door key cards.

1. Supervisors must inform the Information Technology Systems Coordinator when new employees are hired to work in the main office building.
2. Office employees who work in the main office building will be given a door key card and password for entry through the Employee Entrance door during and after hours.
3. To ensure the safety of others in the building, door key cards and passwords are to be used by the person they are issued to ONLY.
4. If a key card is lost or stolen, it must be reported to the Information Technology Systems Coordinator immediately.
5. Door key cards and password cards must be returned to the Information Technology Systems Coordinator upon leaving employment at Options.

6.12.7 Kiosk/Internet Usage Policy

To provide guidelines for employee use of internet connections and company owned Kiosks placed in customer settings.

1. This policy applies to all Options employees.
2. The provided internet connection and Kiosks located in customer settings will only be used for accessing the Accel timekeeping website and any additional web pages that have been previously approved through the IT Systems Coordinator or Options executive management.
3. No hardware (DSL modem/network cabling) will be modified (unplugged) to provide internet access

for personal use.

4. Additional hardware (wireless routers/network equipment) will not be added to the provided internet connection without prior approval from Options executive management and the IT Systems Coordinator.
5. All internet access requests must be routed through & approved by Options executive management and the IT Systems Coordinator.
6. Kiosk/internet usage has been designed for viewing customer data and accessing staff timekeeping only. There may be exceptions where internet e-mail account access will be made available for use with the Night Owl support service and the available internet connection.
7. Those who violate this policy will be subject to disciplinary action.

6.12.9 Virtual Private Network (VPN) Policy

The purpose of this policy is to provide guidelines for Remote Access Virtual Private Network (VPN) connections to the Options local area network.

1. This policy applies to all Options employees utilizing Cisco VPN client software to access the Options local area network.
2. Approved Options employees may utilize the benefits of VPN, which is a "user managed" service. This means that the user is responsible for selecting an Internet Service Provider (ISP), installation of the Cisco client software, configuring the Cisco VPN client software for use. Further installation details will be provided by the IT Systems Coordinator once employee has been approved for VPN access.
3. It is the responsibility of employees with VPN privileges to ensure that unauthorized users are not allowed access to Options internal networks.
4. All VPN access requests must be routed through & approved by Options management and the IT Systems Coordinator.
5. VPN use is to be controlled by using a Cisco group authentication username and password and by utilizing the supplied Cisco VPN client credentials.
6. When actively connected to the Options network, VPN will force all traffic to and from the PC over the VPN tunnel: all other traffic will be dropped.
7. The VPN client is currently available for Windows 2000/XP. Approved users are responsible for the installation of the VPN client software.
8. All computers connected to Options local area network via VPN or any other technology must use the most up-to-date anti-virus/spy-ware software that is available; this includes Microsoft security patches on personal computers.
9. VPN users will be required to disconnect from the Options network after completing work requirements.
10. Only Options approved VPN clients (Cisco client) may be used.
11. By using VPN technology with personal equipment, users must understand that their machines are a de facto extension of Options' network, and as such are subject to the same rules and regulations that apply to Options-owned equipment.

12. Any user found to have violated this policy will be subject to loss of certain privileges or services, including but not necessarily limited to loss of VPN access.

6.12.10 Sending Confidential Electronic Documents Policy

To provide detailed instructions for sending confidential documents to outside vendors / organizations.

1. All confidential electronic documents need to be secured with a password / encryption method before sending.
2. Confidential documents include: Any electronic document that includes: SSN, phone number, e-mail address or physical address of Options customers / employees.
3. Detailed instructions will be provided by the IT Systems Coordinator for password protecting / encrypting each electronic document type.
4. Document types that can be encrypted include: MS Word, MS Excel, MS PowerPoint and Adobe PDF documents.
5. Passwords used to encrypt documents will need to be shared with outside vendors / organizations through a secure method.
6. Secure methods to share password information include: (Telephone call directly to recipient, Face to face communication).
7. Avoid sharing confidential document password information via e-mail or leaving voicemail messages with password information.

Equal Employment

Equal Opportunity

Options is an equal opportunity employer with a standing policy of nondiscrimination. This means that all qualified persons are accorded an equal opportunity for employment or promotion without regard to race, color, religion, sexual orientation, sex, age (except where sex or age is a bona-fide occupational qualification, as defined by law), or physical or mental disability (except where the disability prevents the individual from being able to perform the essential functions of the job and cannot be reasonably accommodated in full compliance with the law), or any other status or condition protected by federal or state law.

Options will make reasonable accommodations to enable individuals with disabilities to perform essential functions of positions.

Options will comply with all fair employment laws and will take all necessary measures to prevent or eliminate illegal discrimination. Options will develop and implement a recruitment plan that reflects the diversity of its communities.

This policy applies to all personnel actions in all job classifications, as well as to all privileges and conditions of employment. It includes, but is not limited to, such areas as recruiting, hiring, training, promotion, discipline, compensation, termination, benefits, transfers, layoffs and recalls.

All employees are expected to comply with this Equal Employment Opportunity Policy. Overall responsibility for implementing this policy is assigned to the agency's Executive Director. However, all supervisors and managers are also responsible for ensuring that this policy is adhered to in their individual work units. Supervisors and managers are expected to cooperate fully in meeting our equal opportunity objectives, and their overall performance will be evaluated accordingly.

If you have any questions regarding this policy, or if you feel that you have been a victim of discrimination, please contact the agency's Human Resources Director or the Executive Director.

Harassment Policy

It is Options' policy to provide a workplace free from all forms of discrimination, including harassment based on race, color, religion, gender, sex, sexual orientation, national origin, age, or disability. Options will not tolerate any such form of employee harassment. It is against this policy for any employee (whether a manager, supervisor, or co-worker) or non-employee (whether a customer, vendor, consultant, or other person) to harass an employee of the agency.

Prohibited harassment occurs when verbal or physical conduct that defames or shows hostility toward an individual because of his or her race, color, religion, gender, sex, sexual orientation, national origin, age, or disability, or that of the individual's relatives, friends, or associates; creates or is intended to create an intimidating, hostile, or offensive working environment; interferes or is intended to interfere with an individual's work performance; or otherwise adversely affects an individual's employment opportunities.

Harassing conduct includes, but is not limited to:

Epithets, slurs, negative stereotyping, or threatening, intimidating or hostile acts, which relate to race, color, religion, gender, sex, sexual orientation, national origin, age, or physical or mental disability;

Written or graphic material that defames or shows hostility or aversion toward an individual or group because of race, color, religion, gender, sex, sexual orientation, national origin, age, or physical or mental disability and that is placed on walls, bulletin boards, or elsewhere on the agency's premises, or that is circulated in the workplace.

An employee who believes he or she has been harassed in violation of this policy should:

- report the conduct immediately to his or her supervisor;

or

- if the immediate supervisor is responsible for the harassment, then to the Human Resources Director or the Executive Director.

The employee always has the option of reporting the conduct directly to the Human Resources Director if he or she prefers.

Any supervisor or manager who becomes aware of allegations of harassment should promptly advise the Human Resources Director or the Executive Director, who will then investigate the matter in a timely and confidential manner. Complaints will be investigated thoroughly, impartially, and promptly, and will be kept confidential to the extent possible. Any employee who is found, after appropriate investigation, to have harassed another employee in violation of this policy will be subject to disciplinary action up to and including termination.

Sexual Harassment

It is also a specific policy of Options to provide a work environment free from sexual and sex-based harassment, including harassment based on an employee's sexual orientation. It is against this policy for any employee (whether a manager, supervisor, or co-worker) or non-employee (whether a customer, vendor, consultant, or other person) to sexually harass an employee of the agency. Sexual or sex-based harassment occurs when unwelcome verbal or physical conduct of a sexual nature becomes a condition of an employee's continued employment, affects other employment decisions regarding the employee, or creates an intimidating, hostile, or offensive working environment.

Sexual and sex-based harassment may include:

- Requests for sexual favors
- Unwanted physical contact, including touching, pinching, or brushing the body;
- Verbal harassment, such as sexual innuendos, suggestive comments, jokes of a sexual nature, sexual propositions, and threats;
- Non-verbal conduct, such as displays of sexually suggestive objects or pictures, leering, whistling, or obscene gestures; and
- Acts of physical aggression, intimidation, hostility, threats, or unequal treatment based on sex, even if not sexual in nature.

An employee who believes he or she has been sexually harassed in violation of this policy should:

- report the conduct immediately to his or her supervisor;
- or
- if the immediate supervisor is responsible for the sexual harassment, then to the Human Resources Director or the Executive Director.

The employee always has the option of reporting the conduct directly to the Human Resources Director if he or she prefers.

Any supervisor or manager who becomes aware of allegations of harassment should promptly advise the Human Resources Director or the Executive Director, who will then investigate the matter in a timely and confidential manner. Complaints will be investigated thoroughly, impartially, and promptly, and will be kept confidential to the greatest extent possible. Any employee who is found, after appropriate investigation, to have harassed another employee in violation of this policy will be subject to disciplinary action up to and including termination.

Reasonable Accommodations

Options is prepared to modify or adjust the job application process or the job or work environment to make reasonable accommodations to the known physical or mental limitations of the applicant or employee to enable the applicant or employee to be considered for the position he or she desires, to perform the essential functions of the position in question, or to enjoy equal benefits and privileges of employment as are enjoyed by other similarly situated employees without disabilities, unless the accommodation would impose an undue hardship or pose a direct threat of substantial harm to the health or safety of the applicant, employee or others. Employees needing accommodations should contact the Options' Human Resource Director who is charged with reviewing requests for accommodations and determining reasonableness of the request per agency policy.

Each Employee is responsible for making timely and complete disclosures and specific requests regarding accommodations to meet his or her particular needs in order to enable the HR Director to provide an appropriate response. It is strongly recommended that requests for accommodations be made as soon as possible to avoid delays in providing reasonable accommodations.

The HR Director will work with the employee and supervisor to determine job duties requiring accommodation, types of accommodations available, and implementation schedule. The HR Director will determine whether the accommodation would impose an undue hardship or pose a direct threat of substantial harm to the health or safety of the applicant, employee or others. The HR Director will report any denied accommodation based on these criteria to the Executive Director.

Hiring Guidelines

Job Requirements

Services staff at Options must have a valid driver's license and an acceptable driving record. Applicants must be at least 18; have, at minimum, a high school diploma or GED, be eligible to work in the United States; have not committed fraud or abuse against a dependent person; be free of communicable diseases as evidenced by a negative Mantoux TB test; have at least three positive references; have auto insurance; and have a satisfactory local criminal history check in compliance with Indiana Administrative Code 460 IAC 6-10-5. Prospective employees, owners or operators, and/or contractors may not have been convicted of a sex crime, rape, criminal deviate conduct, exploitation of an endangered adult, failure to report battery, neglect, or exploitation of an endangered adult or abuse or neglect of a child, theft (if the conviction occurred less than ten (10) years before the person's employment application date), murder, voluntary manslaughter, involuntary manslaughter, felony battery, and a felony offense related to a controlled substance. Those who have a "finding" listed with the State Nurse Aide Registry of the Indiana State Department of Health are not eligible for hire. Those who are named on the Office of the Inspector General's list of excluded individuals (LEIE database) for fraud, waste or abuse with Medicare or Medicaid programs are not eligible for hire. Criteria for specific positions are outlined in job descriptions. Criminal history background checks on employees and owners/operators will be conducted in compliance with Indiana Code 16-7-27-2-3 and Indiana Code 16-27-2-4.

Background Checks

Background checks will be conducted on prospective employees by the Human Resources (HR) Department:

- HR will contact a minimum of three references (work or personal) of prospective employees to verify past employment and background information.
- HR will obtain a state criminal background check from the Indiana State Police Central Repository for Criminal History for prospective employees. Employees will be required to furnish a limited criminal history for every county of residence during the past 3 years at hire.
- HR will obtain a national criminal history check and/or limited criminal history background check as required by Indiana Code 16-27-2-4.
- HR will obtain the driving history of prospective employees for positions that require driving to verify the person has a valid driver's license and an acceptable driving record.
- HR will verify the prospective employee has no reported findings on the Certified Nurse Aide Registry maintained by Indiana State Department of Health.
- Options will not employ, contract or affiliate with a Health Care Provider who has been excluded from the Medicare and Medicaid Programs. Human Resources will ensure that there is timely and accurate review of all individuals and entities that are subject to exclusion on the **List of Excluded Individuals and Entities** list.
- HR will conduct additional background checks if required for the position, including credit checks, verification of college degrees, or certifications.
- Current employees will be subject to periodic background checks as required. Failure to meet eligibility requirements may lead to disciplinary action, up to and including termination of employment.

Immigration Law Compliance

- Options is committed to employing only United States citizens and aliens who are authorized to work in the United States. We do not unlawfully discriminate on the basis of citizenship or national origin.
- In compliance with the Immigration Reform and Control Act of 1986, each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility. Former employees who are rehired must also complete the form if they have not completed an I-9 with Options within the past three years, or if their previous I-9 is no longer retained or valid. Current employees may periodically be required to complete a new form if required under the law.
- Employees that have questions or seek more information on immigration law issues are encouraged to contact the Human Resources department at WorkSmart Systems. Employees may raise questions or complaints about immigration law compliance without fear of reprisal.

Job Postings

The Open Positions List is posted in the Bloomington office break room, the Options website, the Bedford office, and is emailed each pay period along with the Grapevine. It is also available from the Receptionist at the Bloomington office. Current employees interested in applying for specific positions must complete an Internal Application and submit it to Human Resources. For some positions, a resume and cover letter may be required.

Generally, within ten days of closing a posted position, the process of screening and interviewing applicants will begin. Based on the interview, recommendations, and references, the appropriate supervisor makes a determination regarding employment and starting salary. The Human Resources Director prepares a written offer letter and notifies all applicants of the hiring decision. All internal applicants for Options positions will be informed of decisions by the interviewing supervisor in a timely fashion.

The Human Resources Director is authorized to offer employment to applicants of all positions except the Chief Financial Officer, Director of Services, and Executive Director. No other employee, except the Executive Director, may authorize new positions with Options.

Hiring Relatives

A member of an employee's immediate family will be considered for employment by Options, provided the applicant possesses all qualifications for employment. No staff member will have direct (sole) or indirect responsibility for hiring a relative, one related party may not supervise the other, and related persons will not be involved in evaluating each other's job performance or in making recommendations for salary adjustments or promotions. For the purpose of this policy, "relative" means a child, mother, father, husband, wife, sister, brother, grandparent, aunt, uncle, cousin, or corresponding in-laws and step-family. Employees must disclose family relationships immediately to their supervisor and Human Resources. Failure to disclose a family relationship could result in disciplinary action.

Hiring Customer Relatives

Options hires relatives and/or guardians of customers we serve when they meet the requirements of the job and provided that the service is authorized by the funding source; however, relatives may not work for their own immediate family members (child, mother, father, sibling, or corresponding in-laws or step family) unless there is a review and approval by the appropriate Director of Services along with assurances by the customer and/or guardian that the employee will comply with Options' employee requirements.

Employee Status

For the purpose of benefits administration, all employees are classified as either Full-Time or Part-Time. This classification is determined upon hiring, and, because it affects benefits and cost projections, any subsequent changes must be reported to the Human Resources Director. In addition, employee status is further broken down as follows:

- *Probationary employees* have been in their positions fewer than 90 days.
- *Regular part-time employees* are scheduled to work less than 32 hours per week. If a regular part-time employee agrees to work a temporary position (due to the regularly scheduled employee going on leave, etc.) it is understood that this temporary situation will not exceed six months, and the employee will not be eligible for full-time benefits due to taking on the temporary shift.
- *Regular full-time employees* typically are scheduled to work 32 hours or more per week at their regularly scheduled shift and are eligible for benefits after the 90 days probation period in that position.
- *Independent Contractors* are paid according to agreement and are not Options employees. These people do not receive wages through payroll, and are not subject to the rules in this handbook. They are guided by the stipulations of their agreement. Examples of independent contractors are behavior specialists, personal support agents, builders, nurses, dieticians, maintenance people, etc.
- *Temporary workers* (generally secretarial or accounting) that are contracted through an outside employment agency, are employed and paid by the employment agency, and are not employees of Options.
- *Temporary workers* (generally secretarial or accounting) that are employed and paid by Options are considered to be employees of Options.

Changes in Employee Status

Since the benefit structure at Options is based on employee status, it is important for changes to be reported immediately. All supervisors are responsible for reporting status changes to the Human Resources Director

Changing Positions at Options

To apply for a new position, the employee must:

- Complete an Internal Application and go through the interview process. If the position change is a lateral move, there will be no change to the current pay rate. If the change in position is a promotion, the employee is considered to be a “new hire” and the pay rate will be determined by using the Wage Matrix for New Hires for that position. If the position change is a move to a lower level, the Human Resources Director will assist the hiring supervisor with determining the lower pay rate. The hiring supervisor will make the determination and will inform the employee of the recommended pay rate.
- If hired, the employee must resign the current position, giving 3 weeks notice.

The hiring supervisor will determine the pay rate to offer based on the position and the New Hire Matrix. As is stated in Options’ policy, supervisors may appeal to the Director of Services and Executive Director if they would like to offer a salary outside of the Matrix system.

Employees must complete 90 days of service in the current position before a change in position is possible (unless the supervisor recommends the change early). Open positions are posted in the break room in the Bloomington office and posted on the Options website. The New Hire Matrix, which is the basis for determining entry-level pay ranges, can be obtained from the Human Resources Director.

Changing to Substitute Status

Employees who resign all regular shifts, but do not want to resign from Options, may choose to move to an on-call substitute status. Substitutes must work a minimum of 10 hours per month on a consistent

basis. Employees who change to substitute status must contact a supervisor weekly to schedule shifts and are expected to work the minimum requirements to help with open shifts. Network Coordinators or Team Leaders supervise the substitutes. Substitutes must remain current with Training and Human Resources requirements. Employees who do not meet the expectations for substitutes will be terminated from the agency 30 days after resigning the regular shifts.

Employee Records

WorkSmart Systems, Inc. and the Human Resources Department maintain all employee records. All employee medical records are kept in a separate filing cabinet, and are not accessible by persons other than Human Resources staff, the CFO, and the Executive Director. Only employees of the Human Resources Department, the CFO, and the Executive Director are empowered to access all employee files. WorkSmart Systems, Inc. also maintains certain employee records in their facility and only designated WorkSmart employees have access to these employee files. An employee's supervisor may access the employee's non-medical file on a need-to-know basis under the direction of the Human Resources Director.

Employees may access their own files only in the presence of the Human Resources Director, HR Assistant, CFO, or the Executive Director. Employees must submit a written notification 24 hours in advance of their intent to view their personnel file. Employees may request photocopies of documents from their personnel files. No original documents may be removed from the personnel file or the office.

Information in personnel records is released to outside sources only with the written permission of the employee, or in response to a duly authorized court order.

Training and Continuing Education

Orientation to the Agency

Options is dedicated to excellence in delivery of services to persons with disabilities. Throughout the process of orientation to the agency, new employees will be introduced to these ideals in a manner that will reinforce the importance of their implementation. We endeavor to provide orientation training that will enable new employees to perform their duties effectively, efficiently, and competently.

New employees will need to complete the following requirements before attending any other training or shadowing:

- Attend an "Introduction Day"
- Submit proof of a negative TB test (or chest x-ray)
- Submit proof of satisfactory local and state criminal history checks (will be checked every three years).
- Submit two pieces of identification (birth certificate, driver's license, social security card, passport, etc).
- Submit proof of automobile insurance.
- Submit high school diploma or required college degree.
- Provide licensure or other proof of credentials as required.

New services employees must complete the following Preview Classes (online or in-person) before attending Certification Classes, unless Foundations Certification is submitted:

- PCP and ISP Presentation
- Wellness, Nutrition and Personal Care Presentation
- CPR/FA Concepts Presentation
- Safe Environments Presentation
- Effective Communication Presentation
- Teaching and Documentation Presentation
- Medication Administration Presentation

- Prevention of Abuse and Neglect Presentation
- Community and Employment Presentation
- Positive Behavioral Support Presentation

New services employees must complete the following Certification Classes in person before working independently unless documentation of current certification is provided.

- Core A Certification
 - Those submitting certification will need to successfully complete a challenge test and a medication pass audit.
- Core B Certification
 - Those submitting certification will need to successfully complete a challenge test.
- CPR Certification
 - Submitted certification must be good through the end of the year (only American Red Cross or American Heart Association cards accepted).
- First Aid Certification
 - Submitted certification must be good through the end of the year (only American Red Cross or American Heart Association cards accepted).
- CPI's Nonviolent Crisis Intervention Certification
 - Submitted certification must be good through the end of the year, and employee must successfully complete a challenge test.
- Health Issues Practicum
- Safety and Emergency Response Practicum
- Respectful Support Practicum

The following orientation classes are WAIVED for new Non-Services employees:

- PCP and ISP Presentation
- CPR/FA Concepts Presentation
- Safe Environments Presentation
- Effective Communication Presentation
- Prevention of Abuse and Neglect Presentation
- Core A and B Certification
- CPI's Nonviolent Crisis Intervention Certification
- Health Issues Practicum

New employees and employees changing positions must also complete the following training:

- **Customer Specific Orientation** – *shadow shifts and on-site training that includes: safety review; IPP/PCP review; documentation, medication procedures; behavioral support; transportation; allergies; seizure management; special dietary needs; mobility issues; diabetes; respiratory issues; adaptive equipment and systems; financial assistance; pager procedures, other health and safety issues.*
- **Additional requirements as assigned by supervisor**– a supervisor may see a need to assign additional training prior to the employee being assigned to direct service responsibilities. Examples include Van Training, Office Orientation, Pager Training, etc.

All employees must attend the orientation and customer-specific training program before reporting to their first direct service shift. Failure to complete orientation and training within 30 days may result in dismissal. Please note that the hours earned during orientation will count towards the total continuing education hours required for the year.

New Direct Support Professionals will be paid a training hourly rate for attending their initial orientation at Options including online training and shadow shifts. The training rate will be in effect until the orientation process has been completed, and required documentation is turned in to Human Resources.

Employees who have been rehired after at least a year's absence are required to fulfill all of the requirements of a new hire.

Returning employees who have been absent for less than a year may be exempted from all or part of the orientation training required of new hires. The Human Resources Director and Employee Development Coordinator will make this determination. If the employee is required to attend orientation, the training wage will be paid during this time. Returning employees not required to attend orientation will be paid the predetermined entry wage. Returning employees must provide a new local criminal history and must complete all other training requirements necessary to bring them into current compliance with annual renewal training for their network. The new employee's supervisor must obtain approval from the Employee Development Coordinator and Human Resources Director before the employee can begin work.

Continuing Education

All employees are required to participate in ongoing training and education. We believe that all staff can benefit from sharing techniques and information gathered from working with our customers, and training topics are directed at enabling employees to better meet those needs. All training must be documented on a continuing education form and submitted to the Employee Development Coordinators. Employees that complete training independently or outside of the agency must fill out the appropriate continuing education form and present it to their supervisor for approval in order to get credit for the training. Questions about continuing education should be directed to the Employee Development Coordinators.

All staff must complete renewal training requirements by their assigned renewal dates each year in order to remain in good standing with the agency, and be eligible for any pay increases associated with performance reviews. Progressive discipline will be implemented for staff who have not met their renewal requirements on time.

The following must be renewed BEFORE certification expires:

- Annual Adult and Child CPR Certification through the American Red Cross (annually) or American Heart Association (within 2 years).
- Current First Aid Certification through the American Red Cross (within 3 years) or American Heart Association (within 2 years).
- Annual TB test for staff working in group homes or PSA services as required only

Current services employees must also complete a services renewal training program each year that addresses topics targeted as vital by the agency and its regulators. The details about the renewal training program will be published in the Grapevine Newsletter and via the Accel Messaging System.

Non-services employees will be required to complete a non-services renewal training program each year and must keep their CPR/FA certifications current. Additional training may be required based on individual positions and assessment of needs by supervisors.

All staff need to participate in enough training each year by 12/31 to fulfill their CE unit requirement.

- Services staff and salaried office staff must complete 24 hours of Continuing Education each year.
- Hourly office staff must complete 12 hours of Continuing Education each year.
- Requirements for new hires are prorated according to hire date.

Options will offer at least twenty-four hours of training every year. It is the employee's responsibility to see that he/she obtains the appropriate amount of credit each year. In general, employees should earn 2 hours of credit each month.

Employees may receive continuing education credit in the following ways:

- *Training sessions offered by Options* – Schedules of training are posted and/or distributed to employees. Staff should register for training sessions before attending.

- *Setting-specific training* – Staff meetings that include employee education may be documented as training credits. Customer-specific training and cross-training may also be submitted.
- *Training courses, professional workshops, and seminars offered by other community organizations* – Employees who participate in training courses offered outside of Options may receive one hour of credit for each hour attended. Your supervisor must approve these credits.
- *Related university/college courses* – One hour of credit for each hour attended is given for related university/college courses. Your supervisor must approve these courses.
- *Reading books or viewing videotapes* – Books, videos, and cassette tapes are located in the Main Office library, and may be checked out at any time. Other tapes are available from the Indiana Institute on Community and Disability, IU library, and the Monroe County library. Your supervisor must approve these credits.

Compensation & Reimbursements

The Executive Leadership Team, in consultation with the Human Resources Director shall determine compensation policy.

General Pay Philosophy

Options seeks to provide fair, competitive wages and salaries which recognize each individual's unique contribution to the overall goals of the organization. The salary structure is designed to be flexible, reward tenure, allow for employee growth, reflect organizational values, and be competitive in the current job market. Salary increases, when granted, are based on job requirements, merit, job performance, and the company's financial health. Options seeks to provide timely and accurate payment to employees in compliance with all applicable laws.

Pay Periods Deadlines

Pay periods will start on Sunday at 12:01 a.m. and end 14 days later, on Saturday at 11:59 p.m. This Sunday through Saturday schedule is the same for all employees.

Reporting Time, Mileage Reimbursement, Activity Reimbursement, and Other Documentation Deadlines

All Options employees are required to report time worked both accurately and in a timely manner.

Options uses the Accel System, an electronic means for recording and accumulating time worked, benefits hours, and mileage to be reimbursed. Employees may either report their time and mileage via the telephone or the Accel web page. Time is considered to be reported timely if it is reported within 24 hours of the end of the workday.

(If your workday ends at 3:00 p.m., you must record your time in Accel before 3:00 p.m. of the following day.).

Reporting Late Time: Time that is not reported within 24 hours of the end of the workday is considered to be late. Late time must still be reported by the employee through the telephone or web page, and must be approved by the supervisor. Please see Reporting Delinquent Shifts for reporting time that is two or more pay periods late.

Reporting Errors or Omissions to Time: Signed, Corrected Shift forms must be completed by employees and given to their supervisor immediately upon discovering any errors or omissions in time reported. Supervisors are the only ones authorized to make the corrections. Corrected Shift forms that are received in the Bloomington office after 12:00 p.m. (11:00 a.m. in the Bedford office) on Friday of the pay period just ended will not be paid until the following pay cycle.

Please note that Corrected Shift forms are to correct time reported, and are not substitute timesheets! All Employees are required to report their time via the website or telephone. Employees who have over 3 late reports will be subject to disciplinary action.

Reporting Delinquent Shifts: Time reported two or more pay periods late (defined as the current pay period and one previous pay period) are considered to be delinquent shifts. This time must be recorded on a Delinquent Shift form and submitted to the supervisor for approval. Delinquent Shift forms must be accompanied by progress notes signed by both the customer and the family before the supervisor approval. The Delinquent Shift form will then be forwarded to the Executive Director for review of disciplinary action, payment approval, and timing of payment.

Reporting Mileage and PTO: Time and mileage reported by employees must be accurate, and payment will be made pending supervisor approval. Approved PTO claimed will be paid according to policy as long as it does not exceed the amount accrued. Mileage that is reported three or more pay periods late will not be reimbursed.

Activity Reimbursement forms and receipts must be turned in for approval within three payroll cycles in order to be considered for payment. Activity Reimbursement forms received after that time will not be approved for payment.

To be paid with the payroll being processed, Activity Reimbursement forms and receipts must be submitted for approval in the Bloomington office by 12:00 p.m. (11:00 a.m. in the Bedford office) on the Friday of the pay period just ended. If received after these times, payment will not be made until the following pay cycle.

Pay Day: Regular employees will be paid bi-weekly on the second Friday after the end of the pay period. If a payday falls on a holiday, pay will be available on the regular business day nearest the regularly scheduled payday.

Options will comply with all federal and state requirements to maintain records of the hours worked by its employees. Time will be automatically calculated in ¼ hour increments and expressed as a decimal as follows:

¼ hr	= .25
½ hr	= .50
¾ hr	= .75
1 hr	= 1.00

Employees must not log in more than five minutes before beginning a shift. Because time records are legal documents required by both federal and state agencies, employees must ensure that time is recorded accurately. Falsification of time records or recording time for a co-worker is strictly prohibited. Violation of this policy may result in disciplinary action up to and including termination.

Direct Deposit Pay

All employees receive their wages and certain reimbursements through direct deposit (or debit card) issued by WorkSmart. Direct deposit stubs with pay information are available on individual WorkSmart secure web pages supplied to each employee. From here, employees may view and print pay information as needed.

It is the responsibility of each employee to notify Human Resources of any changes in banks or bank numbers that will affect their direct deposit (the deadline for this is 10:00 a.m. on the Friday before the pay period ends). If a banking change occurs and Human Resources is not notified before the direct deposit is processed, reprocessing with the correct information may not occur until the first direct deposit transmittal has failed (generally within 5 days).

Overtime

All employees should be aware that overtime work might be required as a condition of employment. Supervisors will make every effort to announce required overtime as far in advance as possible. No

employee may work more than 25 hours of overtime in a week without prior authorization from a Director of Services.

Overtime compensation for non-exempt employees will be computed in accordance with applicable federal and state wage and hour regulations. All non-exempt employees will be paid one and one-half times the regular hourly rate for time worked over 40 hours in any workweek. Working more than eight hours in one day does not by itself constitute overtime. The supervisor must approve all overtime in advance. No employee should be regularly scheduled to work overtime hours. Violation of this policy may result in disciplinary action up to and including termination. Holiday hours (not worked), Paid Time Off, and other paid leave hours taken cannot be used when calculating overtime hours.

Sleep Time

Employees shall be paid for sleep hours when they are allowed to sleep on duty. Staff must check with their supervisor to see if sleep time for specific settings is allowed. During sleep time, the employee is considered to be "on-call". Sleep time pay will be set at a predetermined rate (at or above minimum wage), regardless of the individual's regular wage.

The actual duration of "sleep time pay" shall be determined by one of the Directors of Services. The employee will be informed of on-duty and sleep time in advance. The individual will be paid the regular hourly wage for all on-duty time. If during the "on-call" time, the employee incurs overtime, he or she will be paid time and a half at a rate determined as follows:

$$\text{Sleep Time Overtime} = \frac{\text{Sleep Time Rate} + \text{Regular Rate}}{2}$$

Training and Entry Wage

Direct service staff will receive a training wage while they are completing required training. Staff must complete an orientation checklist, which include overall agency and supervisor training requirements, and must turn in required paperwork to Human Resources before moving to their entry wage. Upon successful completion of 90 days of service to Options, staff will receive an increase in entry wage, as determined by the current compensation system.

Reimbursements

Reimbursements through Payroll

- *Mileage* – Employees using their personal vehicles to travel out of town or transport customers will be reimbursed at the rate per mile that is determined annually by the Board of Directors. Each customer receiving services has a predetermined daily mileage limit to be utilized over the course of each day by all staff scheduled to work. It is the responsibility of each customer's IDT to work together to determine how best to meet each customer's transportation needs given these limits. Any trips above the set limits must be pre-approved by the Team Manager for that customer. Failure to obtain pre-approval will result in non-reimbursement. Effective January 1, 2009 administrative staff will be reimbursed for mileage in town (between supported living locations, job sites, or running errands) for the purposes of providing administrative support. This does not include travel to or from a staff member's home at the beginning or end of their work day.

Mileage reimbursement requests must be submitted through the Accel electronic time reporting system along with hours worked, and must be approved by the supervisor before payment will be made. Employees are not reimbursed for going to work at the start of the day or shift or for returning home at the end of the day or shift. Mileage reimbursements are made through payroll (see section on wages).

Mileage claimed for travel that is three or more months old will not be paid.

When employees use rental cars, mileage is not reimbursed at the Options rate. Mileage will be reimbursed based on the number of miles driven multiplied by the current average cost of gas, or a receipt for the price of gas.

- *Travel Time* – For hourly-paid employees, travel time to and from an employee's principle work site is not paid unless the employee has returned home after completing a day's work and is then called back to the work site to respond to an emergency. If an hourly-paid employee must travel from one assignment to the next without a break between shifts, the time spent in travel from one shift to the next is paid and must be coded as administrative time.

All staff traveling to out-of-town in-services or conferences required for their jobs will be paid for their time if it occurs during the normal work hours. Hourly staff must track their time and check with their supervisor on the proper recording of mileage.

- *Activity Reimbursement* – Options will reimburse staff for expenses incurred while providing services to Options' customers in an amount up to the monthly budget for that customer. Reimbursement is made through payroll. Network coordinators or their designee must approve reimbursement in advance. Network Coordinators must obtain approval from the Director of Services (or their supervisor) to provide upfront activity reimbursement.

Reimbursements through Accounts Payable

- *Expenses on the job* – Options will reimburse employees for authorized expenses incurred while on the job. Supervisors must authorize these expenses in advance. Requests for reimbursement must be provided to the supervisor for approval by the Monday of pay week at 10:00 a.m. Requests will be approved and turned in to the Staff Accountant by Wednesday at 5:00 p.m. Checks will be mailed by Friday evening (checks for office staff will be available in their mailbox on Friday morning).
- *Personal Property* – Options is not responsible for property lost or stolen while on duty or while on Options' property. Options may reimburse employees for personal expenses (eyeglasses, car cleaning, and clothing) damaged in the performance of duties up to a reasonable and customary value, given the nature and age of the item. Options will not reimburse for damaged property when damage is determined to be as a result of gross negligence, inadequate supervision of the customer, or when a staff member does not follow established protocol or approved behavior plan. Requests for reimbursement must be submitted and approved by the immediate supervisor and appropriate Director. Requests must be accompanied by a written incident report, picture of damaged article, and written quotes for replacement. The supervisor approving reimbursement must view the damage and provide a report detailing whether, in their opinion, the staff followed all appropriate procedures.
- *Meals and Lodging* – Employees will be reimbursed at approved per diem rates for reasonable and necessary costs of meals and lodging when Options business requires an overnight stay. Expenses for business travel and arrangements for wage compensation must be approved by the supervisor and appropriate Director in advance. Employees can check with Fiscal Services for approved rates.
- *Picking Up Checks at the Office* – Disbursement checks that are normally picked up at the office are available at the front desk. For persons wanting to pick up checks for other people, an authorization form must be signed by the person who is normally authorized to pick up the check. Identification may be required.
- *Reimbursement requests* – Those submitted three or more months past the purchase date will not be paid.

Employee Benefits

Eligibility

For legal and business reasons, Options has certain standards of eligibility for various benefits. Employees may decline to participate in some parts of the benefits program if they desire. Such refusal or waiver will not alter this employee's ability to participate in those benefits at a later date, or to participate in other Options benefits, subject to the terms and conditions set forth by the providers of the particular benefit.

In general, all regular employees become eligible to receive benefits after they have completed their 90-day probationary period. Exceptions to this policy are noted below:

- Employees who are eligible for paid holidays may take these days immediately upon employment.
- Employees who work less than 12 months at Options will not receive accrued Paid Time Off (PTO) upon termination.
- Employees are terminated for cause (violating agency policy) will not receive accrued Paid Time off (PTO) upon termination. Exception: Employees with tenure of at least 7 years will receive accrued PTO upon termination.
- Employees who fail to give proper notice will not receive accrued Paid Time Off (PTO) upon termination.
- In emergency situations, the Executive Director may grant an exception and allow accrued vacation leave to be taken before the 90-day probationary period has ended.
- Temporary employees who are employed by an outside employment agency, are not eligible for benefits.

Insurance benefits are not available for part-time employees. To be eligible for insurance benefits, full-time employees must have completed 90 days of employment and be scheduled to work a minimum of 32 hours per week.

Communication about Benefit Programs

WorkSmart Systems, Inc. and the Human Resources Department will explain and publicize benefits to employees and will be the first source of information about employee benefits. The purpose and specifics of agency benefits will be explained during orientation for new employees.

Changes will be explained to all affected employees as soon as possible through:

- E-mails and the WorkSmart Systems website
- An official announcement from the Executive Director in "The Grapevine."
- Posting of notices at appropriate locations and in residential mail.
- Description and discussion of all benefit changes at staff meetings.
- Meetings of all staff, when necessary, AND/OR
- Changes in this handbook.

Employee Benefits Eligibility Chart

	Hrs Paid For Holiday Not Worked	Double Time Pay For Holiday Hrs Worked	PTO (see rates in PTO chart)	Overtime	Insurance
<i>Employee Classification</i>	<i>Probationary & Regular</i>	<i>Probationary & Regular</i>	<i>Regular</i>	<i>Probationary & Regular</i>	<i>Regular</i>
Full Time Salary (32+ Hrs)	8	N/A	Yes	N/A	Yes
Full Time Hourly (32+ Hrs) SE & CEO Managers	If regularly scheduled to work holiday	N/A Regular rate for hours worked with customer	Yes	Yes	Yes
Full Time Hourly (32+ Hrs) Services Staff	0	Yes	Yes	Yes	Yes
Full Time Hourly (32+ Hrs) Office Staff	8	N/A	Yes	Yes	Yes
Part Time Hourly (up to 31 Hrs) Services Staff	0	Yes	Yes	Yes	Work Comp Only
Part Time Hourly (up to 31 Hrs) Office Staff	Based on regularly scheduled hours	N/A	Yes	Yes	Work Comp Only

Taking Time Off

Employees may take paid time off (PTO) at any time for any reason, subject to the schedules determined by the immediate supervisor. The computerized payroll system automatically tracks accrued PTO taken, and the balance available is listed on employee paycheck/Direct Deposit stubs. Employees may also verify available accrued PTO hours with the Staff Accountant.

The following guidelines will be followed with respect to taking time off:

- Administrative staff must let the receptionist and their supervisor know of time off so calls can be answered and forwarded accordingly. They are responsible for identifying a member of their team to oversee their responsibilities in their absence.
- Supervisors within the same team may not be granted leave simultaneously, depending on the needs of the agency, and out of town leave for major holidays will be rotated among administrative staff.
- Direct service employees must arrange for their own substitutes. Employees should complete a time off request form that lists their appropriate subs for approval to their supervisor at least 1 week before the leave takes place. If no substitute can be arranged, or if there are other mitigating circumstances in the setting, leave may not be granted. This holds true for substitute staff as well.
- Time off requested 8 weeks in advance AND approved by the supervisor will be granted. Direct service staff are asked to assist in identifying substitutes by contacting other staff trained in the setting, and communicating progress with the supervisor.
- The date a request is received by the supervisor, as well as other leave requests for the same time period, establishes its priority.

Types of Time Off and Guidelines

- *Options' Holidays*

Options observes 8 holidays. If a holiday falls on a Saturday or Sunday, the actual date of the paid holiday is determined by the Executive Leadership Team.

- | | |
|---------------------|--|
| 1. New Year's Day | 5. Thanksgiving Day |
| 2. Memorial Day | 6. Friday after Thanksgiving |
| 3. Independence Day | 7. Christmas Day |
| 4. Labor Day | 8. Day before or after Christmas (to be determined annually) |

Options will observe the following holidays for ALL staff and the Main Office will be closed.

Holiday Schedule 2010

	Office Holidays	Direct Care Holidays
New Year's Day	Friday, Jan 1, 2010	Friday, Jan 1, 2010
Memorial Day	Monday, May 31, 2010	Monday, May 31, 2010
Independence Day	Monday, July 5, 2010	Sunday, July 4, 2010
Labor Day	Monday, Sept 6, 2010	Monday, Sept 6, 2010
Thanksgiving Day	Thursday, Nov 25, 2010	Thursday, Nov 25, 2010
Day after Thanksgiving	Friday, Nov 26, 2010	Friday, Nov 26, 2010
Day Before/After Christmas	Thursday, December 23, 2010	Friday, December 24, 2010
Christmas Day	Friday, December 24, 2010	Saturday, December 25, 2010
New Year's Day	Friday, December 31, 2010	Saturday, Jan 1, 2011

Regular employees are eligible to receive holiday pay upon their first day of work. Holidays begin at 12:01 a.m. and end at 11:59 p.m. on the actual holiday. Direct service employees who work on an actual holiday will be paid double time for hours worked with customers. Overtime for holiday hours worked will be paid at the double time rate (not at double time and one-half). If no customers are present, the supervisor may assign other work or allow time off without pay. Direct service employees who work when no customers are present will be paid at their regular rate of pay for hours worked. Sleep time hours will not be authorized if customers are not present.

- Hourly Managers are paid for holidays based on the average hours they work per day. Hourly managers will be paid at their regular rate for any time worked on holidays.
- An employee on a leave of absence during a holiday will not be eligible for holiday pay unless the employee has PTO hours that are paid for that pay period.

Paid Time Off (PTO)

PTO combines sick, vacation, and personal leave time at rates determined by Part-Time/Full-Time status and tenure, as listed in the rate charts below. PTO hours accrue each year on the basis of the first 2080 hours paid for full-time staff and the first 1612 hours paid for part-time staff. After these limits have been reached during the current year, PTO will cease to accrue for the current year but will resume next year. Effective 12/31/06, a maximum of 240 hours of PTO time carries over into subsequent years.

PTO Rate Chart for Employees hired AFTER 1/1/2006

Tenure Yrs	Full-Time		Part-Time	
	Maximum Hrs/Yr	Accrual Rate	Maximum Hrs/Yr	Accrual Rate
0 to 1	88	0.042	9.4	0.006
1+ to 3	136	0.065	23.3	0.014
3+ to 5	156	0.075	28.4	0.017
5+ to 7	176	0.085	61.6	0.037
7+ to 10	184	0.088	88	0.053
10+	200	0.096	115.2	0.069

PTO Rate Chart for Employees hired BEFORE 1/1/2006

Tenure Yrs	<i>Full-Time</i>		<i>Part-Time</i>	
	Maximum Hrs/Yr	Accrual Rate	Maximum Hrs/Yr	Accrual Rate
0 to 1	104	0.050	12	0.007
1+ to 3	150	0.072	26	0.016
3+ to 5	174	0.084	32	0.019
5+ to 7	204	0.098	72	0.043
7+ to 10	234	0.113	112	0.067
10+	264	0.127	152	0.091

Requesting PTO Pay for Current Employees

PTO is considered to be an income protection benefit and is only to be used in lieu of time worked. Eligible employees may request and be paid accrued PTO provided that it is for actual time off taken from the regular work schedule. Hours worked plus PTO requested may not exceed 40 hours in a single week:

Current Employee – Hours worked + accrued PTO hours may not exceed 40 hours in a single week.

PTO Pay for Terminated Employees

For all terminated Employees, hours worked added to accrued PTO hours requested may not exceed a total of 40 hours in a single week. Options will pay a maximum of 40 hours of accrued PTO pay in a single week with the regular payroll run until the total PTO due to the separating employee has been paid.

Staff who are terminated for cause (violating agency policy) will not receive a payout of accrued PTO hours at separation. Exception: Staff with tenure of 7 or more years will receive a payout of accrued PTO at termination.

Staff who resign without providing proper notice will not receive a payout of accrued PTO hours at separation.

PTO hours for terminated employees will stop accruing as of the last day worked.

Staff hired after 4/1/2005 who terminate employment and if eligible for PTO payout will receive payment for PTO accrued based on the following schedule:

PTO for Terminating Employees Hired after 4/1/05

Tenure Yrs	Percentage of PTO Paid
0-1	0%
1+ to 3	25%
3+ to 5	50%
5+ to 7	75%
7+ to 10	100%

Paid Time Off Donation Program

This policy establishes guidelines and procedures for transferring paid time off (PTO) to Options staff who experience a traumatic event, or long term illness or injury and have expended their available paid time off.

Eligibility Criteria for Receiving Donations of Paid Time Off

In order to receive paid time off donated by another employee; and employee must meet all of the following criteria. The recipient must (1) have used all accumulated paid time off, other compensatory time, (2) have supervisor approval for taking time off, (3) have a need that meets criteria, (4) made application to the Executive Leadership Team, and (5) not be receiving any other form of compensation including social security disability benefits or short or long term disability benefits.

Identified need: Circumstances that would warrant PTO donation include: a serious long term illness/surgery for the staff member or immediate family member, death in the immediate family, or

personal catastrophe such as a loss of housing due to fire or severe weather. Immediate family is defined as parent, sibling, spouse, or child.

Upon receipt of such application, the Executive Leadership Team will determine eligibility for receiving donated time. The employee is eligible to receive up to 12 weeks of time off for which he/she would otherwise be without pay, including holidays. Transfer of paid time off to an employee may be denied if all eligibility criteria are not met. If an employee is eligible for short term disability, they would not be eligible for PTO donations.

For regular full-time employees receiving transferred paid time off, a "day" is defined as 8 hours. For regular part-time employees a day is defined as the average hours worked per day for the current calendar year. Recipients shall continue to accrue paid time off and service in accordance with the provisions of the appropriate policies and guidelines.

Criteria for Donating Paid Time Off

In order to donate paid time off to another employee, an employee must have a balance of 40 hours of paid time off after the donation. In addition, the donor must agree to donate a minimum of 4 hours of PTO. An employee may donate more than one time to a single individual. However, the employees donating PTO must maintain a balance of 40 hours of PTO after donation.

Procedural Guidelines

In order to facilitate paid time off transfer between employees, the following procedures must be followed:

The donating employee (donor) must complete a form stating the name of the recipient and the amount of paid time off being donated. This form must be signed by the employee's supervisor and witnessed by another Options' staff member. Upon completion, the donor should send the form to the Human Resource Director.

The amount will be transferred following verification that (1) the recipient is eligible, (2) the donating employee has sufficient time off to cover the donation, and (3) there is approval by the donor's supervisor. A copy of the form will be placed in the donor's personnel files, and the original will be retained by the Human Resource Director.

Donor forms will be date and time stamped in the order received. This will determine the order in which paid time off will be deducted from the donors' balances where there are multiple donors for a single individual.

The Human Resource Director will make staff aware that requests for donations have been received and notify the recipient's supervisor of the amount of paid time off that has been donated.

At the time of transfer, personnel action forms will be completed by the HR Director and forwarded to the Staff Accountant. Prior to deducting paid time off from a donor, the HR office will verify that the donor has sufficient paid time off to cover the amount originally donated and also maintain the required balance. If less than the required amount is available, the paid time off donation is voided.

Payment of the donated paid time off will be based on the recipient's current rate of pay.

Only the amount of paid time off which has been projected as necessary to cover each pay period will be transferred. If an employee has donated 80 hours and only 32 hours are required for the current pay period, only 32 hours will be deducted during that pay period. If the need continues into the next pay period, the remaining hours will be deducted at the appropriate time. Paid time off may not be transferred retroactively.

The decision to donate PTO to another individual should be a choice made freely by each employee. Any person attempting to unduly influence another employee to donate paid time off shall be subject to

disciplinary action, and any prior agreement made to donate leave under these conditions shall be voided.

Family and Medical Leave

Under the federal Family and Medical Leave Act of 1993, as amended January 28, 2008 (FMLA or federal FMLA), you may take up to 12 weeks of job-protected Family and Medical Leave in a 12-month period if you meet certain criteria under the statute.

If you are qualified for FMLA leave, you may take up to 12 weeks unpaid leave for family and/or medical leave in a rolling backward 12 month period. Start dates for leaves begin on the first day an employee is not present at work, including paid and unpaid time off.

Under the policy, the reasons for a Family Medical Leave are:

1. The birth of a child and to care for such child or placement for adoption or foster care of a child;
2. To care for an immediate family member (spouse, child, parent) with a serious health condition (please contact WorkSmart Systems for full description of "serious health condition");
3. Because of a serious health condition which renders you unable to work; or
4. Because of any qualifying exigency (as defined by U.S. Department of Labor regulations) arising out of the fact that your spouse, son, daughter or parent is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation.

An eligible employee also may take Service Member Family Caregiver Leave to care for a spouse, son, daughter or next of kin who is a covered service member, defined as a member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy, is otherwise in outpatient status, or is otherwise on the temporary disability retired list, for a serious injury or illness. Eligible employees are entitled to a total of 26 weeks of unpaid Service Member Family Caregiver Leave during a 12-month period. This leave shall only be available during a single 12 month period. If an employee takes other leave covered by the federal FMLA under numbers 1-4 above, the combined leave shall not exceed 26 weeks during that 12-month period.

A husband and wife, when both are eligible for FMLA and both work at our company are eligible for a combined 12 weeks unpaid leave during any rolling backward 12 month-period if the leave is taken:

1. For the birth of the employee's son or daughter or to care for the child after birth;
2. For placement of a son or daughter with the employee for adoption or foster care, or to care for the child after placement;
3. To care for the employee's parent with a serious health condition (please contact WorkSmart Systems for full description of "serious health condition"); or
4. Because of any qualifying exigency (as defined by U.S. Department of Labor regulations) arising out of the fact that the employee's spouse, son, daughter or parent is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation.

A husband and wife, when both are eligible for FMLA and both work at our company, are eligible for a combined 26 weeks unpaid leave of Service Member Family Caregiver Leave during the single 12-month period described earlier in this policy. If the husband or wife takes leave for one of the reasons described in items 1-4 above, that leave also may count toward the 26 weeks of combined leave during that single 12-month period.

Intermittent leave also may be available depending upon your serious health condition or your immediate family member's serious health condition. Employees may not take intermittent or reduced schedule leave for the birth or placement of a child for adoption or foster care without prior approval. Service Member Family Caregiver Leave may be taken intermittently or on a reduced leave schedule when medically necessary.

A request for reasonable documentation of family relationship verifying the legitimacy of a Family Medical Leave may be required.

To qualify for Family Medical Leave, an employee must have worked at our company at least 12 months, must have worked at least 1,250 hours during the past 12 months, and must work at a location that employs at least 50 employees within 75 miles. In addition, your reason for the leave must be covered under FMLA and you must provide a completed FMLA Certification of Health Care Provider Form supporting the need for the leave. A request for leave because of any qualifying exigency arising out of the fact that an immediate family member is on active duty (or has been notified of an impending call or order to active duty) in the Armed Forces in support of a contingency operation must be supported by a certification issued at such time and in such manner as the FMLA regulations may dictate.

If the leave is foreseeable (birth or placement, planned medical care, leave due to active duty of immediate family member), the employee must provide at least 30 days advance notice. If circumstances prevent providing the 30 days advance notice, then the employee should provide as much notice as possible. If an employee fails to give the required notice for foreseeable leave with no reasonable excuse, the employee may be denied the taking of the leave until the employee provides adequate notice of need for the leave. Employees should make every reasonable effort to schedule medical treatments so as not to disrupt the ongoing operations of the company.

During the approved Family Medical Leave, your benefits will continue, but if you go without pay, you must pay your share of health, dental and voluntary life insurance premiums (if applicable).

So that an employee's return to work can be properly scheduled, an employee on leave is requested to provide at least two weeks notice of the date the employee intends to return to work. When the leave ends, the employee will be reinstated to the same position, if it is available, or to an equivalent position for which the employee is qualified.

If an employee fails to return to work on the agreed upon return date, our company will assume that the employee has voluntarily resigned.

Employees requesting Family or Medical Leave must:

- Complete a Request for FMLA Leave of Absence Form and submit it to the Human Resources Director 30 days before beginning the leave. If 30 days notice is not possible, notice must be given as soon as possible.
- Provide written certification from the attending health care provider.
- Obtain a 2nd opinion at the request of Options, and at Options' expense.
- Obtain re-certification during the leave, if requested by Options.
- Must contact the Human Resources Director every 30 days to advise Options of any change or improvement in condition.
- Must complete the insurance premium recovery authorization and reimbursement agreement form.

Complete details and forms are available from the Human Resources Department.

Other Leaves of Absence

When possible, Options will consider employee requests for other types of leaves of absence. Other leaves of absence are limited to a continuous, six-month period. Employees must fill out the appropriate paperwork and submit their request to their supervisor for approval. The request will then be sent to Human Resources. Employees will be responsible for maintaining health insurance coverage during approved leave. Employees covered under insurance plans should contact Human Resources before the leave to make arrangements for payment of premiums. Options will discontinue paying the agency cost share of premiums during regular leaves of absence. Employees must submit payment to Options for the full insurance premium by the first of each month to maintain coverage. An employee on a leave of absence during a holiday will not be eligible for holiday pay unless the employee has PTO hours that are paid for that pay period. Employees on a leave of absence cannot work shifts or volunteer to perform work that they would normally be paid to do. If an employee fails to return to work on the agreed upon return date, our company will assume that the employee has voluntarily resigned.

Military Leave

A military leave of absence will be granted to employees who are absent from work because of active duty or reserve service in the U.S. uniformed services in accordance with the Uniformed Services Employment and Reemployment Rights Act (USERRA). Advance notice of military service is required, unless military necessity prevents such notice or it is otherwise impossible or unreasonable.

The leave will be unpaid. However, employees may use any available paid time off for the absence.

Continuation of health insurance benefits is available as required by USERRA based on the length of the leave and subject to the terms, conditions and limitations of the applicable plans for which the employee is otherwise eligible.

Employees on military leave for up to 30 days are required to return to work for the first regularly scheduled shift after the end of service, allowing reasonable travel time. Employees on longer military leave must apply for reinstatement in accordance with USERRA and all applicable state laws.

Employees returning from military leave will be placed in the position they would have attained had they remained continuously employed or a comparable one depending on the length of military service in accordance with USERRA. They will be treated as though they were continuously employed for purposes of determining benefits based on length of service.

Please contact the WorkSmart System's Human Resource Department for more information or questions about military leave.

Indiana Military Family Leave

- The purpose of The Indiana Military Family Leave Act is to allow eligible employees to spend time with family members who have been called up for active duty in the military.

To be eligible for military family leave, an employee must have been employed for at least twelve (12) months and must have worked at least 1,500 hours during the twelve-month period immediately preceding the leave. The leave is available to an employee who is the spouse, parent, grandparent or sibling of a person who is ordered to active duty.

Eligible employees are provided an unpaid leave of absence of up to ten (10) working days (consecutive or non-consecutive) per year when the family member, who is a member of the U.S. Armed Forces, the U.S. Armed Forces Reserve Unit, or the Indiana Air or Army National Guard, is deployed for full-time military service on active duty orders for eighty-nine (89) days or longer.

Our company will require employees to use or exhaust any accrued PTO (Paid Time Off) prior to taking any unpaid time off for military family leave. Accrued paid time off taken under this policy shall count toward, and not be in addition to, the ten (10) working days of family military leave.

Health care benefits for which the eligible employee participated before taking leave under this policy will be continued during the leave period under the same structure and conditions. An eligible employee taking leave under this policy still will be required to pay the employee's portion of the health care insurance premium normally withheld from the employee's paycheck.

An eligible employee may take up to a total of ten (10) unpaid working days (consecutive or non-consecutive) of military family leave during a year. The days may be taken during one or more of the following periods, but may not exceed ten (10) days total:

- During the thirty (30) days before active duty orders are in effect;
- During a period in which the family member ordered to active duty is on leave while active duty orders are in effect; and/or
- During the thirty (30) days after the active duty orders are terminated.

An eligible employee who wants to take an unpaid military family leave under this policy must request leave under the policy by providing written notice of the date the leave will begin, including a copy of the active duty orders if available, to the employee's direct supervisor or manager. The notice must be given at least thirty (30) days before the date on which the employee intends to take the leave, unless the active duty orders are issued less than thirty (30) days before the date the requested leave is to begin. In that situation, notice should be provided as soon as possible after the active duty orders are issued.

To the extent an employee's military family leave also qualifies for some other type of leave, such leaves shall run concurrently to the full extent allowed by law.

Jury Duty

Options will pay for time off taken to serve on a jury if this is during the employee's regular work schedule. The amount of wages received for jury duty will be deducted from the employee's regular salary. If the hours are taken as time off without pay, nothing will be deducted from the employee's pay.

Family Death

Employees will receive 3 days paid leave (not to exceed a total of 24 hours for the three-day period) when a member of their immediate family dies. Bereavement time given for family death cannot roll over to the next year and will not be paid out at the end of the benefit year or upon termination. Family is defined as parent, sibling, spouse, child, grandparent, mother-in-law, and father-in-law. PTO may be used for leave involving deaths of other family members.

Insurance Benefits

Options provides regular full-time employees with comprehensive group health, vision, life, short-term disability, and dental insurance. Employees are eligible for coverage on the first day of the following month after 90 days of full-time employment. Employees who elect to enroll in the group health insurance will pay a cost share of the monthly premium through a payroll deduction. The cost share to be paid by the employee will be based on the deductible chosen. Staff may elect to deduct this expense pre-tax.

Eligible employees must meet with a WorkSmart Systems benefits representative prior to their eligibility date to enroll or decline coverage in the benefit plans. Questions about eligibility and benefits should be directed to WorkSmart Systems at (877) 977-9757. Employees who change status from part-time to full-time must complete a 90 day waiting period at full-time status before becoming eligible to apply for benefits. Employees should contact the Human Resources *Director* when changing to full-time status.

An employee may cover his or her family for medical, dental and vision insurance under the plan at the employee's own expense. The amount will be deducted each pay period from the employee's paycheck. Staff may elect to deduct this expense pre-tax.

Upon termination or reduction in hours resulting in the loss of full-time status, covered employees must notify Human Resources immediately of the change in status. Covered employees may elect to continue health insurance at his/her own expense under the guidelines established by the Consolidated Omnibus Budget Reconciliation Act (COBRA). Employees will receive information in the mail upon termination or loss of full-time status to explain his or her rights and responsibilities under COBRA regulations.

Employee Injury on the Job

Worker's Compensation – All employees of Options are covered for work-related injuries and illness. This insurance provides medical coverage and compensation for accidents occurring on the job. Any accident or injury incurred while "on the job" must be reported to the supervisor and to the Human Resources Director immediately. Employees injured on the job must submit a written report of the injury to the Human Resources Director within the next business day. An employee may request FMLA leave when off work due to a work-related injury.

Retirement Benefits 401 K

401K Plan – The plan represents an opportunity for Options employees to build a retirement fund with before-tax or after-tax Roth contributions, or both. Options provides a 401K feature with an employer match. For every \$1.00 contributed by the employee, Options will contribute \$.50 on the first 6% of gross wages (the maximum annual match is 3% of gross wages).

If you contribute 6%, Options will contribute 3% as a match.
 If you contribute 10%, Options will contribute 3% as a match.
 If you contribute 4%, Options will contribute 2% as a match.

To be eligible, an employee must have been employed with Options for 12 months, be at least 21 years of age, still be employed by Options on December 31st, and must have worked at least 1,000 hours in a calendar year. Employee contributions to the plan will be deducted with each payroll, and paid in to American Funds on the employee's behalf.

To share in matching contributions, an employee must have worked 1,000 hours in the plan year and be an Options employee on the last day of the plan year. The match for the year will be for the period ending December 31, but will actually be deposited into employee 401k accounts after the year-end valuation has been completed. This generally occurs in April of the following year.

Participants enter the plan on the eligibility date following the completion of eligibility requirements. Entry dates are based on calendar quarter (January 1, April 1, July 1, and October 1), and deadlines for enrollment are 10:00 a.m. on the following dates. An enrollment kit and forms are available in Human Resources. Please submit completed paperwork for the 401k to the Human Resources Director.

1. **Monday, January 4, 2010**
2. **Monday, March 29, 2010**
3. **Monday, June 21, 2010**
4. **Monday, September 27, 2010**
5. **Monday, January 3, 2011**

Eligible employees are vested in the plan (are entitled to receive employer contributions in the plan) based upon eligibility and total years of service in the plan year. For more information about the 401k plan, please request a summary of the Plan Description from Human Resources Director.

Employee Referral Bonus

To attract quality employees, reduce turnover, and reward employees for referrals that lead to employment, Options offers an Employee Referral Bonus Program. Only current full-time and part-time employees may participate and be eligible to receive this \$50.00 bonus.

How it works:

An applicant states on the job application that an Options employee referred them to Options and is hired. After the new employee has completed all orientation requirements and 90 days of employment, the referring employee will receive the \$50.00 referral bonus. When an applicant lists more than one employee as the referral, the \$50.00 bonus will be divided among all listed.

Education Incentive

- Options considers it invaluable for employees to attain educational goals that further promote the mission of the agency. Options will provide an incentive to any full time staff meeting the following criteria:
 - Complete college degree work in a job-related field of study applicable to their position at Options (e.g. accounting degree in fiscal services or human service degree).
 - To qualify for the incentive payment, the employee must apply for the incentive the year they graduate and work full-time continuously for one year past degree completion.
 - Supervisors must approve the application and submit it to the Executive Director.
 - Staff will receive the incentive payment at the end of one year past graduation.
 - The amount of the incentive will be determined annually.

Good Cheer Fund

The Good Cheer fund was established to provide a means for collectively sending flowers for family death, birth of a baby, or hospitalization for the immediate family (parent, sibling, child, grandparent, mother-in-law, father-in-law) of Options employees, customers, or customer families. This fund accumulates through voluntary payroll deductions and funds must be available before flowers may be sent. Employees must notify the HR Director when there is an appropriate occasion (listed below) for which flowers should be sent.

Options Employee

Immediate Family Only
 Family Death
 Birth of Baby
 Employee Hospitalization

Options Customer

Immediate Family Only
 Family Death
 Birth of Baby
 Customer Hospitalization

Family of Options Customer

Immediate Family Only
 Family Death

Employee Development & Performance Review

Employee Performance Review (EPR)

Options will make every effort to develop staff through proactive processes that focus on the individual, their job, and their contribution to team and agency efforts. The Employee Performance Review (EPR) is completed at the end of a new employee's first 90 days of service. Employees hired or promoted after September 30 in a year will have a 90 day performance review. They will not be reviewed or eligible for additional performance-related increases until the following year. It then is an annual process (usually done the first quarter of each year), whereby the supervisor and employee evaluate if the staff achieved the goals they set for themselves and their contribution to the team. At an EPR meeting the staff and supervisor will discuss performance in the past year (both at the team and individual level), develop new job-related and measurable individual goals for the next year, establish a feedback plan, and discuss recommendations for changes in compensation that result from the employee and the team's efforts. Individual goals are established by the EPR but are informed by an ongoing effort to gain feedback from a variety of sources called the *Employee Development Review* described below.

Options is dedicated to rewarding employees for meeting team and individual goals. The Employee Performance Review is the vehicle that determines compensation, advancements, transfers, layoffs, and other personnel actions based on merit. The following are the components of raise determination. Each component will have a different weighting in determining compensation increases. This weighting is established annually by the Executive Leadership Team and is communicated in the staff newsletter. The criteria are:

- Meeting basic requirements established for the position (see below);
- Successful completion of objectives set during the Employee Performance Review and those identified during the Employee Development Review;
- Successful completion of team objectives.

The supervisor must complete a summary of the employee's annual meeting. The employee will receive a copy of this summary and it will become part of the employee's personnel file. The supervisor will provide employees with an opportunity for comment on the contents of the EPR and the process itself on the summary form at the time of the meeting. The employee's signature on the form does not indicate agreement with the appraisal, only acknowledgement of the discussion. The criteria for evaluating a staff member's job performance are not grievable. If an employee cancels more than 2 scheduled EPR meetings with the supervisor, any pay increase the employee is eligible for will not be retroactive.

All staff must complete the following basic requirements in order to be eligible for a pay increase:

- Successful CPR annual competency test.
- Health and Safety, successful first aid course within 3 years.

- Completion of the required CE units.
- Successful completion or review of medication administration, prevention of abuse and neglect, and respectful support. (Services staff only).

90 Day EPR

A 90 day Employee Performance Review is completed at the end of 90 days of service for new employees and for employees who transfer to a new and different position. Individual and team goals and their measurements for success should be included on the 90 day EPR. Supervisors are responsible for scheduling and completing the EPR around the 90 day point. If an employee has not been reviewed after 90 days, the employee should contact their supervisor to remind them to schedule the EPR. Employees should contact the HR Director or the supervisor's supervisor if they have any questions about an EPR that is not completed.

Effective July 1, 2009, Options will no longer pay retroactive pay increases for 90 day EPRs that are held 30 days after the EPR should have been completed. If there are extenuating circumstances for a late EPR, a director must approve the retroactive 90 day increase.

Employee Development Review (EDR)

The Employee Development Review (EDR) is a separate process from the Employee Performance Review designed solely for the purpose of staff development. The EDR is NOT a performance appraisal and does not directly impact compensation. It is meant to assist the employee to develop better and better job skills by asking peers, customers, and others how they can improve. Staff will collect written feedback from these sources several times a year. The more frequent the feedback, the better.

At the employee's performance review meeting, the employee and his/her supervisor will identify the sources from which to solicit feedback. There should be a minimum of three other sources (besides the supervisor) to provide feedback. For those staff working alone with customers, employees may ask their peers to observe or ask other supervisors to assist with feedback. Employees requesting feedback have the option of allowing people to provide anonymous feedback or requiring them to sign the form. The supervisor will provide the employee with forms (EDR) for collecting feedback based on the employee's job description. EDR forms will be available on the Options website and in the main office.

The employee is responsible for gathering feedback from those sources at least once per quarter and submitting it to their supervisor each year. An informal discussion of the results and some action the employee should take may ensue. At the employee's performance review meeting, the supervisor and the employee will review the feedback and may use it to further develop individual goals for the EPR or enhance those already established.

Employee Conduct, Ethics and Responsibilities

Attendance Guidelines

The supervisor establishes employee work schedules to meet staffing needs for individual customers, group homes, and administrative areas. Each employee is responsible for being present on his/her scheduled day(s) and for being ready to begin work at the scheduled time(s), or for following Options Time Off policies. If scheduling problems arise due to unforeseen circumstances, employees should notify their supervisor as soon as possible. Individuals providing support to customers must notify the emergency pager first of any absence and then notify their supervisor as soon as possible.

- Hourly staff must work the hours scheduled unless the supervisor approves the change. They may not work beyond their normally scheduled hours without prior approval from their supervisor, except in the case of a customer-related emergency.
- Salaried staff may be required to work evenings and weekends, or to work outside the corporate office, in order to complete their tasks. Salaried staff members are expected to keep their supervisors informed of their activities, to inform office staff of their schedules, and how they can be reached when working out of the office.

- Because Options exists to meet the needs of the individuals we support, we cannot guarantee specific hours or shifts for direct service staff. If the needs of our customers change, customer requests a staff change, or when the supervisor deems it appropriate for quality services, Options reserves the right to:
 - Change an employee's scheduled hours
 - Change the duties performed during scheduled hours
 - Change the customers with whom the employee works

When changes are made, Options will provide notice and assist the employee in securing comparable hours.

Definitions:

- Absence – An employee fails to report during his/her scheduled hours.
- Tardiness – An employee fails to report to work at the time he or she is scheduled to begin. If there are no extenuating circumstances, the supervisor will issue formal warnings to the employee and file them in the employee's personnel file. Excessive reprimands for tardiness may result in disciplinary action, including dismissal.
- Excused Absence – An employee notifies his or her supervisor of an upcoming absence for an acceptable reason, such as illness, personal or family emergency, personal time, etc, and the supervisor approves the absence. Excessive absences, even if excused, may result in disciplinary action, including dismissal.
- Unexcused Absence – An employee does not notify his or her supervisor of an upcoming absence for an acceptable reason or the supervisor does not approve the requested absence. If there are clearly extenuating circumstances, such as a proven emergency, a supervisor may document the situation in the personnel file. In the absence of justifiable extenuating circumstances, the employee may be dismissed.
- Excessive Absence – When an employee has four or more unplanned and/or unapproved absences in a one year period, the supervisor may determine that disciplinary action is warranted.
- Any employee who fails to report for work or has an unexcused absence may be considered to have voluntarily terminated without notice.

Weather Conditions Affecting Attendance:

- Inclement weather –All living environments supported by Options staff will have plans for inclement weather to include:
 1. Snow emergency plans with ways of getting staff to shifts, listing of emergency shelters close by, and required emergency food stores.
 2. Safe zones within the house.
 3. Options back-up system for the service.
 4. Emergency personnel contact information.
 5. Schedule of severe weather drills.
- When a community calls a snow emergency, staff are still expected to get to their scheduled shift or make arrangements with supervisory staff or emergency pager for coverage. Other important information:
 1. The Main Office will remain open during snow emergencies unless staff are otherwise notified by their supervisor. There will be no announcement on the radio.
 2. The emergency back up system for the respective service will immediately begin and all supervisors are expected to activate contact (pagers or cell phones) forums.
 3. The Main Office will maintain a listing of individuals who can assist staff in various communities to get to work.
 4. Staff should listen to the radio to note if Stone Belt Center, Sweet Owen, LARC, or community employers are closed, and contact a supervisor to see if assistance is needed for pick up or coverage.
 5. Staff are expected to report to their shifts. If they are unable to report due to road conditions, they may use available paid time off, but this time off is not automatically paid.

Basic Guidelines

The following principles and values guide the way in which we deliver services to persons with disabilities, and the way in which we interact with each other across the organization.

Service Principles – We ensure that:

Safety: People are safe in their homes. People have health services. People have economic resources. People have continuity in their environment and in the people in their lives.

Choice and control: People have service plans that reflect their preferences and needs. People choose where they work and with whom they live. People choose how they use their free time. People choose their service provider and services.

Dignity and respect: People have time, space, and opportunity for privacy. People have and keep personal possessions. People decide to whom and when to share personal information. People understand and are assisted in exercising their rights. People are afforded due process.

Social inclusion: People have opportunities to develop friends and intimate relationships. People have the opportunity to participate in the life of the community.

Satisfaction: People are satisfied with services. People are satisfied with their personal life situations.

Organizational Values

Excellence

We have a passion for excellence and continually pursue quality

We are consistent in the services we provide to individuals

We ensure people have safe environments while respecting the dignity of risk

Team Development

We involve staff in all levels of decision-making

We provide staff with current information and education to be the best

We believe that good ideas come from everywhere

Community Involvement

We believe that the only way to impact the community is for Options and its customers to be an integral part of our communities

We are a resource to the community on disability and accessibility issues

We volunteer and support our customers to give back to the community

Innovation

We use the most current technology for providing service

We are risk-takers and embrace change

We network with our community to find out even better ways of doing our jobs

Accountability

We develop aggressive goals and hold ourselves accountable for accomplishing them

We are accountable to our customers, our funders, and each other

Respect

We respect the rights of each and every person

We recognize that people with disabilities must make their own decisions

We believe in the worth of all individuals

Options employees are expected to model the above principles and values by agreeing to do the following:

- Cooperate with other employees
- Follow all Options procedures

- Perform his/her job as described in the applicable job description
- Treat those served by Options with respect and dignity at all times
- Cooperate with other community agencies to maintain quality services to customers
- Use established ethical standards to guide relationships with customers
- Model appropriate social behavior

Code of Conduct

Options is committed to establishing and observing high standards and ethical conduct in the delivery of services characterized by strict conformance with the highest standards of accountability for administration, business, marketing, financial management, and the provision of services. The purpose of the Code of Conduct on page 10 is to provide standards by which employees and Board of Options must conduct themselves in order to protect and promote organization-wide integrity in business operations and to enhance the Options' ability to achieve its mission.

The Principles set forth in this Code of Conduct will be distributed to all employees at hire through the orientation process and reviewed annually with Directors, Key Management, and volunteers having administrative or managerial responsibilities. All employees are responsible for ensuring that their behavior and activity is consistent with the Code of Conduct. Violations of the Code of Conduct may result in disciplinary actions up to and including dismissal.

Confidentiality

In the course of employment with Options, employees may become privy to personal and medical information, records, unusual behavior patterns, privileged conversations, and correspondence concerning our customers. At all times, this information must be considered confidential and should not be shared, even among employees, unless the information is necessary to provide appropriate support to customers.

The employee shall not give out any information, either verbally or in writing, to people external to the agency, unless special permission has been granted by a guardian, legally competent customer, or a court order. Noncompliance with this policy may result in disciplinary action up to and including dismissal.

Conflict of Interest

Options expects the primary interest of employees to be the people we serve. A conflict of interest occurs when the interest of an employee or another outside party actually (or potentially) affects the agency or an individual customer in a negative way.

Employees may have outside business interests and outside employment as long as these do not interfere with job performance. Employees may not earn a profit from outside employment or business interests that directly result from affiliation with Options.

Employees may not accept gifts, gratuities, free trips, personal property, or other items of value from outside persons or organizations that are connected with Options. Promotions or rebates that are obtained in the course of making company purchases are the property of Options, but may be used in the course of doing business (free office supplies are an example). Violation of these restrictions may result in disciplinary action, including dismissal.

Options recognizes that its employees may hold a wide range of personal beliefs, values and commitments. These beliefs, values and commitments represent a conflict of interest only when: they prevent employees from fulfilling their job responsibilities; the employee attempts to use the agency time and facilities for furthering their beliefs; or the employee continues attempting to convince others of their personal beliefs after they have been asked to stop. Violations of the conflict of interest policy may be subject to disciplinary action.

Customer Rights

Employees are obligated to protect the rights of the individuals we support at all times.

Customer Bill of Rights

Customers have the right:

- To be free from all forms of discrimination, harassment, humiliation and cruel or unusual punishment;
- To be treated with consideration and respect with recognition of his/her dignity and individuality;
- To have all individual information kept confidential and shared with others only as approved by law or individual;
- To be encouraged and assisted with exercising customer rights and other rights as a United States citizen;
- To informed consent and due process of law;
- To marry, procreate, and have children;
- To be free from emotional, verbal, and physical abuse/neglect/exploitation;
- To be fully informed of and participate in service planning;
- To receive professional services that assist in progressing towards a more desirable personal future that utilizes least restrictive practices;
- To the freedom of choice with the dignity of risk;
- To refuse services, intervention, and direct service staff;
- To submit complaints and grievances concerning the policies and services of the organization without fear of retaliation;
- To have an advocate assist with service planning, complaints or other related activities;
- To manage personal financial affairs or participate in the management of personal finances as able;
- To purchase, keep, and sell personal property;
- To communicate, associate, and meet with individuals of choice in privacy;
- To access individual service records;
- To be paid an appropriate wage for jobs worked;
- To take risks.

Drug-Free Workplace Policy

Options, Inc. is committed to providing a safe and productive work environment. We also expect our employees to report to work each day fit to perform their jobs. To meet these objectives, as well as our obligations under applicable federal and state laws, we must take a firm and positive stand against substance abuse. We reserve the right to drug test at any time and accompany the staff who is being tested, to the drug testing site. This policy is intended to ensure a drug-free work environment for the benefit of our employees and customers.

Policy Statement:

The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance while on the agency's premises or in the performance of services for the agency is strictly prohibited. Violations of drug or controlled substance laws may lead to disciplinary action, up to and including termination. As a condition of continuing employment with Options, each employee must:

- Abide by the terms of this policy; and
- Notify the agency of any criminal drug statute conviction for a violation occurring in the agency's workplace no later than five days after such conviction.

Any violation of this policy will result in either discipline, up to and including discharge, and/or a requirement of satisfactory participation in a drug abuse assistance or rehabilitation program, depending on the nature and seriousness of the offense.

Drug-Free Awareness Program:

To assist in ensuring compliance with the agency's Drug-Free Workplace Policy, Options has established a Drug-Free Awareness Program to inform employees about:

- The dangers of drug abuse in the workplace;
- The agency's policy of maintaining a drug-free workplace;
- Any available drug counseling, rehabilitation, and employee assistance programs; and
- The penalties that may be imposed upon employees for drug abuse violations.

Participation in our Drug-Free Awareness Program by all employees is mandatory.

Reservation of Rights:

Options reserves the right to interpret, modify or expand upon this policy in whole or in part, with or without notice. Nothing in this policy alters an employee's at-will status.

Substance Abuse Policy

Options is committed to providing a safe working environment and, likewise, expects its employees to report to their jobs physically and mentally fit for work. Furthermore, the agency is committed to assuring its continued reputation as a quality business enterprise. To achieve these goals, the agency must take a firm and positive stand against drug and alcohol abuse. This policy is intended to ensure a drug-free work environment for the benefit of employees and customers of the agency.

Policy Requirements

- The use, possession, sale or transfer of an illegal drug by any employee while on agency premises, at the home of an agency customer, in the performance of agency business, or at agency-sponsored events is strictly prohibited.
- The use of any legally-obtained drug by any employee while performing agency business, on agency premises, or at the home of an agency customer is prohibited to the extent that such use may adversely affect the safety of the employee, customers, or others, the employee's job performance, or the agency's regard or reputation in the community. Employees who have been informed or have discovered that the use of a legal drug may adversely affect job performance or behavior are to report such drug use and possible side effects to management.
- The unauthorized use, possession, sale, or transfer of alcohol while on agency premises, at the home of an agency customer, or in the performance of agency business is strictly prohibited. The use of alcohol by employees while conducting agency business, attending agency-sponsored business or social functions, or otherwise representing the agency off premises is permitted only to the extent that it is not unlawful and does not adversely effect the safety of the employee, customers, or others, the employee's job performance, or the agency's regard or reputation in the community.
- The presence of any illegal drug or alcohol in the employee's system while on agency premises, at the home of an agency customer, or while otherwise performing agency business is prohibited.

Testing

- We reserve the right to conduct random drug tests at any time and accompany the staff being tested to the drug testing site.
- Whenever the agency suspects that an employee's work performance or on-the-job behavior may have been affected in any way by alcohol or drugs, or that an employee has otherwise violated the Substance Abuse Policy, Options may require the employee to submit to a blood test, urinalysis, or other drug/alcohol test. Additionally, whenever an employee is injured on the job, the agency will require the injured employee to submit to a blood test, urinalysis, or other drug/alcohol test. An employee must complete all necessary drug information and consent forms prior to such testing.
- Employees in security or safety-sensitive positions may be required to consent in writing to and undergo periodic testing for as long as they remain in such jobs. The agency will maintain a list of sensitive jobs and will notify employees who hold such positions.

- An employee who tests positive for alcohol or drugs during the employee's first 90 days of employment will be terminated immediately for violation of the agency's Substance Abuse Policy.
- All test results, assistance requests, and treatment records will be maintained in files separate from the employee's personnel file, and will be held in the strictest of confidence, disclosed only to those having a legitimate need to know such information.

Disciplinary Action

- Any violation of the policy requirements of the Substance Abuse Policy will result in discipline, up to and including termination, even for a first offense.
- The failure or refusal to complete the necessary paperwork, or to submit to a drug test pursuant to the requirements of the Substance Abuse Policy may result in immediate termination.
- All performance shortcomings, prohibited conduct, and attendance problems may result in discipline pursuant to the agency's normal policies independent of any drug or alcohol implications or causes.

Ethical Dissent

Options staff has the right to exercise ethical dissent when they feel that they are being asked to perform or be part of actions, which they understand, are ethically or legally wrong. Staff may exercise ethical dissent by declining to perform or be a part of the activity to be offensive. It is the staff member's responsibility to inform his/her supervisor of the ethical dissent. When there is ethical dissent, refusal to perform duties becomes an issue between the employee and his/her supervisor. If they are unable to resolve the issue informally, the staff and supervisor should begin the grievance procedure.

Keys

No Options key may be duplicated without authorization from the appropriate Director of Services, Executive Director, or the Chief Financial Officer. The cost of replacing lost keys is the responsibility of the employee, including any locksmith charges associated with the loss. Extra copies of keys are retained at the office, including some customer home and apartment keys.

Legal Actions and How to Respond

The Executive Director is responsible for responding to any subpoenas, search warrants, external investigations, and other legal actions. A search warrant is an order issued by a judge authorizing law enforcement officers to search and seize any property in an investigation that constitutes evidence of the commission of a crime. If the police have a search warrant, they should be permitted to conduct a search immediately. When an individual presents herself/himself to Options staff as a law enforcement officer, staff will:

- a. Alert the immediate supervisor, Executive Director and Emergency pager.
- b. If search warrant is delivered during evenings and weekends, contact emergency pager. The on-call staff will then notify the Executive Director.
- c. Ask the person for their identification. If the individual does not have identification, staff or customer may not comply with the request and will direct the individual to the Executive Director.

A subpoena is a command from a court to appear at a certain time and place to give testimony on a certain matter. It can be addressed to a specific individual or to an organization. A subpoena may command a witness to bring certain documents, records, files, papers and other things including computers to court. Failure to appear as commanded may result in legal action being taken against the individual or organization. A subpoena signed by an attorney is sufficient for response.

When a Law Enforcement Officer asks staff or customer to comply in an investigation and does not have a subpoena or search warrant, the staff or customer are not compelled to comply and may seek legal counsel.

If an employee receives a subpoena that requires work hour adjustment, they must provide a copy to the staff's supervisor so hours can be adjusted, where necessary, to accommodate the employee's absence. The employee is expected to report to work whenever the court schedule permits.

Medication Errors

Options customers may require assistance in taking prescribed medications. All Options services staff are required to take CORE A medication administration training before administering medications to customers. Once trained, Options staff are expected to administer medications as ordered by the customer's physician. A medication error occurs when a staff member:

- Does not administer a prescribed medication
- Does not administer a medication within one hour of the prescribed time
- Does not administer the proper medication
- Does not document the administration of a prescribed medication.
- Does not order prescribed medication in a timely manner resulting in a missed medication.
- Does not count meds and/or maintain med inventories appropriately. Unusual Incident Reports (UIRs) are not required. Notify the appropriate manager.

Staff who are responsible for medication errors will be subject to disciplinary action.

After ONE med error:

- Before the employee may pass meds again:
 1. The supervisor must conduct and document an oral counseling; and
 2. The supervisor or network coordinator must conduct and document a supervised med pass.

After TWO med errors:

- Before the employee may pass meds again:
 1. The supervisor must conduct and document a written warning; and
 2. The employee must attend and successfully pass Core A training to review and refresh their skills.

After THREE or more med errors:

- Before the employee may pass meds again:
 1. The supervisor and network coordinator must determine an appropriate retraining and/or disciplinary response, based on the individual situation. If the employee will continue to pass medications, this response must involve the employee successfully demonstrating that they can follow the correct procedures for passing medications. The response must be approved by HR and the DOS.

If a medication error is especially egregious, the first two steps could be skipped.

Under certain circumstances, medication errors may be considered grounds for immediate dismissal. Customer refusals do not constitute medication errors. Medication errors must be reported by the staff person who discovers the error. Failure to report a medication error may lead to disciplinary action.

Personal Appearance

Options staff members are expected to dress according to generally accepted community standards. These standards include well-maintained casual attire when in someone's home or on recreational activities, and more formal dress when participating in activities (e.g., church, concerts, dances) requiring such attire. Unacceptable clothing includes, but is not limited to, clothing with holes and shirts that do not cover the torso. On more formal occasions, blue jeans are not acceptable. All staff are expected to

maintain good personal hygiene. All staff providing direct service should wear appropriate closed-toe footwear with slip resistant soles.

Administrative staff members are expected to dress according to generally accepted community standards for professional employees. Unacceptable clothing includes, but is not limited to, jeans (except on Fridays and cleaning days), shorts, clothing with holes, shirts that do not cover the torso, and skirts that are not at least twelve inches below the buttocks. Administrative staff members who also provide direct service are expected to dress professionally while in the office and while attending case conferences.

Problem-Solving

If there is a problem with a fellow employee or supervisor, the employee is expected to try to resolve it by discussing the problem with the persons involved. If the problem cannot be resolved at that level, employees are asked to follow the chain of command to resolve the problem at the next level. If problems cannot be resolved, the employee should consider using the grievance procedures.

Quality Improvement

Options strives to provide the highest quality services to the individuals served by the organization. In addition to the various formal assessments done by external entities, management also encourages input from all parts of the organization around quality improvement. Employees have a number of avenues by which they may provide input to enhance quality:

Employees are encouraged to work through their immediate supervisor by suggesting new ideas to enhance the quality of services. They are also encouraged to communicate to their supervisor any processes or procedures in their area needing improvement along with ideas for addressing the improvements. One on one meetings, staff meetings, Employee Performance Review meetings, employee surveys, and written correspondence are all appropriate avenues for this input.

Employees may also elect to participate on the Leadership Team. This group is made up of individuals from all levels and areas of the organization. The team works together to assess organizational issues and to develop solutions. The subject matter typically is identified from the annual employee survey process but also may come from external reviews, new service initiatives and/or goals established by the Executive Leadership Team. Nominations are accepted on an annual basis for this committee to ensure that anyone who wishes to participate can at some point have the opportunity.

Reporting Abuse, Neglect, or Exploitation

Any employee or Options' consultant who possesses knowledge of or witnesses an alleged case of battery, neglect, or exploitation must report it immediately. An injury of unknown origin should be reported and investigated as potential abuse, neglect, or exploitation. Options must inform Adult Protective Services/Child Protective Services, the Bureau on Developmental Disabilities Services, the individual's legal representative, any person designated by the individual and the provider of Case Management services of a situation involving abuse, neglect, exploitation, mistreatment of an individual, or the violation of the individual's rights.

Failure to report such incidents is a Class D felony subject to a \$10,000 penalty. Employees or consultants who fail to report such incidents will also be subject to disciplinary action by Options. Persons investigating reports of abuse and neglect will work to maintain the confidentiality of staff making the allegation.

- Physical abuse– Knowingly or intentionally touching another person in a rude, insolent, or angry manner. Example: Grabbing or shoving rudely or angrily, slapping, hitting, or throwing someone on the floor. Also includes unnecessary physical or chemical restraints or isolation, and punishment, with the potential for or resulting in physical harm
- Neglect – Placing a customer in a situation that may endanger his/her life or health, abandoning or cruelly confining a customer, depriving a customer of necessary support including food, clothing, shelter, medical care, or technology.

- Exploitation – Unauthorized use of a customer or his/her resources for one's own profit or advantage.
- Sexual abuse—Includes all allegations of rape, unwanted sexual contact, sexual misconduct, or sexual exploitation
- Verbal/Emotional abuse - Includes oral, written and gestured language that includes disparaging and derogatory remarks and/or harsh and demeaning tones. Also includes unreasonable confinement or intimidation
- Injury of unknown origin – Evidence of a physical injury where the cause is unknown and/or where there is no documentation of its origin

Staff or contracted consultants must report suspected abuse, neglect, battery, and/or exploitation to the Team Manager or Network Coordinator for the individual involved. Or they may make report directly to the appropriate Adult Protective Service (APS) or Child Protective Services, (CPS) as indicated by the age of the individual. The Network Coordinator or Director of Services must be informed subsequent to making this report. The following are phone numbers for APS and CPS.

APS 1-800-992-6978

CPS 1-800-800-5556

Network Coordinators in each service are responsible for reporting all allegations and ensuring all necessary reports are filed with all required entities per Options' policies and current policies of the State of Indiana. The Network Coordinator will inform APS/CPS, the Bureau on Developmental Disabilities, the individual's legal representative, any person designated by the individual and the provider of Case Management services of a situation involving abuse, neglect, exploitation, mistreatment of an individual or the violation of the individual's rights. The Network Coordinator or other reporting staff will inform the Director of Services and Executive Director immediately. The Director of Services will complete the investigation of the allegation and submit to the Executive Director for review. Investigations must be initiated within 24 hours of the report.

If the alleged violator is an Options staff member, he/she will be suspended immediately, until the incident has been fully investigated and findings published. The investigation must be initiated within 24 hours of the initial report. APS, CPS and or the appropriate law enforcement agency will be consulted to determine if an external investigation will be completed. Options will follow the directives of the external agency doing the investigation in terms of whether the internal investigation will be done simultaneously or completed after the external investigation. After all investigations are complete there will be a written report that will include a summary of the allegation, key findings, and recommendations. If the allegations are substantiated the Options' staff person will be terminated.

Options' employees who do not report suspected abuse in a timely manner may be subject to disciplinary action. Please refer to the Options Policy Manual section 3.1.5.2 for specific reporting procedures.

Reporting Fraud, Waste, and Abuse at Options

Management, Board, employees, independent contractors, or members of the public are encouraged to come forward, when warranted, with allegations of abuse, mismanagement, suspicious activities or wrongdoing. Additionally, in some cases facts may arise during internal audits where further investigation is necessary. Instances of fraud, waste, mismanagement, misconduct, and other abuses within Options system should be reported in the following manner: Fraud related matters can be reported by filling out and submitting a complaint form to the Executive Director of Options who serves at the compliance officer. See page 15 for more detail.

Some Reminders

Respect your customer's time and your responsibility. Do not bring your children, spouse, or significant other to work with you. Do not use the customer's appliances to do your laundry. Do not run personal errands while you are on the clock, serving Options customers. Do not take the customer to your home unless under rare circumstances, when it is to the benefit of the customer and you receive written

permission from your Director of Services and the parent/guardian. Violation of this policy will result in disciplinary action, up to and including termination.

Smoking

Options promotes a smoke-free environment for employees and customers. Smoking is not permitted in private offices, in agency vehicles (even when customers are not present), in group homes or customer homes. In addition, employees may not smoke in the community or in their personal vehicles while being paid to supervise customers. Employees who choose to smoke may do so on break at a location away from the immediate area so the individual(s) being supported do not breathe second-hand smoke. The supervisor may establish guidelines for the number of breaks within a setting depending on the needs of the customer.

Speaking to the Media

Employees may not speak to the media as an official or unofficial spokesperson of Options without prior written approval of the Executive Director. All inquiries from the media must be referred to the Executive Director. Should an employee receive a media inquiry, he or she should respond, "I have no authority to respond to your request" and should refer the person to the Executive Director.

Suspected Illicit Activity

Illicit activity is defined as any activity perpetrated against an individual we support, an employee, or the agency which is in violation of the affected person's rights, including, but not limited to: rape or sexual assault, abuse, theft, or other criminal conduct.

Customers shall not be subject to bodily or verbal abuse, neglect, or any form of mistreatment by staff, visitors, or other customers. Violation of these restrictions may result in disciplinary action, including dismissal. When the alleged violation involves a customer, staff shall immediately report it directly to the supervisor on duty and to Adult or Child Protective Services. Other violations are to be reported to the Human Resources Director. Failure to report an incident is grounds for disciplinary action, up to and including dismissal. Employees should not discuss the incident with anyone except the supervisor, the Human Resources Director, the appropriate Director, and/or the Executive Director.

Telephone and Cell Phone Use

Office, group home, and customer phones may not be used for long-distance personal calls. All employees must use personal calling cards for personal long distance calls made from Options' telephones.

Personal Phone Use

Employees may be reimbursed for using their personal phone for Options business only when approved by the Network Coordinator. The amount of the call is reimbursed, but not the monthly service charge. The telephone charges must be highlighted on the employee's telephone bill and attached to a signed Check Request before being submitted to Fiscal Services for reimbursement.

Options Cell Phone Use

Options provides reimbursement for use of personal cell phones to some employees based upon the requirements of their job. The Executive Director will make these authorizations. These staff include Network Coordinators, Team Managers, Chief Financial Officer, IT Systems Manager, Director of Services and Assistant Director of Health Services.

Options will not provide cell phones nor reimburse cell phone costs for unauthorized staff. Staff who use an Options issued cell phone may be asked to reimburse the agency for any personal use.

Transporting Customers

Agency vehicles are for transporting customers and completing tasks necessary to the agency. Agency vehicles are not to be used for employee personal business. Use of cell phones while driving is prohibited. Safe driving practices, speed limits, seat belt usage and other driving laws must be observed

at all times. Employees who fail to follow all laws will be subject to disciplinary action, up to and including dismissal.

Options is not responsible for any fines incurred by staff while driving or parking an agency or personal vehicle for agency business.

Employees must maintain and provide proof of current vehicle liability coverage, and it must be on file in the Main Office before they can use their personal vehicle for transporting customers.

Employees who lose their driving privileges, or become uninsurable under Options vehicle insurance policy must notify their Team Manager and Human Resources immediately and cannot drive with Options' customers in any vehicle, except in cases of extreme emergencies when not driving would endanger the customer.

Losing driving privileges or becoming uninsurable under Options' vehicle insurance policy may result in termination if the employee is required to transport customers. Executive Leadership Team will determine the viability of continued employment for a staff member based on:

- Availability of non-driving positions. At no time will there be non-driving positions in settings where Options is the primary responsible service provider, e.g. 24 hour settings supported by Options staff.
- The nature of the offense. Conviction for driving under the influence will result in termination.

Staff approved to work in non-driving positions, may do so with the approval of the customer/and or guardian, and with an emergency plan approved by the customer and/or guardian.

Receiving two or more speeding tickets in a 3-yr period, or being arrested for Driving under the influence of alcohol or drugs may render an employee uninsurable under Options' vehicle insurance policy. Arrests for Driving under the influence of alcohol or drugs must be reported within 24 hours of their occurrence to the supervisor, and to the Human Resources Director.

Each agency vehicle is equipped with first aid supplies and instructions for what to do in case of an accident or roadside emergency. Please refer to that information when necessary.

All agency vehicle accidents must be reported to the Executive Director of the agency. If no other vehicles are involved, the Executive Director will determine whether to report the accident to the insurance company. Accidents involving another vehicle must be reported to our insurance carrier. Be sure to get the appropriate information and a witness. Information regarding accident reporting procedures is in agency vehicles.

Whistleblower Protection

It is the responsibility of every employee, officer, and volunteer, to immediately report suspected misconduct without the fear of retaliation. Any reprisal against a reporting individual because that individual, in good faith, reported a suspected act of misconduct, is prohibited and will, in turn, be considered a misconduct.

The grievance process outlined in the Employee Handbook should be used to report suspected retaliation.

Counseling, Discipline, Termination, and Grievance Procedures

Counseling Memorandums

Note: Counseling Memorandums are not disciplinary actions. Counseling memorandums document management's efforts to provide guidance to employees and to clarify expectations. They serve to document how management provides assistance to the employee and to make recommendations for improvement.

Disciplinary Actions

Employees who fail to comply with the agency's policies will be subject to disciplinary action. Options will normally follow progressive disciplinary procedure. However, employment with the agency is at-will, and discipline DOES NOT have to be progressive. Therefore, in certain circumstances, immediate termination may result.

Disciplinary actions include oral warnings, written warning, suspension, and dismissal. The agency's management, in its sole discretion, will determine the appropriate disciplinary action to be taken. In determining the appropriate disciplinary action, management may consider such things as the impact of the offense on the agency, the extent of the damage or harm caused, and the circumstances of the offense, as well as any mitigating circumstances.

Any questions regarding this disciplinary policy, or any specific acts of discipline, should be directed to the Human Resources Director or the Executive Director.

- *Oral Warnings* – An oral warning may be given by a direct supervisor when an employee's performance or conduct is unsatisfactory. Documentation will be placed in the personnel file stating the date and time of the violation, the employee's reaction, the necessary improvement required, and information concerning further disciplinary action that could result from failure to show improvement. A written warning may be issued if an employee's performance does not improve.
- *Written Warning* – A written warning will state why the employee's conduct is unsatisfactory, must set a period of time in which the situation must be remedied, and must identify specific strategies for remediation. Before any written warning may be issued, the warning documentation must be reviewed by the Human Resources Director or the appropriate Director.
- *Suspension* – Suspension is a temporary absence from work that is required of an employee for disciplinary reasons or pending results of an investigation. A supervisor may suspend an employee as the result of the employee's failure to comply with terms of a written warning, or if the conduct is severe enough to warrant a suspension in lieu of a written warning, or if the conduct constitutes a violation of a policy that stipulates suspension as the disciplinary action. An employee who is suspended will be given written notice of the reasons for the action, and a copy will be made a part of the employee's personnel record.

A suspended employee may appeal the decision to the Executive Director, whose decision shall be final.

If an employee is suspected of participating in conduct that merits dismissal, the appropriate Director, at his or her discretion, may suspend the employee with or without pay while an investigation is conducted. If the employee returns to work, the supervisor will meet formally with the suspended employee and describe, in reasonable detail, the improvements in job-related behaviors required as a condition of the employee's continued service. This meeting will be documented and records of it will be added to the employee's personnel file and be submitted to the Executive Director.

- *Dismissal* –Dismissal occurs when other disciplinary action has failed to achieve improvement or when an employee violates an employee policy or work rule, and management, in its discretion, believes termination is warranted. The Human Resources Director and appropriate Director will review any proposed dismissal, and the dismissal shall take place only after their approval. Any employee will have the right to appeal his or her dismissal to the Executive Director, whose decision shall be final.

Actions that warrant dismissal include, but are not limited to:

1. Poor job fit, refusing/inability to perform the duties in the job description
2. Customer abuse, mistreatment, or neglect (physical, verbal or emotional)
3. Falsifying/altering any agency records, timesheets, check requests, or customer records
4. Inappropriate/unauthorized use of company or customer funds
5. Damaging, stealing, or attempting to damage or steal the property of the agency, a customer, or another employee
6. Violation of safety practices that might cause risk of harm, injury, or death to self, fellow employees, customers, visitors, or others
7. Violations of Options' Code of Conduct including retaliation against those who report concerns per the agency's whistleblower protections
8. Releasing confidential information to unauthorized individuals
9. Accepting monies/gifts from customers or others to perform a service
10. Borrowing from or making personal loans to other Options employees
11. The unauthorized leaving of work locations during assigned hours
12. Gross negligence
13. Harassment
14. Failure to report an accident, injury or customer abuse, mistreatment, or neglect in a proper, accurate, and timely fashion
15. Failure to report fraud, waste, or abuse per company code of conduct
16. Sexual contact with customers
17. Unauthorized sleeping on the job
18. More than one no call, no show for a work shift.
19. Carrying weapons on Options' property or when working with Options' customers
20. Insubordination involving, but not limited to, defaming, assaulting, or threatening to assault a supervisor or refusing to carry out the request of a supervisor where the employee's personal safety is not threatened
21. Using, possessing, selling, or being under the influence of alcohol or other non-prescribed controlled substances while on duty or on agency premises. Suspected violators may be asked to submit to a drug test or a medical exam, and the matter will be reported to the proper authorities.
22. Unreasonably interfering with other employees' work
23. Refusing to cooperate with an agency investigation
24. Violence, fighting, horseplay, or other activities endangering the physical or emotional safety of others
25. Failure to meet job requirements
26. Losing driving privileges for jobs that require driving
27. Using inappropriate or unprofessional written communication not commonly acceptable as professional business practice

Termination

- *Voluntary* – A voluntary termination occurs when an employee resigns or is separated from the organization at his or her own request. Any employee who fails to report for work or has an unexcused absence may be considered to have voluntarily terminated without notice. All obligations of the employer beyond those required by law will be terminated immediately.

Hourly employees who intend to leave or assume another position with the agency must give at least 3 weeks written notice to their supervisor. Salaried employees are expected to give at least 4 weeks notice. The date the written resignation is received at the office shall be considered the

beginning of the notification period. Resignations sent via E-mail are acceptable. Employees not giving appropriate written notice of voluntary termination may not be eligible for rehire.

- *Involuntary* – An involuntary termination occurs when an employee is separated from the organization at the agency's request and may occur for the following reasons:
 1. Poor Job Performance – An employee may be terminated if he/she is unable or unwilling to perform the job assignment in an appropriate and satisfactory manner, and/or if he/she displays an attitude that adversely influences the employee and/or fellow employees' work. Steps taken to resolve the problem and retain the employee will be documented in the employee's file.
 2. Discipline – Staff members may be dismissed for disciplinary reasons.
 3. Medical Disability – An employee may be dismissed when substantial medical evidence, supported by a doctor's report, demonstrates that he/she cannot perform his/her job in a satisfactory manner or cannot accept another position within the agency for which he/she is qualified, and for which a job vacancy exists. The agency will follow all guidelines set forth in the Family and Medical Leave Act of 1993 prior to taking this action.
 4. Position Elimination – The employee's position is eliminated due to budgetary constraints, restructuring, changes in service needs, or obsolescence. Options will provide at least three week's notice of such action.
- *Exit interview* – Employees who leave the agency for any reason may have an exit interview. Employees may request for the exit interview to be conducted by his/her supervisor or the appropriate Director. As part of the evaluation process, Options may mail exit survey forms to employees who have left the organization.
- *References* – All requests for references must be directed to Human Resources. Human Resources shall disclose only the dates of employment, the title of the last position held, and whether or not the person is eligible for rehire. Employees will have the opportunity to authorize work references within the agency. Employees who fail to reimburse the agency for any outstanding debts or who fail to return agency/customer property will be considered not eligible for rehire.
- *Insurance* – Options will discontinue paying premiums on employee's insurance effective with the last day of employment. Employees who wish to continue their Health insurance at their own expense may elect to do so under COBRA guidelines. Life and short-term disability insurance will not be available under COBRA.
- *Rehiring of previous employees* – Employees who leave Options in good standing, and who provide appropriate notice of their intent to leave, will be eligible for rehire. Former employees who wish to be considered for rehire must reapply according to the agency's application procedures. Returning employees who have left within the past year may have orientation requirements waived by their hiring supervisor.

Grievance Procedure

Generally, employees are expected to try to resolve their own conflicts with coworkers before taking the issue to their supervisor.

When coworkers cannot resolve a conflict, or when the issue involves sexual harassment, abuse, or fraud, the grievance process should be used.

All regular employees are eligible to use the grievance procedure. Grievances must be presented within 5 working days from the date of the original cause of grievance, or the employee's right to file a grievance will be lost. Saturdays, Sundays, and holidays are not included, and the time period may be extended by written mutual agreement of the parties involved.

The presentation of a grievance must follow the grievance procedure steps as follows:

Grievances Not Involving One's Immediate Supervisor

The employee must present a written grievance form (available in Human Resources) to his/her immediate supervisor, who has 10 working days to respond (unless there are special circumstances). A copy of the grievance form must be sent to Human Resources. The supervisor and staff person will meet to discuss the grievance. The two parties at conflict will also meet in the attempt to resolve the conflict. If the grievance is not satisfactorily resolved, the employee will take the grievance to a committee of the Chief Financial Officer, Director of Services, and Human Resources Director. The employee must notify the Human Resource Director in writing that they are taking the grievance to the next level. This committee must respond within 10 working days of the receipt of the written notification to the HR Director. The committee will have 15 working days to issue an opinion on the grievance. If the grievance is not resolved to the employee's satisfaction, the employee may then take it to the Executive Director, who has 20 working days to respond from receipt of notification (unless there are special circumstances). Again, the employee must notify the Executive Director in writing of desire for the third level review. The decision of the Executive Director is final and binding. The employee will receive a copy of the grievance response.

Summary of Grievance Process

<u>Title</u>	<u>Deadline for Decision</u>
1. Immediate Supervisor	10 working days
2. Committee of CFO, DOS, HR	15 working days
3. Executive Director	20 working days (decision is final)

Grievances Involving One's Immediate Supervisor (Unless it is the Executive Director)

When a grievance is with one's immediate supervisor, but the supervisor is not the Executive Director, employees must follow the procedure outlined above, but begin with the supervisor's supervisor. If the grievance involves a member of the committee in step 2, the employee may request that member to be excused from the process.

Grievances Involving One's Immediate Supervisor (When it is the Executive Director)

For employees who report directly to the Executive Director, and the grievance is about the Executive Director, grievances will be submitted to the President of the Board of Directors. The decision of the President of the Board of Directors is final and binding.

Other Considerations

The grievance procedure does not apply to the following matters:

- Action caused by a reduction in work force.
- Action that affects a temporary employee or a probationary employee.
- Rates of pay, performance ratings, employee benefits, position classifications, or changes in duties within position classifications.
- Disagreements with Options policy

Emergency Procedures

Definitions of an Emergency

An emergency is any situation that requires an immediate consultation with a supervisory staff person.

Some examples of when to call the Emergency Response System (1-877-313-1989):

- Serious customer illness or accident that requires immediate emergency room medical attention (not doctors appointments).
- Medication Errors.
- Administration of psychotropic PRN medication.
- Serious behavioral incidents that require additional assistance after repeated attempts to use usual behavior modification techniques.

- Emergency issues like fires, power outages, natural disasters, weather emergencies, or van breakdowns
- During weekday A.M. shifts, if a customer refuses, or is too sick to go to work.
- If an employee does not show up to work an assigned shift, try to contact the person directly and contact the pager if they have not arrived within 15 minutes.
- If you are unable to work your shift due to illness or personal emergency, it is your responsibility to find a substitute and notify the pager of the substitute. If you are unable to find a substitute to work your shift, you must call the pager at least two hours before the start of your shift and provide a list of who you contacted and their responses. The supervisor on-call only has the discretion to make exception to this rule in the event you become ill on the job, or are too ill to find an appropriate substitute.

Emergency Response System

Services Pager System

- The services pager system is to be used to respond to the emergency needs of Options customers, their families, and staff. It is available 24 hours a day, 7 days a week. The pager is carried and answered by an assigned Network Coordinator or Team Manager for the network. While carrying the pager, staff must remain within one hour of their home base. All calls received will be responded to in accordance with the Pager Procedures manual.
- The service is accessed by calling 1-877-313-1989.
- If there is no response to the pager system, re-page the service after 15 minutes.
- Inappropriate use of the pager system may result in disciplinary action.

Crisis Management Plan

Action to be taken in the event of a serious accident, emergency, or fatality: Give priority attention to providing all reasonable care for the injured person(s).

- Secure a doctor, ambulance, clergy and police as appropriate. Obtain names, addresses, and phone numbers of all witnesses and a written statement of what happened if witnesses must leave before police arrive.
- In the event of a fatality, always notify police. Retain a responsible adult at the scene. See that no disturbance of victim surroundings is permitted until the police have assumed authority.
- Call the emergency pager.
- Depending on the seriousness, the person carrying the emergency pager will contact the Director of Services and the Executive Director (the Board President or Vice President will act as agency spokesperson should the directors not be available to report the emergency and to secure additional assistance as needed).
- Anyone involved in a serious accident, emergency, or fatality will make no statement orally or in writing which could be interpreted either as an assumption or rejection of responsibility for the accident until all the facts are known. The only response to the media should be, "There has been an incident. We do not have all the facts, but when we do, we will provide further information."

Fire, Power Outages, Natural Disasters, and Weather Emergencies

Options maintains emergency procedures for each location. In case of fire, power outages, natural disasters, and other weather emergencies, staff must comply with the procedures for the particular location. Staff's first responsibility is the welfare of the customers. Ensuring their safety includes bringing all necessary customer medications to safety. Note posted exits, alternative exits, and locations recommended for shelter during tornados and other weather emergencies, which are placed in various locations throughout each facility.

Vehicle Breakdowns/Accidents

In the event of a vehicle breakdown while transporting a customer, or while driving an agency vehicle, staff should immediately switch on the car's safety/emergency flashers. Pull onto the far right shoulder of the road as far as possible. If the vehicle has lost power in the roadway, set the emergency brake and raise the vehicle hood. If people or the vehicle is in danger of being struck by traffic, the vehicle must be

abandoned, and a place of safety found. Staff are instructed to refrain from pushing the vehicle to a safe place unless it can be done with the assistance of others.

Staff must call the Team Manager or emergency pager for help. If using a wireless phone, the call can be made from inside the vehicle, when this is the safest place, and a cellular telephone is available. If it is not safe to remain in the vehicle, staff must carefully leave the vehicle, with the customer(s) to make the call.

In the case of an accident involving agency vehicles, ensure the safety of any customers, and comply with the reporting process outlined in the emergency information in the vehicle. Always contact the relevant law enforcement officials and complete an incident report. Submit all reports to the supervisor after making a copy of the police report.

For accidents when transporting a customer in a staff vehicle, an incident report must also be completed, and the vehicle owner must follow all reporting requirements of his/her insurance company. The Team Manager or emergency pager can be called for help. If using a wireless phone, the call can be made from inside the vehicle, if this is the safest place, and a cellular telephone is available. If it is not safe to remain in the vehicle, staff must carefully leave the vehicle, with the customer(s) to make the call.

Health and Safety

General Information

Options complies with all applicable federal, state, and local health and safety regulations and seeks to provide a work environment that is free from hazards. Supervisors are responsible for ensuring that the employees they supervise understand and comply with all safety rules and procedures. Employees should report any violations, unsafe conditions, accidents, or suggestions to their supervisor and the Human Resources Director. Violations of agency safety rules and procedures will result in disciplinary action, up to and including dismissal.

Hepatitis B Vaccine - All employees at Options are entitled to receive the vaccination against Hepatitis B at no cost. Employees must sign consent forms indicating their decision to receive or refuse the vaccine. Employees who wish to receive the vaccine are responsible for contacting the Employee Development Coordinator to schedule the vaccine. Employees who fail to show up for the vaccine appointment will be assumed to decline the vaccine at that time.

Personal Protective Equipment (PPE) - The agency provides disposable gloves, face/eye protection, and protective gowns at no cost. All employees with occupational exposure to potentially infectious materials must use this equipment when performing tasks that involve risk of exposure. Disposable PPE and other materials should be placed in appropriately marked biohazard containers immediately following use. Any equipment, materials, or surfaces that are potentially contaminated must be decontaminated immediately using appropriate procedures.

Serious Health Conditions

Employees with infectious, long-term, life-threatening or other serious health conditions may work as long as they are physically and mentally able to perform the duties of their job without undue risk to their own health or that of other employees, customers, or members of the public.

Employees who are diagnosed with a serious health condition, and who wish an accommodation, should inform the Human Resources Director as soon as possible. Options will attempt to maintain confidentiality of the diagnosis and medical records of employees, unless otherwise required by law.

Infection Control Measures

Each staff member should have knowledge of his/her own health inventory, including immunization status and history of exposure to communicable diseases. Employees are required to provide proof of their status at hire.

Employees may not have any direct contact with customers when they have the following communicable conditions:

- Scabies
- Streptococcal infection until 24 hours after antibiotic treatment has begun
- Acute diarrhea lasting more than 24 hours
- Chicken pox until lesions are crusted
- HIV when draining lesions on the hands are present
- Hepatitis
- Measles until 7 days after rash appears
- Mumps until 9 days after onset
- Pertussis (whooping cough) until 7 days after beginning of effective treatment
- Rubella until 5 days after rash appears

Reporting a Workplace Accident or Injury

If an employee is injured while on duty, he or she is required to follow these steps:

- Notify the supervisor, Team Manager, Network Coordinator, or Director of Services immediately (use the emergency system if an incident occurs after business hours).
- Seek appropriate medical attention and notify the attending health care providers that treatment is covered under Worker's Compensation insurance. Employees should seek medical attention at Promptcare, or the emergency room of the hospital if Promptcare is closed. If the employee has potentially been exposed to blood-borne pathogens, he/she must request a blood test for HIV and Hepatitis B. Exposure to a blood borne pathogen requires immediate medical attention. Employees who are injured on the job will be required to submit to a drug screening when seeking medical attention.
- Report the incident in writing to Human Resources no later than the next business day. Incidents must be reported, even if no medical attention is sought.

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Acknowledgement of Receipt

Options Employee Handbook

- *I hereby acknowledge receipt of my personal copy of the **Options Employee Handbook**, effective January 1, 2010 and revised July 1, 2010. I certify that I have read this employee handbook and am familiar with its contents, and I will comply with the policies, rules, and guidelines contained in it. I understand and agree that Options (“Options” or the “agency”) may, in its sole discretion, revise, rescind, or modify or deviate from any portion of the Handbook at any time, without notice to me and without my consent. Should I ever have any questions about the policies contained in the Handbook, I will contact my supervisor or the agency’s Human Resources Director.*
- *I understand that this Handbook is not a binding contract, but rather a set of guidelines for the implementation of the agency’s personnel policies. I also understand that notwithstanding any of the provisions of this Handbook, I am employed on an at-will basis and my employment can be terminated with or without cause, and with or without notice, at any time, at the option of either the agency or me. I further understand that no supervisor, manager, or representative of Options other than the Executive Director has any authority to enter into any agreement for employment for any specific time, or to make any agreement to the foregoing.*

The language and information which appears in this Handbook does not create, nor is it to be construed as constituting, a contract between Options and any of all of its employees. I further acknowledge that I do not in any way rely upon the provisions of this Employee Handbook in accepting on continuing my employment with Options.

- *I have read and agree to abide by **Options’ Service principles and Code of Conduct**. I understand that if there is a violation of the above that I will report to the appropriate person per the reporting process outlined in the Options Compliance Plan and Employee Handbook.*
- *I have read and agree to comply with **Options’ Information Technology Policies**. I agree, without reservation, to abide by these policies.*
- *I have read and agree to comply with **Option’s Drug-Free Workplace Policy**. I agree, without reservation, to abide by this policy.*

Employee’s Signature

Date

Printed Name

Witnessed by:

Witness Name

Date

Title: _____

Options

Employee Handbook Quiz

Employee's Name

Date

1. *What personal characteristics are NOT considered when personnel decisions are made (hiring, promotion, etc.)?*
2. *Who do I report harassment to?*
3. *How do I apply for internal open positions?*
4. *What training classes are new services staff required to complete before working with customers?*
5. *What should I do to come off of training wage to my entry wage?*
6. *I'm planning a trip to Florida for Spring Break. How do I request Paid Time Off (PTO)? Do I need to find coverage for my shifts?*
7. *What does the Whistle Blower Protection policy protect employees against?*
8. *Who is eligible to participate in the 401K plan? How much will Options match?*
9. *What is the purpose of the Employee Development Review (EDR)?*
10. *If there's a snow emergency when I am scheduled to work, do I have to come to work?*

11. *What is the purpose of the Code of Conduct?*

12. *What do I do if I suspect a customer isn't being treated properly?*

13. *When is an employee required to submit to a drug screening according to the Drug and Alcohol policy?*

14. *How do I report fraud, waste or abuse?*

15. *What is one step of progressive discipline?*

16. *What are 2 examples of offenses that warrant immediate dismissal?*

17. *I'm graduating and moving away from Bloomington. How much notice should I give my supervisor to resign my position?*

18. *What is the dress code for direct service staff?*

19. *I got hurt while working a shift. What do I need to do?*

20. *What is an example of an appropriate time to call the Emergency Pager?*

Options Services Principles and Code of Conduct

Our mission

Options partners with people with disabilities and our communities to bring about self-directed and enriched lives through education, information and support

The following principles, ethics and values guide the way in which we deliver services to persons with disabilities, and the way in which we interact with each other across the organization. All employees are responsible for ensuring that their behavior and activity is consistent with Service Principles and the Code of Conduct.

Our values

- ✓ Customers are most important to the success of the organization
- ✓ The outcomes of services are independence and enriched lives in the community
- ✓ All services are provided in the community and grouping is minimized
- ✓ Everyone deserves respect regardless of ethnicity, gender, disability, or severity of disability
- ✓ Decisions are driven by the mission of the organization
- ✓ People with disabilities have the same rights as people without disabilities
- ✓ Within the community Options serves as a resource, convener and connector
- ✓ The organization is a model for healthy lifestyles

Service principles

Safety: People are safe in their homes. People have health services. People have economic resources. People have continuity in their environment and in the people in their lives.

Choice and control: People have service plans that reflect their preferences and needs. People choose where they work and with whom they live. People choose how they use their free time. People choose their service provider and services.

Dignity and respect: People have time, space, and opportunity for privacy. People have and keep personal possessions. People decide to whom and when to share personal information. People understand and are assisted in exercising their rights. People are afforded due process.

Social inclusion: People have opportunities to develop friends and intimate relationships. People have the opportunity to participate in the life of the community.

Satisfaction: People are satisfied with services. People are satisfied with their personal life situations.

Confidentiality: Employees maintain confidentiality of customer information and ensure their privacy.

Conflict of Interest: Employees disclose any potential conflict of interest and act accordingly.

Customer Rights: Employees are knowledgeable about and protect the rights of the customers at all times.

Reporting Abuse, Battery, Neglect, or Exploitation: Any employee or Options' consultant who may be aware of an alleged case of battery, neglect, or exploitation must report it immediately.

Ethical Dissent: Options staff have the right to exercise ethical dissent when they feel that they are being asked to perform or be part of actions which they understand are ethically or legally wrong.

Whistleblower Protection: It is the responsibility of every employee, Board member, and volunteer, to immediately report suspected misconduct (fraud, waste, or abuse) without the fear of retaliation. Any reprisal against a reporting individual because that individual, in good faith, reported a suspected act of misconduct, is prohibited and will, in turn, be considered a misconduct. The grievance process outlined in the Employee Handbook should be used to report suspected retaliation.

The following are specific principles and ethics related to business operations at Options. Detailed descriptions for each are contained in the Options Compliance Plan:

Principle 1 - Legal Compliance: Options will strive to ensure all activity by or on behalf of Options is in compliance with applicable laws and regulation.

Principle 2 -Business Ethics: In furtherance of Options' commitment to the highest standards of business ethics and integrity, employees will accurately and honestly represent Options and will not engage in any activity or scheme intended to defraud anyone of money, property or honest services.

Principle 3 –Confidentiality: Options' employees shall strive to maintain confidential information in accordance with applicable legal and ethical standards.

Principle 4 -Conflicts of Interest: Directors and key employees owe a duty of undivided and unqualified loyalty to Options. Persons holding such positions may not use their positions to profit personally or to assist others in profiting in any way at the expense of the corporation.

Principle 5 -Business Relationships: Business transactions with vendors, contractors and other third parties shall be transacted free from offers or solicitation of gifts and favors or other improper inducements.

Principle 6 -Protection of Assets: All employees will strive to preserve and protect Options' assets by making prudent and effective use of Options' resources and properly and accurately reporting its financial condition

Principle 7 - Service Delivery: While providing services staff will adhere to the highest level of conduct. All employees will strive to promote the mission, vision, and values of the organizations. The ethical guidelines strive to ensure customer staff relationships are clear and free of conflicts of interest and that staff act professionally at all times.

I have read and agree to abide by these service principles and Code of Conduct. I understand that if there is a violation of the above that I will report to the appropriate person per the reporting process outlined in the Options Compliance Plan and Employee Handbook.

Signature: _____ *Date:* _____