



## **Employee Information Guide**

Updated September 2012

**ResCare is a human services company supporting people with developmental and other disabilities, youth with special needs, adults experiencing barriers to employment, and older people in their homes. Founded in 1974, ResCare has developed a strong reputation for providing quality and cost-effective services designed to meet the needs of each individual we support.**

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# The President's Welcome

I want to take this opportunity to welcome you to ResCare. In accepting employment with ResCare, you have joined a dynamic team of employees working together to uphold traditions begun by ResCare in 1974.

For more than 30 years, our organization has been providing supports to persons with disabilities, at-risk young adults, and adults who are experiencing barriers to employment throughout the United States, Canada and Puerto Rico. We are proud of our reputation for providing quality services through ethical business practices. We believe that our dedication to quality and service has been an important factor in our success.

We have prepared this Employee Information Guide to help acquaint you with ResCare's principles, employment policies, and highlights of certain benefits. Since we cannot be all-inclusive here, feel free to speak with your supervisor or Human Resources Representative if you have any questions about our employment practices.

I sincerely hope that your employment with ResCare will be rewarding, satisfying, and challenging.

Sincerely,  
Ralph Gronefeld

President/CEO



# Our Mission Statement

**ResCare is Respect and Care.**

**Assisting people to reach their highest level of independence.**

We are dedicated and caring people who form a company providing excellent human services that enhance the lives of individuals.

With efficiency and effectiveness, we strive to provide the highest measurable quality supports for people and organizations we serve, our employees, our shareholders and our communities.

We serve with skill, compassion, respect and care.



# ResCare Quality Way

## Creating Direction

- I will do the right thing and know the right thing to do.
- I will encourage accountability by focusing on solutions.
- I will display drive, perseverance, and commitment to the goals of my team and ResCare while taking individual responsibility for our results.
- I will take ownership of ResCare's mission and vision and be accountable for my part of the process.
- I will treat everyone with Respect and Care.

## Customer Focus

- I will take individual accountability for delivering quality services with a focus on customer satisfaction.
- I will ask customers, "...how am I do and what can I do better?"
- I will demonstrate listening to understand, respect and care in all customer and stakeholder interactions.
- I will encourage entrepreneurship, be flexible and innovative, to meet the needs of our customers and the communities we serve.

## Employee Focus

- I will strive to create an environment where people can grow and develop.
- I will provide feedback and share information and ideas with my fellow employees promoting continuous improvement.
- I will encourage new ideas and empower people to try new ways of getting the job done.
- I will recognize and celebrate our successes.

## Face-to-Face Communication

- I will promote open, honest and frequent face-to-face dialogue.
- I will value, respect, and be open to the points of view of others.
- I will set aside distractions and listen with an open mind.
- I will listen respectfully to others, valuing their contribution.
- I will provide opportunities for using face-to-face interaction before decisions are made.

## Managing for Outcomes

- I will use performance measures to achieve optimum results for myself, our customers and stakeholders.
- I will willingly reach across business units, individual operations, and other departments, and other people with diverse backgrounds from mine to partner and achieve the best possible outcomes.
- I will hold others accountable for their commitments and actions.
- I will consistently assess processes and procedures, fostering an efficient and safe work environment which produces the most efficient and effective results.
- I will inspect what I expect, including my own work and the work of others, to ensure quality results.



## Overview & Expectations

Congratulations and Welcome to the ResCare family!

This Employee Information Guide was written especially for you, an employee of one of the ResCare companies (“ResCare”). It provides information you will need to get started on the job, including summary descriptions of our expectations, your benefits, and some of the policies and practices you will be expected to follow. It replaces and supersedes all previous handbooks issued by ResCare.

As with any new job, you will have many questions about the Company and your day-to-day activities. This Guide is designed to help answer those questions. In time, changes may be made to the information in this Guide. Changes will be posted, or your supervisor will keep you informed of changes as they occur and answer questions not answered here. Employees covered under a collective bargaining agreement should refer to the agreement for clarification on specific policies, practices, and benefits.

This Employee Information Guide is not an employment contract. It is not intended to give any expressed or implied right of continued employment. You or the Company can end the employment relationship at any time for any reason, with or without cause or notice. (NOTE: In Puerto Rico, terminations must be “justa causa” or with cause, not at-will). No representative of the Company, other than its Chairman, President/CEO, or Board of Directors, has the authority to enter into an expressed or implied agreement for employment for a specified period of time.

### Management Philosophy

ResCare is firmly committed to the concept of fair and equitable treatment of its employees.

The Company has enthusiastically accepted its responsibility for providing employees with good working conditions, competitive wages and benefits, fair treatment, and respect for the rights of individuals.

It is the objective of ResCare management to:

- Treat you with dignity and respect;
- Help you become successful in your job;
- Provide open, frequent, and positive communication;
- Maintain the high standard of quality and service upon which our Company was founded;
- Acknowledge that you, as an employee of ResCare, are a critical resource for the Company;
- Compensate you competitively;
- Recognize and reward contributions you may make to the Company; and
- Provide a safe work environment.



## Standards of Service

The standards of service for ResCare focus on our customers - the individuals we support, their families, other visitors, and our co-workers. Each employee is expected to meet the following standards:

1. **Responsiveness.** Taking the time to listening to and understand our customers' needs so that we may respond in a positive and efficient manner.
2. **Professionalism.** Meeting our customers' needs with skill and care.
3. **Reliability.** Developing positive relationships by being trustworthy and dependable.
4. **Accuracy.** Checking and re-checking to ensure needs are met appropriately and completely.
5. **Flexibility.** Providing supports to our customers on a schedule that satisfies the wide variety of their needs.

## Expectations

The expectations for ResCare employees focus on maintaining a high level of quality in all that we do. The following expectations apply to all employees:

1. **Abide by all policies and practices.** This will ensure accurate delivery of services to the individuals we support. You should strive to provide quality service and to feel good about a job well done.
2. **Be courteous and helpful.** Treat everyone as you would like to be treated. Make certain everyone you encounter – the individuals we support, your co-workers, and visitors – receives consideration and superior service.
3. **Be a good listener.** Whether you are dealing with an individual we support or a co-worker, listen to his/her point of view. Understand occasional frustration or anger.
4. **Be responsible.** If you make a promise, keep it. For the individuals we support, dependable service may mean the difference between life and death.
5. **Be a team player.** Make an effort to understand exactly how your work affects others.
6. **Ask questions.** It is important to stay informed about our Company and to know your responsibilities. Ask your supervisor questions about your job and Company policy.
7. **Dress neatly and appropriately.** The way you dress reflects not only how you feel about yourself but also how you feel about our Company and the individuals we support.
8. **Maintain a clean and safe work area.** This helps ensure the health and safety of everyone who enters that area.
9. **Be an ambassador for ResCare at all times.** Remember that you are our most important public relations representative.

## Ethics/Compliance

As a company, ResCare has set high ethical standards for itself, and we know that we can only live up to those standards if each individual employee performs his or her duties in an ethical and compliant manner. ResCare's Code of Conduct includes information about specific compliance-



related performance areas and provides guidance on how to respond to those situations. If you have questions or concerns about a compliance-related issue, you should first try to voice your concerns through your usual communication channels, such as your supervisor or other local management. However, if the existing communication channels seem inappropriate, please contact the Compliance Action Line at 1-866-293-3863. All calls will be treated confidentially, and you can remain anonymous if you choose.

ResCare also has expectations for more general aspects of your performance. Treat the individuals we support and your co-workers with dignity and respect. Observe all policies and practices. Use Company property for authorized business only. It is always more gratifying to work in an atmosphere of integrity and trust.

ResCare does not allow individual employees to accept tips or gifts from the individuals we support, family members, or companies with which we do business or their representatives. Gifts are to be returned with an explanation that Company policy does not permit their acceptance.

### **Fraud Prevention and Control**

ResCare is committed to preventing fraud, waste, or abuse of resources belonging to the Company or the individuals we serve. Fraud is when someone misrepresents or lies about something to obtain a benefit to which they are not entitled. It also includes when someone acts in “deliberate ignorance” or recklessly disregards whether information reported is accurate.

Management is ultimately responsible for the detection and prevention of fraud, but it is the obligation of all employees to immediately report any suspected fraud to a supervisor or to the Compliance Department (1-800-866-0860 ext. 2237). Such complaints are handled as confidentially as possible and may be made anonymously through the Compliance Action Line (1-866-293-3863). Employees will not be punished for making any good faith complaint, even if the complaint ultimately turns out to be incorrect. Employees are subject to discipline up to and including discharge for making deliberately false allegations or reporting deliberately false information. Employees must disclose their own errors immediately after discovery, to ensure that the Company does not unintentionally bill for services it has not provided.

Examples of fraud, waste, or abuse of resources would include forging documents, taking office supplies for personal use, committing identity theft, profiting from insider information about corporate activities, or providing false billing information to the Company or its funding sources.

Individuals should not attempt to conduct their own fraud investigations but should report whatever information they have to their supervisor or to the Compliance Department. When fraud is substantiated, it is reported to senior management including the General Counsel and to the Board of Directors through its Audit Committee and Ethics and Compliance Committee. Investigators have full access to all ResCare records and premises and the authority to review all Company property, including physical files or computer storage without prior knowledge or consent of the individual employee whose files are reviewed.

ResCare maintains several fraud prevention controls in place at all times. It maintains a Code of Conduct which is given to all employees upon hiring and also made available on the Company’s intranet. These documents emphasize the Company’s commitment to its mission and to



compliance with all applicable laws, the responsibility of all employees to report suspicion of fraud, the consequences if fraud is detected, and the Company's prohibition of retaliation against persons making good faith reports. Each year, employees are required to sign a re-affirmation of their adherence to these Codes.

ResCare maintains an Audit Committee to provide oversight related to monitoring financial results and ensuring compliance. It maintains numerous Accounting and Fraud Prevention Policies and Procedures in compliance with the Sarbanes-Oxley Act of 2002. ResCare performs background and reference checks on its potential hires to ensure that it is hiring honest and ethical employees. ResCare provides Compliance training to all of its employees, and educates employees, agents and contractors regarding fraud prevention policy and mechanisms to report fraud, waste, and abuse.

In order to detect fraud, ResCare maintains the Compliance Action Line, a 24/7 "hotline" available to report suspected fraud or wrongdoing. ResCare conducts both Operational and Financial Statement internal audits, testing the workflow and effectiveness of the organization's operational policies and procedures as they relate to management objectives and the efficiency of internal financial reporting.

ResCare analyzes variances between budget and actual performance on a monthly basis to determine why variances are present, since unexplained variances could be a sign of fraudulent activity. Trends are monitored on an ongoing basis, and suspicions of fraud are reported to the Audit Department for closer review. Management promotes additional detection methods through the internal controls it sets, such as segregating the duties where cash receipts are involved or having an independent person review account reconciliations.

### **Federal False Claims Act**

The Federal False Claims Act is a law that authorizes private individuals to file lawsuits on behalf of the federal government against people or companies who make false claims for payment for services. The purpose of this law is to prevent fraud, waste, or abuse of government resources. Any person or entity that makes a request for payment from the government knowing the request is false or submitting false documentation can be prosecuted. The federal law, and some state laws, provide protection to employees who file False Claims Act complaints in good faith and provides penalties for those who file suits found to be frivolous or filed primarily for purposes of harassment.

### **The Program Fraud Civil Remedies Act**

The Program Fraud Civil Remedies Act of 1986 (**UNITED STATES CODE TITLE 31 SECTIONS 3801-3812**) provides federal agencies the ability to obtain administrative remedies, separate from and in addition to, compensatory and punitive damages available under the Federal False Claims Act. The act applies to corporate entities and individuals. The statute authorizes a federal agency to seek administrative remedies in the event a corporation or individual knowingly submits false claims or statements to the agency. Available remedies include civil penalties of up to \$5,000 for each false claim or statement and assessments of up to twice the amount of each false claim or statement. Agencies may also pursue actions to suspend or debar any corporate entity or individual from entering into contracts with the federal government.





## **State False Claims Acts**

In addition to the Federal False Claims Act, the Deficit Reduction Act of 2005 contains additional provisions aimed at reducing Medicaid fraud and abuse. Among these provisions are financial incentives for individual states to develop their own false claims acts with provisions that meet or exceed those of federal law. Each state in which ResCare conducts business may or may not have such laws. For more information, please see Appendix A.

## **Conflict of Interest**

In the interest of maintaining our high ethical standards, all employees are expected to report to their supervisors any personal investments or outside business connections which could be in conflict with the best interests of ResCare and our customers. More specifically, our policy prohibits you from:

1. Engaging in any outside activity, employment, or enterprise, that could interfere with and/or compromise ResCare's interests or adversely affect your job performance and ability to fulfill your responsibilities to ResCare;
2. Making investments or performing services in any enterprise where there could be a conflict of interest between you and the Company; or
3. Accepting commissions or benefits in any form from any person, firm, or company with whom ResCare does business if it could be construed as an attempt to influence ResCare personnel.

## **Equal Employment Opportunity and Affirmative Action**

ResCare has long been committed to the principle that all persons are entitled to equal employment opportunity regardless of race, color, religion, sex, age, national origin, disability, veteran status, political affiliation, or genetic information. It is our policy to comply with all federal, state, and local laws and regulations and to apply this policy across all terms and conditions of employment, recruitment, selection, promotion, demotion, transfer, layoff, recall, rehire, termination, development and training, compensation and benefits, social and recreational programs, retirement, and assignment of work (except where a bona fide occupational qualification exists and/or federal, state, or local regulations require otherwise). When all other qualifications are equal, we will attempt to hire staff in a manner that will help to achieve a balance of race and sex at all employment levels.

Each member of management is responsible for working to carry out our policy of Equal Employment Opportunity and Affirmative Action for all persons. Employees who wish to review ResCare's Affirmative Action Plan should contact their Human Resources Representative.

## **Prohibition of Harassment**

ResCare's policy complies with all federal, state, and local laws and regulations that prohibit harassment of any employee or applicant for employment, male or female. Such harassment includes conduct such as slurs, jokes, intimidation, or other verbal or physical attack upon a person because of race, color, religion, sex, national origin, age, disability, veteran status, political affiliation, or genetic information.



Any behavior or action which is excessively coercive, intimidating, disruptive, harassing, or sexual in nature is considered inappropriate and is prohibited. This guideline applies to all business or related interactions among employees, applicants, supervisors and managers, customers, vendors, visitors, etc.

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when a) submission to such conduct is made, either explicitly or implicitly, a term or condition of a person's employment; b) submission to or rejection of such conduct is used as the basis for employment decisions affecting that person (e.g., promotion, training, compensation, benefits, etc.); or c) such conduct has the purpose or effect of unreasonably interfering with a person's work performance or creating an intimidating, hostile, or offensive working environment.

Any employee or applicant for employment who believes he or she has been subjected to harassment is urged to clearly and firmly say "no" because it is possible that the other person did not realize that his or her behavior was offensive. If the offensive behavior continues, the employee or applicant is responsible for reporting the alleged act to his or her supervisor or Human Resources Representative. This report may be made in writing, in person, or by telephone. If the person is uncomfortable discussing the matter with these representatives, he or she may contact the Business Segment Human Resources Director at the regional office, and/or the Sr. Director of Labor Relations or the Chief Human Resources Officer at the Resource Center.

All reports will be investigated in a discreet and confidential manner. Retaliation will not be permitted against anyone who provides information for an investigation or makes a good-faith complaint, even if the complaint is not substantiated. However, if the complainant has knowingly filed a false report, he or she may be subject to corrective action.

Anyone found in violation of this policy will be subject to corrective action up to and including immediate termination. Civil penalties may also be imposed for violating federal and state laws against harassment.

### **Non-Disclosure of Information**

ResCare employees shall not, either directly or indirectly, divulge, disclose, or communicate to any person, firm, or corporation (other than as required by law) information that is protected: by the Health Insurance Portability and Accountability Act (HIPAA); by local, state, or federal laws governing trade secrets, intellectual property rights, or privacy; or by other similar limitations on communication. This prohibition shall apply to the individuals we support, their records, and the private business of the Company and its employees. Nothing in this prohibition shall prevent an employee from exercising any legal right to disclose information as specifically permitted by federal or other applicable law.

### **Securities Trades by Employees**

As a publicly traded company, ResCare and its employees have certain responsibilities and restrictions with respect to buying and selling stock. As an employee, you are presumed to know or



to have access to "inside information." It is illegal for you to use this information for personal gain or to provide this information to others for their use before the information is made known to the public.

If "insider trading laws" are violated, both you, personally, and the Company could be subject to legal action, substantial civil fines, and/or criminal penalties. You could also be subject to corrective action up to and including termination.

### **Visitors**

Unidentified, unwelcome, or unexpected visitors can be disruptive to the workplace and can even pose a security problem. Because of the nature of our business, we must limit access to our agencies, centers, and offices to visitors, such as co-workers, vendors, and suppliers, who have a clear business reason for being there. Unless otherwise directed, employees must have advance approval to have a visitor on Company premises and the visitor must be accompanied by an employee at all times.

### **Safety**

ResCare is committed to promoting safety and to providing a safe place for you to work. You must keep safety in mind at all times to minimize accidents and injuries to yourself, the individuals we support, and other employees. If you see something that is unsafe and could cause an accident, take appropriate action and inform your supervisor. Please observe all appropriate safety rules in every phase of your work. Use proper lifting techniques. If your job requires you to drive or ride in a Company vehicle or to use your own vehicle while on Company business, fasten your seat belt at all times. In the event you sustain an injury, regardless of the extent, you must report it immediately to your supervisor.

### **Support Help Assistance Relief Effort (S.H.A.R.E.)**

In 1994, a group of ResCare employees developed a program designed to help fellow ResCare employees needing financial assistance. S.H.A.R.E. also makes contributions to charitable organizations supported by ResCare employees. S.H.A.R.E. is governed by a board of directors consisting solely of ResCare employees and is funded by employee donations. For further information, contact your Human Resources Representative.

### **Unions**

ResCare is committed to maintaining a positive relationship with our employees that promotes dignity, personal achievement, and involvement. We are dedicated to treating employees fairly; providing good working conditions; and, above all, delivering the respect each employee deserves. We seek open and direct communication, which allows employee concerns to be resolved in an atmosphere of mutual trust. We will strive to meet and better these commitments.

We do not believe that our employees would benefit from outside intervention into this relationship. While we respect the right of employees to decide whether they wish representation by a union, we firmly believe that the best interests of employees can be served without third-party involvement. We greatly value our ability to work with employees on an individual basis without



them having to deal with burdensome union costs, complicated rules, and costly work stoppages which could significantly threaten the well-being of the individuals we support.

## **Getting Started on the Job**

### **Respect for Others**

Each individual we support and your fellow employees have the right to be treated with consideration, dignity, and respect. Your behavior must reflect your belief in this right. Failure to do so will result in corrective action up to and including termination. It is our policy to promptly investigate all reports of abuse of any kind and to report the matter to the proper authorities immediately.

### **Employment Status**

In this Guide are references to nonexempt and exempt positions. Employees in nonexempt positions are generally paid on an hourly basis and are subject to the overtime provisions of the Fair Labor Standards Act. Employees in exempt positions do not receive overtime pay. In addition, your position is classified as either full-time, part-time, PRN, or temporary. For details, please contact your Human Resources Representative.

### **Introductory Period**

All newly hired, re-hired, transferred, or promoted employees are to be carefully evaluated on the job for an introductory period of six (6) months (except in Puerto Rico or as otherwise indicated by contract). During your introductory period, your performance will be reviewed and, if it is determined that your employment with ResCare will continue, you will be placed on regular status. From that point forward, mid-year assessments and annual evaluations will be done for all employees. Please contact your Human Resources Representative for the details of the introductory period for your operation.

### **Work Schedules**

Work schedules differ within our Company and are subject to change. Your supervisor will inform you of your schedule. If it becomes necessary to change your schedule, your supervisor will give you as much notice as possible.

### **Time Records**

All nonexempt/hourly employees must record the time that they arrive at and leave from work each workday. Many operations use a time reporting system (“Kronos”) and some operations also require employees to record the time that they leave for and return from lunch each workday. Please contact your Human Resources Representative for the time record details of your operation.

These time records are your invoice to the Company of your time worked. Take special care to accurately record the time you worked. Recording hours not actually worked may be considered falsification of documentation, which could result in corrective action up to and including termination. The following guidelines will help you keep that from happening:



- Do not allow anyone else to record your time for you.

Never punch or clock in for another employee.

- All overtime and/or leave requests must be approved in advance by your supervisor, unless a bona fide emergency situation exists.

### **Overtime**

For purposes of overtime compensation, employees in nonexempt/hourly positions will be paid overtime for hours worked over forty (40) during a workweek except at operations where state law or union contract indicates otherwise. Holiday, planned time off (PTO), vacation/sick (for Job Corps Centers only) and/or emergency leave reserve (ELR) hours are not considered in the calculation of overtime hours except at operations where state law or union contract indicates otherwise. To see if your operation falls in one of these exceptions, please contact your Human Resources Representative. Your supervisor must approve all overtime before it occurs, unless a bona fide emergency exists.

Employees in exempt positions do not receive overtime pay and may be expected to work over the normal workweek without additional compensation. No employee, exempt or nonexempt, will be given compensatory time instead of overtime hours worked.

If you volunteer to attend special outings, picnics, or trips, which are not scheduled as part of your job, you will not be paid regular or overtime pay for the event. Additionally, you will not be expected to perform job-related duties while in attendance.

### **Payroll Information**

ResCare employees are paid by check, paycard, or direct deposit (where available). Most employees are paid twice monthly. Please check with your Human Resources Representative concerning your agency's pay schedule. If an error occurs on your paycheck or if you have a question, please see your supervisor or Human Resources Representative. Your paycheck will be given only to you unless you request otherwise in writing.

### **Personnel Records**

Your personnel records must be kept current. Please report promptly to your supervisor or Human Resources Representative changes of name, address, telephone number, marital status, dependents, payroll deductions, or who to contact in case of emergency.

Current employees may review the contents of their personnel file in the presence of the Human Resources Representative and may request copies, but may not remove documents from the file. A nominal fee may be charged for any copy of records. Such an inspection must be requested in writing to the Human Resources Representative. Personnel files are the property of ResCare.

### **Dress and Appearance**

Please remember that the reputation of the Company, as well as your own reputation, is judged partly by your personal conduct and appearance. You are expected to dress in a clean and neat



manner that is appropriate for your respective job responsibilities and business environment. Please check with your supervisor and/or Human Resources Representative for the established dress guidelines at your agency.

### **Attendance and Tardiness**

Reporting for work as scheduled and on time is the responsibility of each employee. Each agency has established a written guideline for reporting absences and/or tardiness. These procedures will be communicated to you during orientation.

### **Infection Control**

We are concerned about your health, as well as the health of the individuals we support, your family, coworkers, their families and other visitors. It is your responsibility to be fully aware of your agency's infection control policy and to follow infection control procedures to protect everyone involved.

The Company will provide you with training for infection control procedures to ensure the safest work environment possible. All employees who are at substantial risk of direct contact with blood or body fluids will be offered free Hepatitis B vaccinations. Please see your supervisor or Human Resources Representative for complete details.

### **Employee Benefits**

Employees meeting the appropriate length-of-service requirements are eligible to participate in ResCare's benefit programs. These benefits, when added to your pay, contribute to your total employment package. Please see your Human Resources Representative for an explanation of the current benefit programs.

### **Consolidated Omnibus Budget Reconciliation Act (COBRA)**

At separation of employment or change in status from full-time to part-time or PRN, you may elect to continue health and dental insurance coverage and the flexible spending accounts as permitted under the COBRA insurance continuation law. Also, continuation of insurance coverage may be available for the spouse and/or dependents of the employee in the event of marital separation, divorce, death, or other qualifying events. Contact your Human Resources Representative for information on costs, election periods, and terms of coverage.

### **Holidays**

ResCare observes designated holidays by providing time off with pay for eligible employees. Eligibility for holiday pay begins with the first day of employment. You must work the regularly scheduled shift before and after the holiday or be on a prior approved paid absence to receive holiday pay. For nonexempt full-time employees, holiday pay is based on the number of hours you normally work at your straight hourly rate, up to a maximum of eight (8) hours. Exempt employees who are required to work on a holiday will be allowed to take another "floating" holiday on another day. Non-exempt PT employees who work on a holiday are paid for all hours worked and may receive up to one hour of holiday pay for each hour worked, not to exceed eight



(8) hours of holiday pay. PRN employees may or may not receive additional holiday pay. Please consult your Executive/Center/Project Director for your operation's holiday pay policy and your Human Resources Representative for the list of holidays observed by your agency.

### **Funeral Leave**

ResCare will grant funeral leave in the event of death in an employee's immediate family. Eligibility for funeral leave benefits begins with the first day of full-time employment. The employee is responsible for notifying his or her immediate supervisor as soon as possible when a death occurs in the family. Employees may receive up to three (3) regularly scheduled consecutive days of funeral leave for the immediate family. Full-time employees requesting time off under funeral leave will be paid based upon the employee's regular pay rate and scheduled shifts. Immediate family is defined as spouse, parent, grandparent, brother, sister, child, stepchild, foster child, grandchild, mother-in-law, father-in-law, step-mother, step-father, step-brother, step-sister, brother-in-law, sister-in-law, daughter-in-law, son-in-law, guardian, and any other member of the employee's household. Granting funeral leave outside of the "immediate family" definition, such as aunt/uncle or niece/nephew must be approved by the Executive/Center/Project Director, Business Segment Human Resources Director and Regional Vice President. In all cases, the employee is responsible for keeping the supervisor informed of the anticipated duration of absence.

### **Retirement Savings Plan**

The Retirement Savings Plan is a 401(k) plan designed to provide you with a sound investment opportunity to help you reach your retirement goals. To be eligible for the Plan, you must be at least 21 years of age and complete 1,000 hours of service within 12 consecutive months from your date of hire. If you do not meet the hours-of-service requirement within the first 12 months, then you must complete 1,000 hours of service within a calendar year thereafter to be eligible. Please contact your Human Resources Representative to confirm your operation's participation and for eligibility and enrollment information. (PRNs hired after 12/31/2002 are excluded from the plan.)

### **Leaves of Absence**

ResCare offers a variety of leaves of absences, including funeral, military, jury duty, and family medical leave. For eligibility requirements, terms of the leave, and information about any possible effects your leave may have on your benefits, please contact your Human Resources Representative.

### **Family Medical Leave**

ResCare provides up to twelve (12) work weeks of unpaid, job-protected family and medical leave for absences due to qualifying events under the Family and Medical Leave Act (FMLA) to eligible employees. An eligible employee must meet the following criteria to be eligible for leave under this program:

- Be employed for at least twelve (12) months; and
- Have worked at least 1,250 hours during the 12-month period immediately preceding the start of the leave. NOTE: The twelve (12) months an employee must have worked/been employed by the employer need not be consecutive months.



Reasons for taking leave include:

- Birth of an employee's child or placement of a child with an employee for adoption or foster care; or,
- To care for an employee's spouse, child, or parent (but not parent-in-law) who has a serious health condition; or,
- When an employee is unable to perform the essential functions of his/her job due to a serious health condition (including pregnancy or related conditions).

In all cases, an employee eligible for leave under this policy must complete and return the required paperwork within fifteen (15) days; if not, the employee's absence(s) may be classified as a non-job protected leave of absence and may result in denial or revocation of leave. NOTE: If for any reason the employee is unable to act on his/her own behalf, the Human Resources Representative should be proactive in soliciting the FMLA application.

Please see your Human Resources Representative and/or immediate supervisor for specific questions.

## **Policies and Practices**

### **Dispute Resolution Procedure**

ResCare maintains open and free communication with all employees throughout the Company and has a very strong commitment to ensure that all employees receive fair treatment. ResCare believes that most problems can be resolved quickly and easily through mutual understanding and we prefer to communicate directly with individual employees, rather than through third parties.

From time to time, however, misunderstandings or poor communication may result in the perception of unfair treatment. To encourage a frank discussion of the problem, the Company has developed the following dispute resolution procedures. Please note that each step in the procedure has time frames that must be followed.

1. Talk to your supervisor about the problem within five (5) days. Let him or her know that you are coming to him or her as the first step in the dispute resolution procedure and give him or her opportunity to resolve it. He or she will attempt to resolve the dispute within five (5) work days. (If your dispute involves your direct supervisor, you may go directly to step 2.)
2. If you are not satisfied with the results of this discussion, you may file a formal appeal with the Human Resources Representative and Executive/Center/Project Director or Branch Manager within five (5) work days. (Please see your Human Resources Representative for the necessary form and a detailed review of the appeal policy and procedure.) The Executive/Center/Project Director or Branch Manager, with the assistance of the HR Rep, will attempt to resolve the matter within ten (10) work days.
3. If you are not satisfied with the results of the appeal, you may advance the matter (including your written appeal and the Executive/Center/Project Director or Branch Manager's response) to the Regional Vice President or designee within ten (10) work days. The Regional Vice President or designee will provide a response, in writing, within twenty (20) work days.





4. If the appeal is not resolved, you may appeal to the Senior Regional Vice President or Executive Vice President within ten (10) work days. The Senior Regional Vice President or Executive Vice President will provide a response within thirty (30) work days.
5. If you are not satisfied with the results of that appeal, you may file your final appeal within ten (10) work days to the Chief Human Resources Officer at the Resource Center, who will respond within sixty (60) work days. The decision of the Chief Human Resources Officer is final.

If you fail to advance your appeal to the next level within the specified time frame, the matter will be considered to be resolved.

If you feel that you have been treated unfairly, the Company encourages you to step forward to resolve the issue internally. You have the right to use these problem-solving procedures without fear of retaliation. We can only achieve our goals as a Company if you are comfortable in your work environment.

**(Note:** The Dispute Resolution Procedure may be utilized for corrective actions at the Second Written Warning level and above only.)

## **Communications**

### ***Internal***

There are many ways in which you may keep abreast of activities in your own department and other parts of the Company. Your first and most important link is your supervisor, who will answer questions about your job, keep you informed of events in your own and related areas, and discuss Company policies and practices.

Bulletin boards, communication logs, the ResCare Intranet, and Company newsletters are used for official company notices, rules, notices of job vacancies, announcements, and other company-related information. Employees are encouraged to check them frequently.

### ***External***

No employee should speak to the media on behalf of ResCare without express authorization from the communications department or senior management. Instead, all media inquiries for Company information should be referred to your Executive/Center/Project Director or Regional Vice President, who will coordinate the appropriate response with ResCare's communications department.

## **Corrective Action**

We maintain a procedure to ensure a fair method of appropriate, progressive corrective action. Corrective action is a system intended to give you advance notice, whenever possible, of concerns with your conduct or performance. This provides you an opportunity to correct any problems that may arise.



The progressive nature of the procedure allows the severity of the corrective action to reflect the nature of the offense. The least severe offenses can begin with the lowest level of corrective action and increasingly severe measures will be taken for more serious or repeated offenses. Serious offenses may result in termination without progression through the prior steps in the procedure.

Please see the Standards of Conduct section of this Guide for examples of actions that are considered more and less severe and that may lead to corrective action.

Regardless of this procedure, employment is at the mutual consent of the employee and the Company and either can end the employment relationship at-will.

### **Criminal Violations**

Our employees are expected to follow rules of conduct that will protect the interests and safety of the individuals we support, other employees, and the organization. In the event that you are convicted of violating the law, you should contact your supervisor immediately. A determination of whether to continue your employment will be made by management.

### **Drug- and Alcohol-Free Workplace Policy**

ResCare is committed to providing an environment that promotes the welfare of the individuals we support, employees, and visitors. Therefore, in accordance with the federal Drug-Free Workplace Act of 1988 and state law, ResCare strictly prohibits employees from the unlawful manufacture, distribution, possession, sale, purchase, or use of illegal drugs, controlled substances, or alcohol while acting in the course of employment. This includes anytime the employee is on Company-owned, -leased, or -controlled property, while the employee is operating Company-owned, -leased, or -controlled equipment or vehicles, or when the employee is at Company-sponsored functions. Any employee who violates this policy is subject to corrective action up to and including termination.

All ResCare employees must, as a condition of their employment, adhere to this policy. An employee is responsible for notifying his or her immediate supervisor of any drug or alcohol-related arrest and, if convicted, must notify his or her supervisor within five (5) days of the conviction.

ResCare reserves the right to take appropriate and lawful action to enforce this Drug- and Alcohol-Free Workplace Policy. These rights include drug and/or alcohol testing and inspection of any and all ResCare and employee property when ResCare has a reasonable suspicion that this policy has been violated. Employees involved in work-related accidents which require off-site medical treatment or result in property damage will be tested for controlled substances and alcohol. Any employee who refuses to be tested or violates this policy is subject to corrective action up to and including termination and/or a requirement that the employee satisfactorily complete a drug and/or alcohol rehabilitation program.

ResCare encourages employees with drug and/or alcohol abuse problems to seek counseling and treatment. Employees should contact their supervisor or Human Resources Representative to receive information about finding help.



## **Violence in the Workplace Policy**

ResCare is committed to providing a safe environment for the individuals we support, employees, and visitors. In order to provide a safe workplace, we maintain a zero tolerance for violence policy. Violence, which occurs at the workplace or in the course of employment, includes acts and threats, implied or actual, made directly or indirectly, that create or could create internal or external stress, productivity impairments, or physical and/or psychological harm to the individuals we support, employees, visitors, or ResCare property. This includes forms of intimidation, harassment, and/or coercion.

ResCare also prohibits all persons from possession or use of firearms, illegal knives, explosives, or any other prohibited weapon of any kind while acting in the course of employment with ResCare, while on Company-owned, -leased or -controlled property (except where specifically allowed by law), while operating Company-owned, -leased or -controlled vehicles, or at Company-sponsored functions regardless of whether the person is licensed to carry the weapon or not. This also includes concealed weapons. ResCare reserves the right to conduct searches of any person, vehicle, or object that is on or enters onto Company property. Failure to abide by all terms and conditions may result in corrective action up to and including termination.

ResCare encourages employees to report any incident that may involve a violation of this policy to his/her supervisor or the Human Resources Representative.

## **Employment of Spouses and other Relatives**

Generally, spouses and relatives of employees will be considered for employment on the same basis as any other applicant with regard to their qualifications, background, experience, and the Company's requirements.

To avoid having relatives in supervisory/subordinate relationships, if employees are or become family members, reasonable efforts will be made to reassign one or both persons to ensure that a conflict of interest does not exist.

## **Evaluations and Performance Appraisals**

The job performance of all ResCare employees is reviewed on a regular basis. Performance ratings have a direct bearing on salary progression, job transfers, and promotions.

## **Garnishments**

All employees are expected to handle their financial obligations promptly so that creditors will not have to ask for ResCare's assistance in collecting monies owed to them. We will, however, make wage assignments and garnishment deductions in accordance with federal and state laws.



## **Jury Duty**

Regular, full-time employees will be allowed time off to perform jury duty. In the event you are called upon to serve on jury duty, you should promptly notify your supervisor who will explain the details of the jury duty policy.

## **Length of Service**

ResCare will recognize and consider length of service when decisions are made with regard to your employment. Length of service is determined by the date on which you began active employment with ResCare. Time spent on medical, personal, or other leave, or other absences that cause a break in service as defined by Company policy may not be included in your total length of service.

## **Personal Property**

The Company will not assume any responsibility for replacing or repairing personal property that is lost, stolen, vandalized, or damaged during work times or while on Company premises.

## **Separation of Employment**

If you choose to terminate your employment with ResCare, we prefer that you submit a letter of resignation at least two weeks prior to the effective date, unless stated otherwise per employment or union contract. Prior to receiving your last paycheck, you must return all Company property in your possession to your supervisor or to your Human Resources Representative. This includes keys or any other equipment that is considered Company property that you have been issued.

Final payment of wages and other compensation due will be made on the next regular payday or in accordance with state regulations, provided that all time sheets are submitted on time.

ResCare is interested in feedback from separating employees. All separating employees are strongly encouraged to complete an online exit interview survey at [www.rescareexit.com](http://www.rescareexit.com). Information provided through the online exit interview survey will help us as we strive to maintain a positive working environment.

## **Solicitation**

Distribution of non-work-related materials or solicitation by an employee is prohibited while on working time or at any time while in working areas. The only exceptions are solicitations for ResCare charitable programs such as S.H.A.R.E. or similar corporate-sponsored programs that have obtained proper management authorization. Working time includes the working time of both the employee doing the soliciting and distributing and the employee to whom the soliciting or distributing is being directed. Working time does not include meal/break periods or any other specified period during the workday when employees are not performing their work tasks. Working areas include all areas where work is customarily performed.



## Standards of Conduct

ResCare has developed Standards of Conduct to inform employees of conduct that is unsuitable in a working environment and that will result in corrective action up to and including termination.

The severity of the corrective action reflects the nature of the offense and increasingly severe measures will be taken for more serious or repeated offenses. Serious offenses may result in immediate termination. It is impossible to compile a listing of all violations subject to corrective action; however, the examples listed below illustrate the type of behavior that will not be permitted and are not intended as an all-inclusive list. Please see your supervisor or Human Resources Representative for a detailed explanation.

- A. The following is a list of actions which will be a violation of this policy and subject to corrective action up to and including termination of employment:
1. Any acts of disrespect, abuse, and/or neglect toward the individuals we support.
  2. Contributing to the delinquency of the individuals we support, including engaging in sexual misconduct. Fraternization between staff and the individuals we support is strictly prohibited.
  3. Fighting with or abusive or threatening conduct or speech towards any individuals we support, fellow employees, vendors, or visitors.
  4. Failing to immediately report cases of actual or suspected abuse/neglect or any incident of a reportable nature to a supervisor or other management person.
  5. Theft, unauthorized removal, wrongful possession, or deliberate destruction of property, merchandise, equipment, or possessions belonging to the individuals we support, fellow employees, or the Company.
  6. Unlawful manufacture, distribution, possession, sale, or use of illegal drugs, controlled substances or alcohol while acting in the course of employment, on Company-owned, -leased or -controlled property, while operating Company-owned, -leased, or -controlled equipment or vehicles, or at Company-sponsored functions.
  7. Intentional or flagrant insubordination or refusal to follow work instructions.
  8. Failing to follow safety rules and/or health practices.
  9. Possessing or using any firearm, illegal knife, or weapon of any kind while acting in the course of employment, on Company-owned, -leased, or -controlled property, while operating Company-owned, -leased or -controlled equipment or vehicles or at Company-sponsored functions.
  10. Deliberately falsifying or altering any official Company document or form, including time cards or time sheets, employment applications, etc.
  11. Unauthorized absence from the work area.
  12. Unreported absence of two (2) consecutive scheduled workdays without directly notifying the supervisor on duty. This will be considered as job abandonment (extenuating circumstances may be considered) and reported as a voluntary resignation.
  13. Violating HIPAA, or other unauthorized disclosure of legally protected confidential information, or similar violation of federal, state, or local law.



14. Disseminating maliciously false information about the Company, employees, or the individuals we support.
  15. Sleeping during working hours.
  16. Gambling on Company premises.
  17. Substantiated acts of harassment, including such conduct as slurs, jokes, intimidation, or other verbal or physical attack upon a person because of his or her race, color, religion, sex, national origin, age, disability, veteran status, political affiliation, or genetic information.
  18. Substantiated acts of discrimination which deny equal treatment in any terms, conditions, or privileges of employment because of the person's race, color, religion, sex, national origin, age, disability, veteran status, political affiliation, or genetic information.
  19. Improperly using Company communications systems or equipment, including any misuse such as harassing, offensive, demeaning, insulting, defaming, intimidating, or sexually suggestive written, recorded, or electronically transmitted messages.
  20. Using Company time and resources for personal gain unrelated to employment with the company.
  21. Inefficiency, incompetence, or negligence in the performance of duties, including failing to perform assigned tasks or training, failing to discharge duties in a prompt, competent, and reasonable manner, or if appropriate, failing to remain awake and alert during work.
  22. Being or becoming prohibited from working in healthcare (i.e., expired or revoked license/certification) or excluded from Medicare or Medicaid participation.
  23. Transporting an individual we serve to the employee's home or on a personal errand without prior supervisory approval.
  24. Violating of the Code of Conduct.
- B. The following is a list of actions subject to corrective action depending on the progressive discipline step of the employee:
1. Failing to comply with written or verbal work instructions by a supervisor or management person which is not conclusively interpreted as intentional insubordination.
  2. Smoking in prohibited areas.
  3. Failing to report reasons for being absent or tardy on a timely basis.
  4. Disregarding time reporting procedures.
  5. Abusively or negligently using tools or equipment.
  6. Failing to wear clean, neat, and appropriate clothing.
  7. Carelessly or blatantly wasting materials.
  8. Distributing literature and/or soliciting during working time. Working time does not include off-duty periods such as breaks or meal times.
  9. Posting unauthorized notices.



10. Improperly parking motor vehicles, driving recklessly, speeding, and violating motor vehicle laws while operating Company vehicles or personal vehicles while conducting Company business.
11. Excessive absenteeism or tardiness.
12. Being present inside group homes or similar non-public areas during non-work hours without prior approval.
13. Extending lunch or break periods without authorization.
14. Excessive medication administration errors.
15. Receiving visitors at the workplace without supervisory approval.
16. Failing to follow and adhere to ResCare policies and practices.

ResCare reserves the right to increase or decrease the level of corrective action for offenses described above for reasons which, in ResCare's judgement, are appropriately considered. Nothing in this policy is intended, nor shall it be interpreted, to modify the at-will nature of employment at ResCare.

### **Work-Related Injuries**

All injuries occurring on Company premises and any off-premises injuries that occur in the performance of job duties, even those of a minor nature, must be reported to your supervisor immediately.

## **Career Development**

### **Job Posting/Transfers/Promotions**

It is ResCare's policy to fill vacancies by promoting from within whenever practical and appropriate. In selecting employees for promotion or transfer, consideration is given to skills and abilities, experience, performance, attendance, length of service, and other factors, without regard to race, color, religion, sex, age, national origin, disability, veteran status, political affiliation, or genetic information.

When a job opening occurs, the position will be posted on Company bulletin boards for seven (7) calendar days. To be eligible to request a transfer or promotion, an employee must have successfully completed six (6) months in his or her current position with a satisfactory performance evaluation, and have received no progressive corrective actions during the same period. Exceptions may be granted by the supervisor and Human Resources Representative.

The Company reserves the right to request that employees transfer at any time based on business necessity.



As ResCare continues to grow and expand, there will be new job opportunities for employees. We believe in the idea of promotion from within, and when possible, qualified employees are promoted as suitable vacancies occur.

### **Tuition Reimbursement**

If you are a full-time employee with at least six (6) months of service (twelve (12) months for graduate-level courses), you may be eligible to receive tuition reimbursement. To be eligible, the course(s) must be job-related and you must receive a passing grade (at least a “B” for graduate-level courses). Applications for tuition reimbursement must be submitted to your Human Resources Representative prior to enrolling in the course(s). Individuals must be employed with ResCare at the completion of the class to be eligible to receive the tuition reimbursement.

**Tuition reimbursement is available only if your department or operation has allocated money for this program in their budget.** Please contact your Human Resources Representative concerning your operation’s/department’s participation in this program.

### **A Final Word...**

This Employee Information Guide has presented a brief overview of some of the human resources policies and practices established to help you in your job. If you have questions that have not been answered in this Guide, be sure to ask your supervisor or Human Resources Representative.





## STATE FALSE CLAIMS ACTS

<b>Arkansas</b>	ARK. CODE ANN. § 20-77-901 et seq.
<b>California</b>	CAL Gov Code § 12650 (2013) Cal Gov Code § 12651 (2013)
<b>Colorado</b>	COLO. REV. STAT. §§ 25.5-4-304-306
<b>Connecticut</b>	Conn. Gen. Stat. § 17b-301b (2013)
<b>Delaware</b>	6 DEL. CODE § 1201 (2013)
<b>District of Columbia</b>	D.C. CODE ANN. § 2-381.02 -13 (2013)
<b>Florida</b>	FLA. STAT. ch. 68.081 – 68.092 (2013)
<b>Georgia</b>	O.C.G. § 49-4-7B (2103)
<b>Hawaii</b>	HRS § 661-21 – 661-31 (2013)
<b>Illinois</b>	740 ILL. COMP. STAT. 175/1 et seq.
<b>Indiana</b>	IND. CODE § 5-11-5.5-1 et seq.
<b>Iowa</b>	Iowa Code § 685.1 – 685.7
<b>Kansas</b>	K.S.A. 2009 Supp. 75-7501 through 75-7511
<b>Louisiana</b>	LA. REV. STAT. ANN. § 46:437 – 46:440 (2013)
<b>Maine</b>	MRS title. 22 § 15
<b>Maryland</b>	Md. HEALTH-GENERAL Code Ann. § 2-602 (2013)
<b>Massachusetts</b>	MASS ANN. LAWS ch. 12, §§ 5(A)-(O) ALM GL ch. 12, § 5B (2013)
<b>Michigan</b>	MCLS § 400.601 - 400.615 (2013)
<b>Minnesota</b>	Minn. Stat. § 15C.01 (2013)
<b>Montana</b>	MONT. CODE ANN. § 17-8-401 et seq.
<b>Nebraska</b>	R.R.S. Neb § 68-936 (2013)
<b>Nevada</b>	NEV. REV. STAT. ANN. § 357.010 - 250 (2013)
<b>New Hampshire</b>	N.H. REV. STAT. ANN. § 167.61-b ( = 167.61e (2013)
<b>New Jersey</b>	N.J. Stat. § 2A: 32C-3 – 32-18 (2013)
<b>New Mexico</b>	N.M. STAT. ANN. § 27-14-1 – 27-14-4 (2013)
<b>New York</b>	NY CLS St. Fin § 189 - 194 (2013)
<b>North Carolina</b>	N.C. GEN. STAT. § 1-605 – 1-618
<b>Ohio</b>	OHIO REV. CODE ANN. § 5111.03 et seq.
<b>Oklahoma</b>	63 Okl. St § 5053.1 – 5053.7(2013)
<b>Oregon</b>	ORS § 180.755(2012)
<b>Rhode Island</b>	R.I. Gen. Laws § 9-1.1-1 – 9-1.1-9 (2013)
<b>Tennessee</b>	TENN. CODE ANN. § 71-5- 181- 71-5-185
<b>Texas</b>	TEX. HUM. RES. CODE ANN. § 36.001 36.132
<b>Utah</b>	UTAH CODE ANN. § 26-20-1 (2013)
<b>Virginia</b>	VA. CODE ANN. § 8.01-216.1 et seq.
<b>Washington</b>	Rev. Code Wash. (ARCW) § 48.80.010 et seq.
<b>Wisconsin</b>	WIS. Stat. § 20.931
<b>Wyoming</b>	WYO. STAT. § 42-4-303 (2013)

**Note:** This list is believed to be up-to-date and complete, but as a result of the incentives contained in the Federal Deficit Reduction Act of 2005, additional states are considering legislation.

Updated 12/10/2013



## Employee Acknowledgement

I understand this Employee Information Guide has been prepared as a tool for ResCare's policies, benefits, and general information. The Company reserves the right to make changes in content or application of its policies as it deems appropriate, and these changes may be implemented even if they have not been communicated, reprinted, or substituted in this Employee Information Guide. I acknowledge receipt of the Employee Information Guide and understand that my continued employment constitutes acceptance of ResCare's policies and practices and any changes that may be made in content or application of the Employee Information Guide.

I understand that nothing in this Employee Information Guide or any other policy or communication creates an employment contract or changes the fact that employment is at-will for an indefinite period unless terminated at any time by the Company or me. I understand that no employee or representative of the Company, other than the Chairman, President/CEO, or the Board of Directors, has any authority to enter into an employment contract or to change the at-will employment relationship or to make any agreement contrary to the foregoing.

Please sign below and return to your supervisor or Human Resources Representative. This Employee Acknowledgement will be maintained in your personnel file.

_____	_____
Employee Signature	Date
_____	_____
Supervisor/Human Resources Representative Signature	Date

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