



**GRAY RESIDENTIAL SERVICES, LLC**  
**EMPLOYEE HANDBOOK**

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## I. INTRODUCTION

Gray Residential Services ("Gray Residential"), which was established in 2017, is a private provider of residential and other services to individuals with developmental disabilities.

Gray Residential mission is to support individuals in finding opportunities to live a fulfilling and meaningful life in the direction of their choice.

In order to accomplish this mission:

Gray Residential provides support to adults and children who are in need of individualized training in:

- Daily living skills
- Self-help skills
- Interacting in the community of their choice
- Increasing appropriate social behaviors including self-advocacy

### **Gray Residential assists with access to the following:**

Advocacy  
Counseling  
Education  
Employment  
Health care coordination  
Recreation  
Spiritual opportunities  
Meaningful day opportunities

### **Gray Residential provides families of individuals with developmental disabilities and the general public with:**

- Information and education to increase awareness of the needs of individuals with developmental disabilities
- Opportunities to help meet the needs of individuals with developmental disabilities
- Referrals to resources
- Short term respite care or emergency placement
- Training in techniques to enable the individual to reside in the community and home of their choice.

## II. CORE VALUES OF SERVICE DELIVERY

In addition to our mission and vision, certain values further dictate how we deliver our services.

## **Self Determination**

Gray Residential believes that all people have a rightful place in society. People with developmental disabilities are at risk of being devalued and should be helped to attain valued social roles and valued lives. Gray Residential is committed to assisting them in developing and maintaining relationships, opportunities, and living arrangements, which are fulfilling, meaningful, and of the individuals' choice. This includes the right of basic human dignity. People with developmental disabilities should be afforded the same dignity and respect as individuals without disabilities. Individuals will be encouraged to express individuality, to make choices, to select and maintain personal possessions, to be afforded privacy, and to be treated with respect.

## **Community Integration and Inclusion**

Gray Residential will support individuals to become valued members of the communities in which they live. This includes attending public school in the community, seeking employment at community businesses, shopping at local stores, using community recreation facilities, and receiving health care services in the offices of community physicians, dentists, and clinics.

## **Meaningful Day**

Gray Residential is committed to providing learning opportunities throughout an individual's day. These opportunities may occur on a formal basis as part of the daily schedule, or on an informal basis by taking advantage of every opportunity to address the individual's needs.

## **Person Centered Service Delivery**

Gray Residential will ensure that all services are provided based on how an individual's hopes and dreams determine an individual's chosen direction.

## **Protection from Harm**

Gray Residential is responsible for ensuring that the people we serve are safe from harmful environments, abuse, neglect, or exploitation. Gray Residential is committed to providing the safest possible living and working environment for staff and individuals we serve. It is our goal to increase safety and health consciousness and reduce injuries and property damage.

### **III. PURPOSE OF OUR PERSONNEL POLICY MANUAL**

This manual is designed to answer some of the questions you may have as an employee and provide information we believe you should know about some of the rules, regulations, and procedures related to your employment, including pay policies and benefit programs.

The various matters discussed in the Manual are of great importance but are not intended to be an exhaustive list of all Gray Residential rules, regulations, and policies. Gray Residential reserves the right to modify its policies, benefits, and regulations as it deems necessary. Every employee is required to comply with each of the rules, regulations, and policies

discussed in this manual, as well as any other rules, regulations, or policies adopted by Gray Residential. You should understand that the violation of any of Gray Residential rules, regulations, or procedures may result in discipline up to and including termination.

An individual's employment will continue only so long as the employee chooses to remain with Gray Residential and Gray Residential chooses to retain the employee. The Policies are not a contract of employment. Unless you have a written employment agreement executed by Gray Residential executive leadership, employment is at-will and may be terminated at any time by you or by Gray Residential.

All required Federal and State employment rights and notifications are located at the Gray Residential corporate office for all employees' access.

#### **IV. GENERAL INFORMATION**

##### **Categories of Employment**

As an employee, you will be classified into one of the categories listed below:

- A. Full-time employee: You are a full-time employee if you are regularly scheduled to work 30 hours per week or more.
- B. Part-time employee: You are a part-time employee if you are regularly scheduled to work less than 30 hours per week.
- C. PRN (as needed) employee: You are a PRN, as needed, employee if you are not in any regularly scheduled position. An employee in this status must work at least once every 30 days to maintain employment at Gray Residential.

In addition, you will be classified as either "exempt" (salaried) or "non-exempt" (typically hourly) for purposes of the Fair Labor Standards Act ("FLSA"). A non-exempt employee is entitled to receive overtime compensation in accordance with the FLSA. An exempt employee is an employee who works in either an executive, administrative, or professional capacity in a position which has been determined by legislature to be exempt from the FLSA's overtime provisions.

Human Resources will be happy to answer any questions you may have concerning exempt or non-exempt status or your employment classification.

##### **New Employee Orientation**

Employees are expected to attend and successfully complete a new employee orientation prior to beginning their regular job duties. If a conflict arises and the employee cannot attend part of the orientation class, prior approval for an absence must be received from the Director of Human Resources. Portions of the orientation class that are missed must be made up during the next regularly scheduled orientation prior to the employee beginning his or her regular job duties. Failure to attend a portion of the orientation class without prior approval will result in a voluntary resignation of your position with Gray Residential.

Employees are expected to follow the rules of new employee orientation. Failure to abide by the rules will result in termination of your employment with Gray Residential. Employees that do not finish orientation will receive a pay rate of \$7.25 per hour. The rules of new employee orientation are:

1. You are expected to remain alert at all times during the training class.
2. The use of cell phones to make calls or texts during orientation is prohibited. If you need to make or receive an emergency call, excuse yourself from the training class.
3. You must arrive to orientation on time every day. You will not be admitted to the orientation class if you arrive more than five (5) minutes late and Gray Residential will accept your voluntary resignation.
4. You are expected to demonstrate respectful behavior and use appropriate language during the training class.

### **Trial Period**

New full-time and part-time employees must complete a trial period. Salaried employees must complete a 180-day trial period and hourly employees must complete a trial period ranging from a minimum of 90 days to a maximum of 180 days, based on performance and training needs.

During your trial period you may decide that your new job is not what you thought it would be, or your supervisor may decide that he or she has misjudged your qualifications for that job. The trial period provides you a chance to demonstrate your ability, skill, and interest and to determine for yourself whether you feel satisfied in the position to which you have been assigned. Because all employees are employees' at-will, your employment may be terminated (by Gray Residential or by you) for any lawful reason or no reason at all, at any time before or after completion of your trial period.

Full-time and part-time employees are eligible for benefits during the trial period only to the extent indicated in the Benefits and Services section of this Manual.

### **Pre-Employment Checks and Training Materials and Supplies**

Costs for initial background checks, CPR/first aid cards, TB testing supplies, the CPI booklet, and Gray Residential ID will be deducted from the employee's first paycheck. The total cost for the pre-employment checks and training materials is \$90.00.

Employees can request copies of pre-employment checks and training documentation from the Gray Residential Human Resources Director.



## **Recording Your Time**

All non-exempt employees are required to record their time. If you are a non-exempt employee, your supervisor will show you the procedure to be used for recording the hours you work each day. Under no circumstances should you record time for any other employee or misrepresent the number of hours you have worked. Violation of this policy may result in discipline up to and including termination of employment.

## **Hours of Work**

Your daily hours of work, including times for breaks and a lunch period, will be discussed with your supervisor and communicated to you. The regular workweek for full-time employees will consist of 40 hours. Direct Support Professional schedules generally operate on three (3) shifts. Gray Residential will set and may change scheduled working hours based on consumers' needs.

## **Overtime**

Non-exempt employees are eligible for overtime pay. Overtime is defined as any hours worked in excess of 40 hours in any given work week. Vacation days and paid holidays not worked are not considered hours worked for the purposes of determining overtime pay. Gray Residential uses the regular workweek of Sunday through Saturday as its week for calculating hours worked. Non-exempt hourly employees will receive overtime pay at the rate of one and one-half times their regular hourly rate of pay for all hours worked in excess of 40 in that workweek.

All overtime work must be approved in advance by your immediate supervisor. You must record all overtime hours (whether or not approved) on your time report. Employees who work overtime without prior supervisor approval will be subject to discipline, up to and including termination of employment.

## **Payday/Paychecks**

Employees are paid on a bi-weekly basis. When a payday falls on a holiday, checks will be distributed the first preceding weekday. If you are not on duty on a payday, you may pick up your check at the main office. Payroll checks will not be given to relatives or friends without a written request from you and proper identification from the recipient. You may sign up for direct deposit of your paycheck. Gray Residential makes certain deductions from your pay as required by law, such as Social Security taxes, federal income withholding taxes, and state and local income taxes.

Hourly employees are expected to record their time using an electronic device. It is the employee's responsibility to complete a Punch Correction Form for any missed or incorrect time punches. Punch Correction Forms are due to the Indianapolis Gray Residential office by 12:00 PM on payroll Mondays in order to ensure that correction and/or missed punches are included on the employee's next paycheck. If Punch Correction Forms are received after

12:00 PM on payroll Mondays, corrections and/or missed punches will not be processed until the following payday.

Paper timesheets and mileage forms are due to the Gray Residential office by 12:00 PM on payroll Mondays in order to ensure inclusion on the employee's next paycheck. If paper timesheets and mileage forms are received after 12:00 PM on payroll Mondays, the employee's time and/or mileage will not be processed until the following payday.

Mileage must be submitted every two (2) weeks. Late mileage will not be accepted.

If payroll Monday falls on a holiday, Punch Correction Forms, paper timesheets and mileage will be due in the Indianapolis Gray Residential office by 12:00 PM on following Tuesday.

Gray Residential does not grant pay advances to employees for any reason.

### **Attendance**

Every employee plays a part in keeping Gray Residential running smoothly. Therefore, regular attendance is important. Of course, there are times when getting to work may be quite impossible. Gray Residential recognizes that you may not be able to secure prior approval for leave days when you are ill or when an emergency arises. In this case, you must notify your immediate supervisor or designee of your impending absence by calling at least four (4) hours prior to your scheduled work time. If you find it necessary to leave during working hours, you must receive approval from your supervisor before you leave work. You are required to notify your supervisor of any type of absence from your normal work schedule.

Gray Residential attendance program is not intended to cover situations where an employee has, over a substantial period of time, demonstrated an inability to be a dependable employee. Likewise, the program is not intended to cover tardiness, which is enforced under a separate policy described later in this Manual.

Under Gray Residential attendance policy, you will be permitted five occurrences of unscheduled absence, for any reason, in a rolling 12-month period. An occurrence of absence is any unscheduled absence of more than thirty (30) minutes from one work day, which is not otherwise covered under the Family and Medical Leave policy. If the absence is due to verifiable personal illness, consecutive days of absence will be treated as a single occurrence. However, each day of absence for non-medically related reasons will be counted as a separate occurrence of absence.

Absenteeism is considered unsatisfactory if you are absent more than five unscheduled occurrences of unscheduled in a rolling 12-month period. Every additional occurrence of absenteeism is considered excessive. Each employee, however, is eligible for one emergency absence within any rolling 12-month period, which will not count toward excessive

absenteeism. It is your responsibility to report to your supervisor when an emergency absence is requested.

The sixth (6<sup>th</sup>) incident of absence in any rolling 12-month period will be deemed excessive and result in a verbal warning. The seventh (7<sup>th</sup>) incident of absence will result in a first written warning; the eighth (8<sup>th</sup>) incident of absence will result in a second and final warning. If you accumulate nine (9) incidents of absence within a rolling 12-month period, you will be subject to termination.

When not scheduled to work, employees should not be at the worksite except for appropriate work-related or other authorized activities.

### **Tardiness**

Every employee is expected to report to work on time and continue to work to the end of the shift in order to provide continuous staffing of our consumers and programs.

Non-exempt/hourly employees are required to use the Gray Residential time reporting system.

The sixth (6<sup>th</sup>) incident of tardiness in any rolling 12-month period will be deemed excessive and result in a verbal warning. The seventh (7<sup>th</sup>) incident of tardiness will result in a first written warning; the eighth (8<sup>th</sup>) incident of tardiness will result in a second and final written warning. If you accumulate nine (9) incidents of tardiness in a rolling 12-month period, you will be subject to termination. For the purposes of disciplinary action, only tardies of seven (7) minutes or more will be considered. Each employee is eligible for one emergency tardy within any rolling 12-month period, which will not count toward excessive tardiness. It is your responsibility to report to your supervisor when an emergency tardy is requested.

### **Performance Evaluations/Wage Administration**

You are an important member of the Gray Residential team, and your individual performance largely determines your progress. Personal performance appraisals provide an opportunity to talk with your supervisor about your achievements, your challenges, and your goals at Gray Residential. Gray Residential conducts performance reviews on at least an annual basis. Please remind your supervisor if you do not receive an annual review.

If you move into an entirely new position (i.e. different job description), your performance evaluation period will be extended beginning from the time you start your new position.

### **Job Posting**

Job openings will be posted at the Gray Residential corporate office and on the Gray Residential website, but Gray Residential Executive Management reserves the right to select certain key positions without posting, based on the current need and continued success of the organization. Current staff who meet the qualifications of a posted position are encouraged to apply and will be considered along with outside candidates for the position.

To be considered for a posted vacancy, you must submit a request for consideration in writing as specified on the notice.

You must complete your trial period before you will be eligible to apply for a transfer through the job-posting program, unless Executive Management waives the requirement.

### **Employment Records**

It is important to keep your employment records up-to-date. Be sure to notify Human Resources of any changes in any of the following:

1. Your name
2. Your home address
3. Your home telephone number
4. Your marital status
5. The telephone number to call in case of emergency
6. The number of your dependents
7. Your Social Security number
8. Additional training, courses, or experience
9. Vehicular insurance
10. Any legal issues (ex: suspended driver's license, arrest or conviction)

### **Telephones**

Due to the nature of our business and the fact that we must be available to consumers, guardians, agencies, and others via the telephone, personal telephone calls must be kept at a minimum (5 minutes max). This policy also applies to the use of personal cell phones. You must remember that the phone in our consumer's residence is their phone and not the property of Gray Residential Services, LLC.

### **Inter-Agency Communication**

Gray Residential has established an on-call procedure to ensure that important information is communicated to supervisory staff in an appropriate and timely manner. The following are circumstances when it is appropriate to contact an on-call supervisor:

- The individual has an accident or incident that requires immediate medical treatment. CALL 911 FIRST.
- Death of an individual.
- There is an environmental emergency such as a fire, tornado, broken window, flooding, no running water, no heat or air conditioning, etc.
- There has been a medication error of any nature that needs to be reported.
- There has been a medication refusal that needs to be reported.
- Permission is needed to administer a PRN medication.
- There has been an extreme behavior concern, which may have resulted in injury to the individual or staff.
- The individual has been physically restrained.

- The individual has eloped.
- Any report of abuse, neglect, exploitation or mistreatment of an individual.
- A significant change in an individual's health or mental status.
- Any other reportable incident or health and welfare concern.
- The individual is attending a community activity not listed on the calendar (call the supervisor prior to leaving the home).
- Employee injuries or accidents.
- Employee call-offs or tardies.

In these types of situations, employees are expected to follow the on-call supervisor procedures until a live person is reached. The first person on the list should be contacted. If the person does not answer the phone right away, a voice mail should be left. Wait fifteen (15) minutes. If no return call is received, continue on to the next person and repeat the process until a person is reached.

In the situations above, text messaging is not an appropriate mode of communication. You are expected to contact the on-call supervisor by phone call. If text messages are utilized to communicate in other situations, please remember that they function as written documentation of a conversation. Text messages are expected to be written professionally and contain appropriate language. Text messages can be printed and placed into an employee's personnel file or an individual's service record if deemed appropriate by supervisory staff.

### **Safety/First Aid**

You must report any and all accidents to your supervisor as soon as possible after they occur, within no more than 24 hours. This policy is for everyone's benefit and enables your supervisor and Gray Residential to correct unsafe conditions immediately. If your immediate supervisor is unavailable, please report the accident to another manager in your chain of command.

### **Personal Appearance**

Your image is important to Gray Residential reputation. Therefore, we ask you to report to work dressed neatly and appropriately, and to use good personal hygiene. Any specific dress requirements will be explained at your time of hire.

The following apparel is not approved work attire:

1. Oversized clothing of any kind
  - T-shirts or sweatshirts with inappropriate and or offensive logos, sayings, or pictures
  - Examples: T-shirts or sweatshirts that depict nudity, cursing, violence, blood, drugs of any kind, alcohol, etc. This includes cartoons.
2. Revealing clothing

Examples: Tops that reveal cleavage- tank tops that reveal the chest and/or sides of the person (male or female)- shorts or skirts that are too small/short

3. Shoes that hinder ability to react quickly in an emergency

Examples: flip flops, crocks, heels, etc

4. Clothing that is ripped, torn or heavily stained

5. Sunglasses while indoors

Occasionally, personal apparel, including jewelry, may be damaged while interacting with a resident. To prevent personal injury and damage, we recommend that items such as necklaces, bracelets, and dangling earrings not be worn during scheduled working hours. We also recommend that you wear clothing which is easily cleaned or replaced and that you not wear any jewelry with sentimental or large monetary value.

### **Personal Property Reimbursement**

Occasionally, a consumer's actions may result in damage to a staff member's clothing or other personal property worn by the staff member. If a consumer's actions damage personal property worn on your person, you may submit a request for reimbursement to Executive Management. Requests will be considered and evaluated on a case-by-case basis, giving preference to incidents where the employee had little or no control to avoid the damage. If such damage occurs while you are interacting with an aggressive consumer, reimbursement will not be available unless you were using approved and proper intervention techniques when the damage occurred. The intent of this policy is to offset your reasonable cost of repairing or replacing the damaged item, not necessarily to cover the item's full replacement cost. Gray Residential will establish flat, prescribed reimbursement amounts for items such as shirts or slacks, and reimbursement will be limited to that amount, regardless of the actual initial cost of the damaged item. Reimbursement under this policy is not available for personal property not worn on your person or for non-essential items such as jewelry.

Damages sustained to an employee's personal vehicle as the result of consumer actions will be evaluated on a case-by-case basis for reimbursement. You may submit a request for reimbursement to Executive Management. You will be asked to submit all claims to your insurance provider when appropriate. Requests will be considered and evaluated individually, giving preference to incidents where the employee had little or no control to avoid the damage.

In certain instances you may be required to take specific steps to reduce the potential for property damage in order to be eligible for personal property reimbursement. Requests for reimbursement may be declined if it is determined that the employee's actions contributed to the likelihood and/or severity of the damage.

## **Employment of Relatives**

If a family member of a consumer is hired to work with that consumer, the family member is an employee of Gray Residential and is expected to abide by all Gray Residential policies and procedures as well as state and federal guidelines.

## **Employee Driving Records**

It is imperative that employees maintain their own automobile insurance. It is the responsibility of each employee to maintain an adequate driving record with the Bureau of Motor Vehicles (BMV). If you do have a traffic violation that affects your driving record you are required to report it to Gray Residential immediately. Gray Residential wants to ensure that the transport of all consumers is safe. Infractions may result in disciplinary action, which may include discharge from employment.

## **Driver Safety**

Direct Support Professionals are required to transport consumers during their shift, therefore must have a working vehicle for all shifts. Exceptions must be approved by management prior to the beginning of the shift. Gray Residential will provide employees with an emergency kit and a Vehicle Safety Information sheet that must remain in the employee's vehicle when transporting consumers. Employees are expected to abide by the driving procedures outlined within the Vehicle Safety Information, including the following:

When driving is required as part of Gray Residential work time employees must:

1. Obey all Indiana traffic laws.
2. All passengers must be wearing seatbelts while the vehicle is in operation.
3. Talking on a cell phone or texting while driving is prohibited.
4. Smoking in your vehicle while transporting consumers is prohibited.
5. Keep insurance up to date and notify HR of any changes.
6. Keep registration current.
7. Keep your driver's license current.
8. Notify your Program Manager immediately of any changes to your vehicle, driver's license, or accidents/tickets.
9. Complete the Employee Vehicle Self-Check quarterly and turn in to your supervisor.

## **Mileage and Travel Guidelines**

Gray Residential will reimburse employees for mileage at the rate of \$0.35 per mile when the following conditions are met:

- Mileage can be claimed when an employee is using a vehicle to conduct Gray Residential business while on Gray Residential time.
- All mileage must be recorded using the Mileage Form & Transportation Log. The Mileage Form & Transportation Log must be completed accurately and thoroughly including all requested information. You are responsible for recording the required

information, including the legal names of consumers transported and their RID numbers.

- Employees using a Gray Residential-owned vehicle must document all mileage on the Mileage Form & Transportation Log.
- Trips over 10 miles require prior-approval from the Program Director.
- Mileage will not be reimbursed in the following situations:
  - Mileage incurred prior to the start of an employee's shift
  - Mileage incurred after the end of an employee's shift
  - Trips over 10 miles that were not authorized by the Program Director
  - Mileage incurred that is not related to consumer transportation needs or required Gray Residential business functions

All business-related travel must be approved by an employee's direct supervisor. Hotel and/or transportation arrangements must be requested through Rena Skiles, Office Coordinator. Any hotel expense greater than \$70.00 per night will require executive approval.

Gray Residential will reimburse a traveler for allowable meal and incidental expenses incurred during business-related travel. Incidental expenses include fees and tips for persons providing services, such as food servers, hotel housekeeping and luggage handlers. Incidental expenses do not include ground transportation, telephone calls or laundry. The maximum allowable per-day expense for meals and incidentals is \$25.00. In order to claim reimbursement, the employee must provide receipts for expenses incurred and attach them to the Mileage Form & Transportation Log. The total amount requested for reimbursement should be recorded on the "other expenses" line.

## **V. BENEFITS AND SERVICES**

### **Holidays**

Gray Residential recognizes the following holidays:

New Year's Day	Christmas Day
Independence Day	Thanksgiving Day
Memorial Day	Labor Day

Hourly employees only are eligible for holiday pay. Hourly employees who are required to work on the actual recognized holiday will be paid at a rate of time and a half. However, only hours actually worked that day are included in determining overtime pay for that week.

Part-time employees will be compensated for holidays falling on their regularly scheduled workday and only for their regularly scheduled hours. For instance, you normally are scheduled for work only five (5) hours on any given workday; you will be compensated for five (5) hours of the holiday.



Salaried employees are not eligible for holiday pay.

### **Sick Time**

The Sick Time benefit is available to full-time hourly employees only. Sick Time may be used for absences due to illness or injury and must be accompanied by written documentation from a health care provider. Eight (8) Sick Time hours will be accrued every quarter beginning on your date of employment.

Sick Time may be used after an employee has successfully completed their trial period.

Sick Time hours which are unused on your anniversary date of employment will not be carried over to the next year.

Unscheduled absences of three (3) or more consecutive work days due to health-related reasons must be accompanied by a health provider statement that indicates you are released to return to work on the date you return.

### **Personal Leave Time**

The Personal Leave Time benefit is available to full-time salaried employees only. Personal leave time may be used for either vacation, absence due to illness or injury, or approved time off for personal reasons. Employees eligible for Family and Medical Leave who request a leave under that policy will be required to substitute personal leave time when it is available.

Full-time salaried employees, beginning the first year, will accrue personal time at the following rates:

- The Weekend Program Director, House Managers, Service Coordinators and DSP-Floaters will accrue 9 personal/sick leave days per year (2.77 hours for each pay period)
- All additional salaried employees will accrue 15 personal/sick leave days per year (4.62 hours for each pay period)

Personal leave time which is unused on your anniversary date of employment will not be carried over to the next year. Unused time cannot be cashed out.

Personal time may be used after an employee has successfully completed their trial period.

If you wish to use personal leave for reasons other than Family and Medical Leave or time off for illness you must complete a Leave Request and submit it to your immediate supervisor before taking the time off. The request for scheduled personal leave time must include a listing of days requested and approval by department supervisors. Your request must be submitted at least one (1) day in advance for each day off requested. For a leave request of only one (1) day you must submit your request at least 16 hours in advance. If you request less than one day (for example, you request two hours), you must either submit your request

16 hours in advance or you must submit the request after reporting to work and at least one (1) hour in advance for each hour requested. It is your responsibility to ensure that your leave request receives prior approval. Supervisors may approve or deny leave requests based on the needs of the consumers.

Service Coordinators and DSP-Floaters who do not meet their minimum requirement of one hundred sixty (160) billable hours in a four-week time period will be required to use personal leave time for the difference.

Any leave requests for more than five (5) consecutive work days must be approved by the CEO.

Personal Leave Time will not be paid out if you voluntarily resign from Gray Residential.

Unscheduled absences of three (3) or more consecutive work days due to health-related reasons must be accompanied by a health provider statement that indicates you are released to return to work on the date you return. Your supervisor may also request a health provider statement for unscheduled, health-related absences of less than three (3) days.

### **Family and Medical Leave**

Gray Residential Services, LLC provides leaves of absence to eligible employees for certain family and medical reasons. This policy is intended to comply with a federal law known as the Family and Medical Leave Act of 1993 ("FMLA").

#### Eligibility

An "eligible" employee may request Family Medical Leave (FML). To be "eligible", an employee must have worked for Gray Residential, as of the date the requested leave is to begin, for at least 12 months and for at least 1250 hours during the previous 12 months at a location where at least 50 employees are employed by the employer within 75 miles.

An Employee may request FMLA leave for the following reasons:

1. Parenting Leave. This type of leave can be taken by an employee to care for a new son or daughter, including by birth or by adoption or foster care placement
2. Family Medical Leave. This type of leave can be taken by an employee to care for the "serious health condition" of the employee's spouse, child, or parent; or
3. Employee Medical Leave. This type of leave can be taken by the employee for his or her own "serious health condition" if the condition renders the employee unable to perform his or her job functions.

The FMLA and its interpretive regulations define terms and establish rules for each of these types of leave. For example, an employee may only take Parenting Leave during the 12-month period that begins on the date of the birth, adoption or placement. In addition, for purposes of Family Medical Leave, a "parent" means an employee's biological parent or an individual who stood in the place of the employee's parent when the employee was a child. The term "parent" does not include parents-in-law. "Son or Daughter" means a biological, adopted or foster child, a stepchild or legal ward of an employee, or a child for whom the employee stands in the place of his or her parent, who is either under age 18 or is over age 18 and incapable of self-care because of a mental or physical disability.

Duration of Leave

An eligible employee is entitled to a total of 12 cumulative workweeks of leave (based on the employee's normal hours per week) during a 12-month period. A 12-month period for purposes of FML is a calendar year: January 1 through December 31.

A special rule applies where a husband and wife are both eligible employees of the Employer. In that situation, the husband and wife will be permitted to take only a combined total of 12 weeks of FML during a 12-month period if the leave taken is a Parenting Leave.

Substitution of Paid Leave

FML is unpaid. If, however, an employee has accrued paid leave of other types from the Employer, and if the employee's leave request meets the requirements of that paid leave program, the employee will receive paid leave benefits at the same time as he or she is receiving FML benefits. Similarly, if an employee properly requests leave available under a paid leave program for a purpose that is also covered by FML, the employee will receive FML benefits at the same time as paid leave benefits. The Employer will "substitute" that paid leave for FMLA leave by counting the paid leave toward FMLA leave entitlement, in accordance with the following chart:

	<b><u>Substitution for:</u></b>		
Types of Paid Leave:	<u>Parenting</u>	<u>Family Medical</u>	<u>Employee Medical</u>
	<u>Leave</u>	<u>Leave</u>	<u>Leave</u>
(1) Personal leave Time	Yes	Yes	Yes

In addition, any worker's compensation absence will also run concurrently with and be counted as FML to the extent the illness, injury or condition would otherwise qualify the individual for FML.

An employee will be notified about the substitution of paid leave as soon as practicable after he or she requests FML. An employee who requests FML will be contacted by the Human Resources department via US Mail within five (5) business days. The Human Resources department will request the documentation necessary to approve the FML, i.e., physician's

statement indicating condition, need for FML, estimated time away from work, etc. FML cannot be used for common and usual short term illnesses, such as the flu or sinus infections unless the condition results in hospitalization for 24 hours or longer.

#### Intermittent or Reduced Schedule Leave

An employee, under certain circumstances, may take intermittent or reduced schedule leave in increments of no less than one-quarter of an hour. "Intermittent leave" generally means leave taken on an occasional basis for such reasons as medical treatments. "Reduced schedule leave" means a temporary, but regular, change in the employee's usual number of hours per day or hours per week. If an employee takes a Parenting Leave, the employee is not entitled to take leave intermittently or on a reduced schedule.

For Family Medical or Employee Medical Leave, the employee may take an intermittent or reduced schedule leave if it is medically necessary. An employee must provide certification (from a medical professional) that a medical need for leave exists and that the medical need can best be accommodated through an intermittent or reduced schedule leave. The intermittent or reduced schedule leave must then be approved by Gray Residential. Employees needing intermittent FML or leave on a reduced schedule must attempt to schedule their leave so as not to disrupt business operations whenever possible. If an employee requests intermittent or reduced schedule leave, Gray Residential may require the employee to transfer temporarily to an available alternative position, with equivalent pay and benefits, for which the employee is qualified and which better accommodates intermittent or reduced schedule leave.

#### Notification Requirements

An employee must notify the Gray Residential Human Resources Department of his or her desire to take FML at least 30 days before the date leave is to begin by requesting and completing a Request for Leave Form, except in cases of medical emergency or unexpected changed circumstances, in which case the employee must give notice as soon as practicable after the employee is aware that he or she needs to take FML). Request for Leave Forms can be obtained from the Human Resources Department. At the time an employee obtains a Request for Leave Form, the Employer will provide the employee with a Leave Notice explaining certain rights and responsibilities of the employee regarding FML. If an employee requests Family Medical or Employee Medical Leave, the employee must submit a Medical certification from the employee's or family member's health care provider within 15 days after Gray Residential delivers the Leave Notice and the Request for Leave Form. In the case of a request for intermittent or reduced schedule leave, the certification must also notify Gray Residential of the reasons for the intermittent or reduced schedule leave and of the schedule for treatment, and the estimated number of weekly or monthly absences the treatment or condition may cause the employee to be absent from work. The medical certification may indicate the number of hours and/or days that are anticipated for time away from work in a week or a month.

If an employee fails to give 30 days' notice for a foreseeable leave with no reasonable excuse for the delay, Gray Residential may deny FML until at least 30 days after the date the employee provides notice of the need for FML. After an employee submits a medical certification, Gray Residential may require an employee to obtain a second opinion from a provider of our choice, at our expense. In some cases, Gray Residential may require a third opinion from a provider selected jointly by the employee and Gray Residential.

During an approved FML, an employee will be required to report periodically on his/her status and intent to return to work. Employees on a Family Medical or Employee Medical Leave may also be required to submit medical re-certifications every 30 days during the leave period subject to the same rules as the initial medical certification. Medical re-certifications may also be required under certain specific circumstances, for example, when an employee requests an extension for a leave, when circumstances under an initial certification have significantly changed, or when an employee is unable to return to work after FML. Upon the conclusion of an Employee Medical Leave, the employee must present certification to Gray Residential from his or her health care provider that he or she is able to return to work. Unless and until an employee provides this fitness-for-duty certification, the employee will not be allowed to return to work.

If you are being paid personal time during your leave, you will continue to accrue additional personal leave time and holiday personal leave time (if on leave during Gray Residential observed holidays). However, these accruals will stop when you are no longer being paid personal time during your leave.

#### Right to Job Restoration

Upon return from FML, employees will generally be restored to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment. Certain salaried, key employees of Gray Residential may be denied restoration if their reinstatement would cause substantial and grievous economic injury to Gray Residential. If, during FML, a layoff or other event occurs that would have changed, or even eliminated, the employee's job had he or she not taken leave, the returning employee will have no greater rights than if the employee had been continuously employed during FML. Gray Residential Executive staff will determine whether an employee will be restored to the same position or to an equivalent position.

#### **Military Family Leave Provisions**

The National Defense Authorization Act ("NDAA"), Public Law 110-181, in 2008 amended the FMLA to provide two types of military family leave for FML-eligible employees, *qualifying exigency leave* and *military caregiver leave*. To qualify for either of these leaves, employees and employers still must first meet the same requirements as for the standard Family Medical Leave which is being an employee of the company for at least twelve months and worked a minimum of 1250 hours in the previous twelve month period; at a location where at least 50 employees are employed by the employer within 75 miles.

Military Family Leave is not paid, but use of accrued leave for military family leave will be allowed the same as with Family Medical Leave.

“Qualifying Exigency Leave” may be taken for any qualifying exigency arising out of the fact that a covered military member is on active duty or call to active duty status. Eligible employees who are family members of a covered military member are the employee’s spouse, son, daughter, or parent who is on active duty or call to active duty status. Active Duty or call to active duty status refers to a member of the National Guard or Reserves who is under a call or order to active duty (or has been notified of an impending call or order to active duty) in support of a contingency operation. Note: The statute passed by Congress providing these new military family leave entitlements only extended the right to take FML because of qualifying exigency to family members of National Guard and Reserves, and certain retired military.

For qualifying exigency leave, an eligible employee may take leave for their son or daughter of any age, defined as biological, adopted, or foster child, stepchild, legal ward or child for whom the employee stood in loco parentis. For purposes of the qualifying exigency leave, ‘parent’ means a biological, adoptive, step or foster father or mother, or any other individual who stood in loco parentis to the employee when the employee was a son or daughter. The term does not include parents-in-law.

Active Duty Orders will generally specify whether he or she is serving in support of a contingency operation. Gray Residential may confirm whether a particular service member is serving in support of a contingency operation by contacting the appropriate military branch.

Qualifying Exigencies include:

- Short notice deployment; i.e., deployment with seven or less days of notice.
- Military events and related activities such as official ceremonies, programs, or events sponsored by the military or family support or assistance programs, and informational briefings sponsored or promoted by the military, military service organizations or the American Red Cross;
- Certain childcare and related activities arising from the active duty or call to active duty status of a covered military member, such as arranging for alternative childcare, providing childcare on a non-routine, urgent, immediate need basis, enrolling or transferring a child in a new school or day care facility, and attending certain meetings at school or a day care facility if they are necessary due to circumstances arising from the active duty or call to active duty of the covered military member;
- Making or updating financial and legal arrangements to address a covered military member’s absence;
- Attending counseling provided by someone other than a health care provider for oneself, the covered military member, or the child of the covered military member,

the need for which arises from the active duty or call to active duty status of the covered military member;

- Taking up to five days of leave to spend time with a covered military member who is on short-term temporary, rest and recuperation leave during deployment;
- Attending to certain post-deployment activities, including attending arrival ceremonies, reintegration briefings and events, and other official ceremonies or programs sponsored by the military for a period of 90 days following the termination of the covered military member's active duty status, and addressing issues arising from the death of a covered military member; and
- Any other event that the employee and employer agree is a qualifying exigency. Employers and employees must agree to both the timing and duration of any such qualifying exigency leave and the leave may be counted against the employee's 12 weeks FML entitlement.

The same timing requirements for certification apply to all requests for FML, including those for military family leave. An employee must provide the requested certification to the employer within the time frame requested by Gray Residential, which is at 15 calendar days after the employee's request unless it is not practicable to do so despite the employee's diligent, good faith efforts.

Recertification of military exigency will not be required. A qualifying employee may take up to 12 workweeks of FML for qualifying exigencies during the 12 month period established by Gray Residential for FML. Qualifying exigency leave may also be taken on an intermittent or reduced leave schedule basis.

Employees are entitled to take up to 12 workweeks of FML per year, in total, whether it be combined for health reasons and qualifying exigency, or whether for only medical or only exigency.

Employees may use qualifying exigency leave for certain post-deployment exigencies, including reintegration activities, for a period of 90 days following the termination of the covered military member's active duty status, if they otherwise qualify for FML.

### **Military Caregiver Leave**

Military caregiver leave may be taken by an eligible employee for a covered service member with a serious injury or illness. This type of FML is based on a recommendation of the President's Commission on Care for America's Returning Wounded Warriors. An eligible employee who is the spouse, son, daughter, parent or next of kin of a covered service member with a serious injury or illness may take job-protected FML to provide care to the service member. Military caregiver leave extends to those seriously injured or ill members of both the Regular Armed Forces and the National Guard or Reserves.

A covered service member is a current member of the Armed Forces, including 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 incurred in the line of duty on active duty. For Military Caregiver Leave, the same definition of covered family member applies as with all other FML.

A serious injury or illness is an injury or illness incurred by a covered service member in the line of duty on active duty that may render the service member medically unfit to perform the duties of the member's office, grade, rank or rating.

An eligible employee is entitled to take up to a combined total of 26 workweeks of leave during a 'single 12-month period' to care for a seriously injured or ill covered service member. The 'single 12-month period' begins on the first day the eligible employee takes military caregiver leave and ends 12 months after that date, regardless of the method used by the employer to determine the employee's leave entitlement for other FML qualifying reasons. As an example, an employee may take 12 weeks of Family Medical Leave to care for a newborn child *and* 14 weeks of military caregiver leave in a twelve month period, but could not take more than 12 weeks of FML to care for a newborn. Unused time of military caregiver leave cannot be carried over from one 12-month period to another.

For purposes of military caregiver leave, 'next of kin' is defined as the servicemember's nearest blood relative, other than the covered servicemember's spouse, parent, son, daughter in the following order of priority: Blood relatives who have been granted legal custody of the servicemember by court decree or statutory provisions, brothers and sisters, grandparents, aunts and uncles, and first cousins unless the covered servicemember has specifically designated in writing another blood relative as his/her nearest blood relative for purposes of military caregiver leave under FML, in which case the designated individual shall be deemed to be the covered servicemember's next of kin. In the absence of a designation, where a covered servicemember has three siblings (for example) all three siblings will be considered to be the covered servicemember's next of kin.

Military caregiver leave will not be allowed for a servicemember who is no longer serving in the military. Military caregiver leave does cover seriously ill or injured servicemembers on the temporary disability retired list; servicemembers on the permanent disability retired list are not covered.

Gray Residential employees who have met all other requirements for FML may be granted military caregiver leave for more than one seriously injured or ill service member, or more than once for the same service member if he or she has a subsequent serious illness or injury, but will only be entitled to a maximum of 26 workweeks of leave in a single 12-month period. Gray Residential employees may not take more than 26 workweeks of leave during each 'single 12-month period', even if they wish to care for more than one seriously injured or ill service member.

As with Family Medical Leave, an employee must provide 30 days advance notice of the need to take military caregiver leave whenever possible. When the need for leave is unforeseeable, employees must comply with Gray Residential FML processes for approval,



call-in, etc. An employee does not need to specifically assert his or her rights under the FMLA but must provide sufficient information to make Gray Residential leadership aware of the need for FML and the anticipated timing and duration of the leave.

When leave is taken to care for a covered service member with a serious injury or illness, Gray Residential will require an employee to obtain a certification completed by an authorized health care provider of the covered service member.

The same timing requirements (timing, authentication, clarification, second and third opinions, recertification) apply to all requests for FML, including those for military family leave, unless it is not practicable under the particular circumstances to do so despite the employee's diligent, good faith efforts.

Gray Residential may also authenticate and clarify medical certifications submitted to support a request for military caregiver leave using the procedures applicable to FML taken to care for a family member with a serious health condition. Specific details may be obtained in 29 CFR 827.310(a).

If a servicemember's family receives an "invitational travel order" (ITO) or "invitational travel authorization" (ITA), indicating the immediate need for the family member at the servicemember's bedside, Gray Residential will accept the submission of an ITO or ITA in lieu of a medical certification form, as sufficient certification of a request for military caregiver leave during the time period specified in the ITO or ITA. IF the covered servicemember's need for care extends beyond the expiration date specified in the ITO or ITA, Gray Residential will require certification for the remainder of the employee's leave period.

For military caregiver leave that also qualifies as leave taken to care for a family member with a serious health condition, Gray Residential will designate the leave as military caregiver leave first to help alleviate some of the administrative issues caused by the running of the separate 'single 12-month period' for military caregiver leave.

Gray Residential will not count leave that qualifies as both military caregiver leave and leave to care for a family member with a serious health condition against both (employee) entitlements to 26 workweeks of military caregiver leave and 12 workweeks of leave for other FML qualifying reasons.

### **Personal Leave of Absence**

Gray Residential may grant an unpaid personal leave of absence upon an employee's written request to Gray Residential executive leadership after the employee has used all earned paid time off. A request for a personal leave of absence must clearly state the reason for the leave and the amount of time requested. Requests will be granted only for urgent and exceptional circumstances. No approved personal leave of absence will exceed four (4) weeks in a rolling 12-month period. Further, personal leave cannot be used to extend a Family and Medical Leave of Absence.

## **Funeral Leave**

Employees will be granted up to three (3) consecutive unpaid days off as may be necessary to attend funerals of members of their immediate family. The term "immediate family" refers to your spouse, partner, children, parents, parents-in-law, siblings, grandparents, grandchild, or any other relative by law or blood permanently residing with you. Additional time off may be granted at the discretion of the President, Vice President or Director of Human Resources. Up to three (3) consecutive days off without pay for funerals of other persons may be granted at the discretion of the President, Vice President or Director of Human Resources.

## **Jury Duty**

If you are selected for and required to participate in jury duty, you will be granted time off and will be paid your regular pay during the time you are serving on a jury or jury panel, up to a maximum of two (2) weeks. To qualify for this benefit, you must remit all compensation received by the courts to Gray Residential and provide proof of service. This policy applies whether or not you have completed your trial period.

## **Military Leave**

Military leaves will be granted in compliance with applicable state and federal laws. Please notify your supervisor as soon as you learn of your leave requirement and bring in supporting documentation of your military orders. This policy applies whether or not you have completed your trial period.

## **Conventions, Workshops and Conferences**

Gray Residential supports professional growth by encouraging employees to attend work-related conventions, workshops, and seminars. Staff members desiring to participate in such activities should submit a written request through their supervisor to Executive Management, who must provide final approval for attendance.

Part-time staff is not eligible for out-of-town educational functions except as determined at the discretion of the President or Vice President.

In-service development programs are conducted periodically. All staff members of Gray Residential are encouraged to further their skills through attending these sessions.

In addition to in-service programs offered, staff will be encouraged and provided with opportunities to participate in conferences and education programs appropriate to their positions. Reimbursement for other expenses connected with the conference will be subject to the availability of funds and must be within established reimbursement limits.

Whenever possible Gray Residential will adjust your work schedule so that your total weekly hours including training time will not exceed forty (40). You are encouraged to contact your

supervisor or the appropriate administrator regarding skills that you would like to update or training that you would wish to have offered.

### **Workers' Compensation Insurance**

Workers' Compensation Insurance provides financial protection in case you are injured or become ill as a result of your employment. This coverage complies with the workers' compensation laws of Indiana, and Gray Residential pays the entire cost of this protection for all employees (including employees on trial period.)

### **Employee Meals**

All employees are responsible for providing their own meals while working. It is prohibited to eat the consumer's groceries.

## **VI. RULES OF CONDUCT**

### **Code of Business Conduct and Ethics:**

Any Gray Residential representative who fails to perform his or her job satisfactorily or otherwise violates Gray Residential rules and policies or engages in prohibited conduct will be subject to discipline. Because circumstances vary in each case involving possible disciplinary action, each situation will be handled on an individual basis, based on the particular facts and circumstances of each case. The types of formal discipline that may be imposed include verbal warnings, written warnings, demotions, suspension, and termination. Behavior that is illegal is not subject to progressive discipline and may be reported to local law enforcement. Abuse, neglect, exploitation or mistreatment of individuals receiving services, theft, Gray Residential at work, fighting and other acts of violence are also not subject to progressive discipline and may be grounds for immediate termination. Gray Residential reserves the right to combine or skip steps depending upon the facts of each situation and the nature of the offense. The level of disciplinary intervention may also vary. Some of the factors that will be considered depend upon whether the offense is repeated despite coaching, counseling and/or training, the employee's work record and the impact the conduct and performance issues have on the organization.

Gray Residential representatives are expected to comply with the following standards:

### **GRAY RESIDENTIAL CODE OF ETHICS**

Gray Residential has adopted a Code of Ethics that is applied to all business activities and service provision. All employees, officers, directors and owners of Gray Residential are accountable not only for compliance with the Code of Ethics, but also with all laws and regulations applicable to Gray Residential activities, and all policies and procedures prepared by Gray Residential and oversight agencies. Honesty and integrity are at the heart of our

Code of Ethics; they define our relationships with people receiving services, outside agencies, business partners, and each other. By maintaining the highest level of corporate integrity through open, honest and fair dealings, we earn trust for our services and ourselves from everyone with whom we come in contact.

- A. Situations involving conflicts of interest by Gray Residential directors, officers, employees, contractors, subcontractors, volunteers and other representatives performing any management, administrative or direct service to an individual will be avoided. Conflicts of interest must be disclosed by all directors, officers, employees, contractors, subcontractors, volunteers and other representatives.
- B. Gray Residential will provide professional services with objectivity and with respect for the unique needs and values of the individuals being served.
- C. Gray Residential will avoid discrimination on the basis of factors that are irrelevant to the provision of services, including but not limited to:
  - Race
  - Creed
  - Gender
  - Age
  - Disability
- D. Gray Residential will provide sufficient objective information to enable an individual, or the individual's legal representative, to make informed decisions.
- E. Gray Residential owners, directors, officers, employees, contractors, subcontractors and representatives will:
  - Accurately present professional qualifications and credentials
  - Assume responsibility and accountability for personal competence in the practice of the person's profession and in the provision of services
  - Maintain knowledge and skills required for continued professional competence including all requirements necessary for a licensed or accredited professional to maintain the professional's licensure or accreditation.
  - Adhere to acceptable standards for the owner, director, officer, employee, contractor, subcontractor or agent's area of professional practice
  - Comply with all laws and regulations governing a licensed or accredited person's profession
  - Maintain the confidentiality of individual information consistent with the standards of this article and all other state and federal laws and regulations governing confidentiality of individual information
  - Conduct all practice with honesty, integrity, and fairness
  - Fulfill professional commitments in good faith
  - Inform the public and colleagues of services by use of factual information

- F. Gray Residential will not advertise or market services in a misleading manner.
- G. Gray Residential will not engage in uninvited solicitation of potential individuals, who are vulnerable to undue influence, manipulation, or coercion.
- H. Gray Residential will make reasonable efforts to avoid bias in any kind of professional evaluation.
- I. Gray Residential will not allow for nepotism during the conducting, directing, reviewing or other managerial activity of an investigation into allegation of abuse or neglect, by prohibiting friends and relatives of an alleged perpetrator from engaging in these managerial activities.
- J. Gray Residential will not subject its directors, officers, employees, contractors, subcontractors or representatives to negative consequences as outlined in IC 22-5-3-3 following the director, officer, employee, contractor, subcontractor or agent reporting:
- The alleged abuse or neglect of an individual
  - Violation of Gray Residential policies and procedures
  - Violation of DDRS policies and procedures
  - Violation of state and federal and federal laws
- K. Gray Residential will notify the appropriate party of any unprofessional conduct that may jeopardize an individual's safety or influence the individual or individual's representative in any decision making process, which may include:
- DDRS (Division of Disability and Rehabilitative Services)
  - ISDH (Indiana State Department of Health)
  - Any licensing authority
  - An accrediting agency
  - An employer
  - The office of the Attorney General, consumer protection division
  - The individual's guardian
- L. Providing gifts to state employees or their spouse or un-emancipated children, special state appointees or their spouse or un-emancipated children, any individual potentially receiving services from Gray Residential, or any guardian or family member of an individual potentially receiving services from Gray Residential is prohibited.
- M. Providing gifts to an individual receiving services or their family members without prior approval from Gray Residential executive staff. Gifts will be limited to a maximum of \$100 annually.

- N. The receipt of any personal gift by a Gray Residential employee or representative from any person receiving services or their family member/legal representative is discouraged and should be avoided. Gifts of nominal value such as baked goods or a dollar store trinket may be allowed with prior approval from a Gray Residential supervisor. Any gift would need to be disclosed to a Gray Residential supervisor to determine if it is appropriate prior to acceptance.
- O. Gray Residential employees and agents will not accept cash gifts from individuals receiving services or their family member/legal representative under any circumstances.

### **BUSINESS PRINCIPLES**

#### A. Maintain the Confidentiality and Accuracy of Gray Residential Records

Gray Residential is responsible and accountable for the integrity and protection of its business information. All agency records and documents (in any form or media) are the sole property of the agency and thereby considered confidential in nature, except as provided by law or regulation. All agency information (i.e. policies, procedures, strategic or business plans, memos, financial documents, etc.), whether in electronic or written format, is confidential and may not be released or shared with others outside of Gray Residential without prior approval from the President/CEO.

Gray Residential is committed to ensuring that appropriate legal conduct is observed with regard to the disclosure of protected health information. Documents and electronic media containing sensitive information about individuals receiving services or Gray Residential representatives must be carefully handled and properly secured in compliance with the Gray Residential *Information Privacy* policy and procedure. Once a Gray Residential representative terminates the relationship with Gray Residential, he or she has no right to access or use agency or individual information.

Falsification or misrepresentation of agency records is strictly prohibited, including but not limited to time records, employment applications, mileage forms, incident reports, daily support records and other Gray Residential business records.

In order to protect the privacy of individuals receiving services, Gray Residential representatives are prohibited from audio or video taping or taking photographs of an individual unless the individual or his/her legal representative has signed a Release/Authorization to Publish.

#### B. Medicaid Claims and Billing

Gray Residential Services (Gray Residential) is committed to ensuring that billing for Medicaid services is conducted accurately and ethically and in compliance with all applicable laws and regulations, in particular those that address health care fraud, waste and abuse and proper billing of Medicaid and other government-funded health care

programs. All Gray Residential representatives are expected to follow the Medicaid Claims and Billing policy and procedure which provides basic information about the federal False Claims Act, the Indiana Medicaid False Claims and Whistleblower Protection Act, and Gray Residential's billing methodology to ensure compliance with all applicable rules and regulations.

The federal False Claims Act allows a civil action to be brought against a health care provider who:

1. Knowingly presents, or causes to be presented, a false or fraudulent claim for payment or approval to any federal employee;
2. Knowingly makes, or causes to be made or used a false record or statement to get a false or fraudulent claim paid; or
3. Conspires to defraud the government by getting a false or fraudulent claim allowed or paid.

Examples of false claims can include billing for a service that was not performed, billing for a service that was not documented, and falsifying information in an individual's service record.

A federal false claims action may be brought by the U.S. Department of Justice Civil Division, the United States Attorney.

Violation of the federal False Claims Act is punishable by a civil penalty of up to \$11,000 per false claim, plus three times the amount of damages incurred by the government.

A statute of limitations says how much time can pass before an action may no longer be brought for violation of the law. Under the False Claims Act, the statute of limitations is six years after the date of the violation or three years after the date when material facts are known or should have been known by the government, but no later than 10 years after the date on which the violation was committed.

The submission of false claims may also give rise to criminal liability.

The Program Fraud Civil Remedies Act (PFCRA) provides for administrative remedies against persons who make, or cause to be made, a false claim or written statement to certain federal agencies, including the Department of Health and Human Services. PFCRA was enacted as a means to address lower dollar frauds and generally applies to claims of \$150,000 or less. PFCRA provides that any person who makes, presents, or submits, or causes to be made, presented or submitted a claim that the person knows or has a reason to know is false, fictitious, or fraudulent is subject to civil money penalties of up to \$5,000 per false claim or statement and up to twice the amount claimed in lieu of damages. Violations are investigated by the Attorney General and enforcement actions must be approved by the Attorney General.

The State of Indiana has also enacted legislation regarding the submission of false claims and whistleblower protections. A whistleblower that reports fraud on a government contract and helps file the case may be entitled to collect from 10 - 30 percent of the monetary damages the company pays.

Federal and state laws also protect whistleblowers from discrimination and employment retaliation for coming forward and reporting illegal activity.

A whistleblower must file a private lawsuit, called a qui tam suit (pronounced "key tam") against the company under the False Claims Act. In effect, the whistleblower files suit on behalf of taxpayers. The private lawsuit is a necessary step in order for the state and federal governments to investigate the fraud case and intervene.

While the government investigates the fraud, the case is sealed. If the government intervenes, the case is unsealed and can go to trial or proceed to settlement. The federal and state governments typically will negotiate with the company that committed fraud to work out a monetary settlement that will rectify the illegal activity and reimburse the taxpayers. A whistleblower in turn would receive a percentage of that settlement money or, if the case goes to trial, a percentage of any damages the Court orders the company to pay.

Those interested in becoming whistleblowers should contact a private attorney who specializes in bringing lawsuits under the False Claims Act. This should be done separately from reporting the fraud to other authorities.

Gray Residential representatives are not required to report a possible False Claims Act violation to Gray Residential first. Reports can be made directly to the Indiana Attorney General's Medicaid Fraud Control Unit by calling 800-382-1039.

#### C. Protect Gray Residential Assets

It is the obligation of all Gray Residential representatives to protect the assets of the agency. Agency property such as office supplies and equipment cannot be used for personal reasons.

Any misuse or misappropriations of agency funds, information, equipment, facilities or other assets may be considered criminal behavior and can bring severe employment and legal consequences. Agency funds include, but are not limited to, bank accounts, credit and debit cards, and business accounts.

#### D. Maintain the Corporate Image

Gray Residential reputation and image are among its most valuable assets. All agency representatives are expected to conduct themselves in a manner that reflects positively



on Gray Residential. Making or publishing false or malicious statements concerning Gray Residential policies, another Gray Residential representative or individuals receiving services is prohibited. Each agency representative should strive to treat all individuals receiving services, stakeholders, other Gray Residential representatives and people in the community with fairness, dignity and respect.

While Gray Residential cannot control what its representatives do during non-working hours, it is important to understand that information posted online is public and comments made about the agency, agency representatives or individuals receiving services that are defamatory or violate agency policy can result in disciplinary action, no matter whether the employee wrote it from work or outside of work.

#### E. Have Job Accountability and Responsibility

Every agency representative is responsible for knowing and implementing the responsibilities of his or her job. Each individual is held responsible for the quality of his or her work. Supervisory staff is responsible for ensuring that employees have received the information and training necessary to execute their job responsibilities.

All Gray Residential representatives are expected to conduct themselves in a manner that ensures a safe and orderly work environment for everyone. Some examples of the types of conduct that may result in termination of an employment or contractual relationship are listed below. Prohibited conduct may exist in ways other than those listed:

- Violation of an established work rule
- Insubordination, which is direct disregard or refusal to perform assigned duties
- Excessive tardiness or absenteeism
- Sleeping on the job or failure to remain alert
- Unsatisfactory performance of assigned duties
- Smoking in unauthorized areas
- Conducting personal business on paid work time
- Job abandonment, including walking off the job or not showing up for a scheduled shift and not calling the supervisor to report the absence
- Bringing unauthorized individuals into the workplace (children, friends, relatives, etc.)
- Taking individuals receiving services to a Gray Residential representative's personal residence during scheduled work times without prior authorization
- Threatening and/or any act of violence toward any Gray Residential representative or individual receiving services

#### F. Avoid Conflicts of Interest

All Gray Residential representatives are responsible for avoiding and reporting all potential conflicts of interest in business activities and the provision of services to individuals. A conflict of interest exists if an agency representative's outside business or other interest may affect adversely, or have the potential to affect adversely, his or her motivation, objectivity, loyalty or performance.

Some situations which an agency representative might encounter that could be considered a conflict of interest include:

- Having a relationship with a person receiving services outside of the workplace where an employee may have control over some aspect of the life of the participant, such as but not limited to:
  - A romantic relationship
  - Serving as a participant's financial payee
  - Serving as a participant's authorized representative for Medicaid and SNAP benefits
  - Seeking the following legal representation for a participant during employment with Gray Residential: legal guardianship, healthcare representative, power of attorney

*Considerations:*

- A legal guardian/legal representative can serve as direct support staff for a participant receiving services in the family home
- A legal guardian/legal representative cannot serve in a supervisory role for employees providing services to a participant.
- If a participant resides with housemates that are not under legal representation by the same person, the legal guardian/legal representative cannot provide direct support services at that site.

- Having employment by a person receiving services and/or the family member of a person receiving services.
- Directly supervising a family member as a contractor, supplier or employee of Gray Residential.
- Romantic relationships between a supervisor and an agency representative under his or her supervision.
- Using agency assets, including agency time, name, information, equipment or facilities for personal use.
- Misuse of information obtained by an agency representative during the course of his or her employment.
- Soliciting personal cash or non-cash gifts of any amount or values from any person or business that has a relationship with Gray Residential.
- Accepting personal cash gifts of any amount from any person or business that has a relationship with Gray Residential.

- Financial transactions between people between people receiving services and/or their family members.
- Outside employment that interferes with the agency representative's job responsibilities and/or is in conflict with Gray Residential interests.
- Use of information created by or for Gray Residential for personal gain or use by others outside of Gray Residential without prior permission.
- A Gray Residential representative or his or her family member having a private financial interest with an organization or individual that does business with Gray Residential.
- A Gray Residential employee or agent witnessing the signature of a consumer on legal documents, including but not limited to Power of Attorney, Legal Guardianship and Advance Directives.
- Any other situation in which a person or Gray Residential uses its position to exploit an official capacity in some way for its personal or corporate benefit.

Conflicts of interest and potential conflicts of interest will be documented upon the beginning of the relationship with Gray Residential and annually thereafter using the Conflict of Interest Disclosure Agreement.

Gray Residential representatives are responsible for reporting potential conflicts of interest as they arise to the Human Resources Director. The Human Resources Director, CEO and COO will discuss all potential conflicts of interest to determine an appropriate course of action.

#### G. Adhere to the Gray Residential Media Policy

It is the policy of Gray Residential to maintain stability of programs while establishing consistency of information shared with or through the media or the public. "Media" is defined as any source of communication, requests for communication, or requests for information from such sources as, but not limited to:

- Newspapers
- Television
- Video Cameras
- Still Cameras
- Internet
- Telephone
- Telegraph
- Email
- Web Sites
- Magazines

All Gray Residential representatives are to refer any and all media requests to Gray Residential executive staff. All requests for information, data, photos, or any requests for paper, electronic, voice or digitized information must be immediately forwarded to Gray Residential executive staff without comment. All requests for comments or opinions concerning individuals receiving services, Gray Residential employees, employees, leaders, executives, owners or partners are to be immediately forwarded to Gray Residential executive staff. Any Gray Residential employee who discloses information to any form of “media” is subject to discipline, up to and including termination of employment. Gray Residential reserves the right to take legal action towards or against any person, contractor, employee or former employee who discloses information regarding Gray Residential to any form of “media”.

### **QUALITY OF CARE**

#### **A. Employee Training**

Before working directly with individuals receiving services, Gray Residential representatives must complete an orientation that provides training in core competencies including introduction to developmental disability and dual diagnosis, individual rights, prevention of abuse and neglect, respect and dignity, meaningful day, diversity in the workplace, person-centered services, communicating with persons with disabilities including person-first language, medication administration and crisis prevention and intervention. The training curriculum is designed to cultivate a culture that supports self-determination as well as community inclusion and integration, thereby improving the quality of services for individuals.

#### **B. Individual Rights**

All Gray Residential representatives are expected to provide services that protect and promote the rights of individuals afforded through Indiana law and the Constitutions of the State of Indiana and the United States. Infringements on an individual’s rights are considered abusive and must be reported immediately to a supervisor.

#### **C. Preventing and Reporting Allegations of Abuse, Neglect and Exploitation**

It is the obligation of Gray Residential representatives to ensure that individuals receiving services are treated with respect and dignity, and that individuals are protected from abuse, neglect and exploitation. Immediate action will be taken for all allegations of abuse, neglect, exploitation or mistreatment to ensure individuals’ health and welfare. Gray Residential representatives are responsible for reporting all observed and suspected incidents of abuse, neglect, exploitation and/or mistreatment of individuals receiving services. Reports must be made immediately to the supervisor on

call, and documented following the Gray Residential *Incident Reporting* policy & procedure. All incidents of alleged abuse, neglect, exploitation and/or mistreatment of an individual will also be reported to the Bureau of Developmental Disabilities Services and Adult and/or Child Protective Services and investigated following the Gray Residential *Conducting Investigations* policy & procedure.

D. Compliance with Individualized Support Plans

It is the responsibility of Gray Residential representatives to provide services that conform to each individual's unique Individualized Support Plan (ISP). It is also expected that any Gray Residential representative discovering a needed change to the ISP communicate that change immediately to his or her supervisor. Supervisory staff is responsible for ensuring needed changes and modifications are communicated to the individual's case manager in a timely manner.

E. Maintaining Appropriate Interactions with Individuals

Gray Residential representatives are expected to maintain professional boundaries and relationships with individual receiving services. Gray Residential representatives should model appropriate behavior that reinforces Gray Residential vision, mission and core values while in the presence of individuals receiving services.

Personal financial transactions between a Gray Residential representative and an individual receiving services or their legal representative/family are prohibited. Personal financial transactions between a family member of a Gray Residential representative and individuals receiving services are also prohibited. Any financial transaction that could result in greater benefit for a Gray Residential representative than the person receiving services will be considered exploitation.

F. Non-Discriminatory Service Provision

Gray Residential is committed to ensuring that all individuals served are treated with respect irrespective of their race, sex, age, color, religion, national origin, ancestry, disability, sexual orientation, or gender identity. All supervisors and employees are responsible for treating all persons served equally when providing service. All persons served will receive person-centered services.

**WORKPLACE SAFETY**

A. Maintaining a Safe Workplace

Gray Residential representatives will adhere to the safety practices protocol at all times during any type of emergency situation that requires evacuation, shelter or other uncommon events. Should any type of dangerous condition or situation occur at the Gray Residential offices, including but not limited to fire, bomb threat, tornado, lightning

strike, earthquake, violent or threatening situations, utility failures or medical emergencies, Gray Residential representatives will be expected to follow the procedures outlined in the Gray Residential *Safety Practices* policy & procedure.

Possession of any type of weapon or dangerous device on Gray Residential property or property owned or occupied by an individual receiving service is prohibited.

Loaning or permitting the duplication of keys, access devices, or security codes belonging to Gray Residential or individuals receiving services.

### **HUMAN RESOURCES PRINCIPLES**

#### **A. Compliance with Labor and Employment Laws**

Gray Residential fully complies with all labor laws regarding employee-employer relationships and workplace environment.

Gray Residential only employs persons who are legally authorized to work in the United States consistent with federal laws.

#### **B. Compliance with Payroll Deductions**

Gray Residential fully complies with the salary basis requirements of the Fair Labor Standards Act (FLSA). Gray Residential prohibits all supervisory and payroll staff from making improper deductions from the salaries of employees.

If an employee believes an improper deduction has been made, the employee should immediately report the information to his or her supervisor or the Human Resources Director. Reports of improper deductions will be immediately investigated. If it is determined that an improper deduction was made, the employee will be promptly reimbursed.

#### **C. Embracing Diversity**

Gray Residential is committed to ensuring that appropriate diversity issues related to race, gender, age, disabilities, religion, job title, physical appearance, sexual orientation, nationality, multiculturalism, competency, training, experience and personal habits are understood and valued. Gray Residential will abide by all applicable federal and state laws regarding diversity for all Gray Residential representatives and individuals receiving services. All newly hired employees will be trained regarding diversity standards and expectations during their new-hire orientation and at least annually thereafter.

Gray Residential will immediately investigate complaints relating to diversity issues and consider any person found to be in violation of the diversity policy to be in violation of workplace discrimination, thereby subjecting them to the Gray Residential disciplinary action procedures. Complaints of diversity policy violations must be submitted in written form and signed by the complainant(s) before the investigative process can begin. Complaints will be fully investigated by the Human Resources Director or a member of executive leadership. Investigations will be conducted within five (5) business days of receipt of the written complaint and the results of the investigation will be shared only with executive leadership and those parties that need to know.

#### D. Equal Opportunity

Gray Residential, as required by law, makes equal employment opportunities available to all persons without regard to race, sex, age, color, religion, national origin, disability, citizenship status, sexual orientation, gender identity, or any other category protected under federal, state, or local law.

Gray Residential will take appropriate steps to provide reasonable accommodations upon request to qualified individuals with disabilities so long as doing so does not cause an undue hardship. Gray Residential also will take appropriate steps to provide reasonable accommodations upon request to employees whose religious beliefs or restrictions create a conflict with Gray Residential policies, practices, or procedures so long as doing so does not cause an undue hardship. If you need accommodation, please provide in writing to your immediate supervisor a description of your situation and your needs, and someone will contact you to discuss your needs.

Gray Residential is committed to providing a workplace free from unlawful discrimination and inappropriate treatment, which includes sexual harassment and other forms of harassment. Any form of harassment undermines Gray Residential' insistence upon employee integrity, and it is considered serious misconduct. No employee, either male or female, should be subjected to offensive conduct or innuendo, either verbal or physical, from other employees or non-employees such as agency owners, visitors, vendors, parents, volunteers and contractors.

Proven sexual harassment or harassment because of an individual's race, religion, gender, sexual orientation, color, age, national origin, disability, or genetic information will result in discipline up to and including termination of employment.

Sexual harassment is defined as any unwelcome or unwanted sexual advances, requests for sexual favors, or other verbal or physical conduct of a sexual nature from someone in the workplace that creates discomfort and/or interferes with the job, if:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment,
2. Submission to or rejection of such conduct by an individual is used as a basis for employment decisions affecting such individual, or
3. Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment.

Such conduct may include a range of subtle and not so subtle behaviors and may involve individuals of the same or different gender.

Harassment because of an individual's race, religion, gender, sexual orientation, color, age, national origin, disability, or genetic information is defined as verbal or physical conduct that:

1. Denigrates or shows hostility or aversion toward an individual because of his or her race, religion, gender, sexual orientation, color, age, national origin, disability, or genetic information, or that of an individual's relatives, friends or associates, and
2. Has the purpose or effect of creating an offensive work environment, unreasonably interferes with an individual's work performance, or otherwise adversely affects an individual's work performance.

Examples of sexual harassment include but are not limited to the following:

- Unsolicited and unwelcome comments or conduct of a sexual nature or that are demeaning to women or men as a group (for example, offensive or vulgar jokes, name-calling, comments about one's body or sex life, stereotyping based on a person's sex, touching, leering, ogling, patting, pinching, indecent exposure, physical gestures, or displaying sexually explicit photographs or objects that interfere with a reasonable person's work);
- Unsolicited and unwelcome demands or requests for sexual favors or social or sexual encounters;
- An explicit or implicit promise of preferential treatment with regard to a person's employment in exchange for sexual favors or sexual activity; and the use of an employee's or applicant's submission to or rejection of sexual conduct as the basis for making, influencing, or affecting an employment decision that has an impact upon the terms and conditions of the individual's employment (for example, hiring, firing, promotion, demotion, compensation, benefits, or working conditions).

Examples of harassment because of an individual's race, religion, gender, sexual orientation, color, age, national origin, disability, or genetic information include but are not limited to the following:



- Making derogatory ethnic or racial statements, or belittling one's religion or religious practices.
- Perpetuating stereotypes about one's age, gender, etc. (You're too old to change your ways", "This is women's work".)
- Refusing to assist another employee or individual receiving services because of his or her race, gender, etc.
- Disparaging the sexual orientation of another employee, his or her associates, or a consumer.
- Threatening, intimidating, or hostile acts that relate to race, sex, age, religion, national origin, disability, sexual orientation, or gender identity.
- Written or graphic material that denigrates or shows hostility or aversion toward an individual or group because of race, sex, age religion, national origin, disability, sexual orientation, or gender identity.

Given the nature of this type of conduct and the serious effects such conduct can have on the target of the conduct and the one accused of the conduct, Gray Residential treats alleged violations of this Policy seriously and, to the extent possible, confidentially. Gray Residential expects all individuals to treat alleged violations in the same confidential and responsible manner.

#### Internal Reporting Procedure

All claims of harassment will be investigated promptly and will be handled confidentially as circumstances permit.

If you believe you or any other employee is being harassed, you should take these steps:

1. Firmly and clearly tell the person who is harassing you that his or her behavior is unwelcome and should stop immediately. If possible, take a witness to this discussion. Write a statement about the incident and what you did to stop it, including dates, times and places. This statement will be helpful if the harassment continues and Gray Residential needs to investigate. If you are uncomfortable telling the person who is harassing you to stop, proceed to the reporting procedure below.
2. Report the incident to the HR Director or another member of executive management. Your report should be as specific as possible, including the name of the person who is harassing you, a description of the conduct and the effect it is having on your work performance, and the names or any witnesses who could assist in the investigation.

Although Gray Residential ability to take action as to a non-employee is limited, any employee who believes a non-employee's behavior violates this policy should promptly report the non-employee's conduct through this policy.

Supervisors who become aware of any potential violation of this policy must report the potential violation to the HR Director or another member of executive management. Failure to report potential violations may result in appropriate discipline, up to and including termination of employment.

Any person employed by Gray Residential who is found to have acted in a discriminatory manner will be subject to investigation and/or discipline up to and including termination from employment.

Non-Discrimination laws, rules and guidelines that are provided by the EEOC will be followed at all times.

#### E. Non-Discrimination

All persons hired, contracted, employed, promoted, demoted or disciplined by Gray Residential shall be treated equally in all processes. No decision will be based on or due to that person's race, religion, gender, sexual orientation, color, age, nationality, national origin, disability or genetic information concerning:

1. hiring and firing decisions
2. compensation, assignment, or classification of employees;
3. transfer, promotion, layoff, or recall
4. job advertisements
5. recruitment
6. testing
7. use of company facilities
8. training and apprenticeship programs
9. fringe benefits
10. pay, retirement plans, and disability leave
11. other terms and conditions of employment

Any person employed by Gray Residential who is found to have acted in a discriminatory manner will be subject to investigation and/or discipline up to and including termination from employment.

**Non-Discrimination laws, rules and guidelines that are provided by the EEOC will be followed at all times.**

No employee will suffer retaliation due to their reporting of alleged discrimination or discriminatory practices.

#### F. Substance Use

Gray Residential recognizes that the use and abuse of drugs and alcohol can seriously impair an employee's ability to perform safely and efficiently his or her duties. Drug and alcohol use and abuse not only jeopardizes safety, it undermines the public's confidence in Gray Residential.

Because a drug or alcohol-impaired employee can pose a significant threat to the safety of the public, individual in services and co-workers, as well as the employee's own safety, Gray Residential has established a *Substance Abuse* policy as part of its ongoing efforts to maintain a drug and alcohol-free workplace.

All Gray Residential representatives are expected to report to work free of alcohol and illegal drugs and not to sell, purchase, distribute, dispense, possess, or use or conspire to sell, purchase, distribute, dispense, possess, or use an illegal drug or alcohol on Gray Residential premises or during working time. Likewise, all Gray Residential employees are expected not to misuse or abuse any prescription or nonprescription medications. Gray Residential looks to all its employees to support this policy to ensure quality service to the public and to better the overall safety, health, productivity, and welfare of Gray Residential employees. Employees are asked to discourage co-workers from violating this policy and are expected to cooperate in its efforts to enforce this policy and in any investigation of its violation.

The following are circumstances when an employee may be subject to a drug screening:

- Pre-employment
- Reasonable cause
- Post-accident/injury
- Return to work

An employee who refuses to submit to a drug or alcohol test as required by policy or to execute any relevant documentation such as consent or release of information forms will be terminated.

#### G. Personal Relationships

Gray Residential prohibits romantic relationships and/or cohabitation between anyone in supervision and his or her immediate employees in their chain of command. The existence of such relationships must immediately be reported to executive management so that appropriate steps may be taken, including reassignment of personnel, to avoid the potential for the personal relationship to adversely affect the individual's employment as well as the quality of service provided to our consumers in any manner. If reassignment is not possible, then Gray Residential will permit the two employees to decide which one will resign

employment with Gray Residential. Any supervisor's failure to report a romantic relationship and/or cohabitation may result in disciplinary action up to and including discharge.

Gray Residential also prohibits inappropriate relationships between all staff and persons served such as staff in dating relationships with persons served, staff providing babysitting for persons served, etc. In addition, all staff must maintain appropriate personal boundaries with all persons served at all times.

### **GRAY RESIDENTIAL COMMUNICATION CREED**

During your employment with Gray Residential you will be communicating with individuals receiving services, family members, guardians, case managers, behavior clinicians, doctors, other Gray Residential employees and supervisors, and a variety of other people involved in the services and care of individuals. Gray Residential has adopted the following the Communication Creed to ensure effective and respectful communication. All Gray Residential representatives are expected to follow the Communication Creed in all modes of communication.

Talk to the person directly, not others. Gossip negatively impacts positive working relationships and accomplishes nothing. It is everyone's responsibility to stop gossip at the source.

Deal with it. Don't avoid it or it festers.

Handle others with respect and follow the Golden Rule.

Choose the most effective and efficient method of communication given the situation.

Timing is everything.

Choose your battles. Let the rest go.

Listen. You have two ears and one mouth.

Understand the other view. Don't assume you know where someone is coming from.

Investigate thoroughly before jumping to conclusions. Every situation has multiple points of view.

Be certain that the information you share with others is accurate and appropriate.

We all have strengths and weaknesses. Focus on others' gifts and help with the rest.

Be creative with differences; they are a source of ideas.

Remember: information about service participants is strictly on a need-to-know basis.

### **Reporting Suspected or Known Violations**

It is the responsibility of all Gray Residential representatives to report known or suspected violations of the Code of Business Conduct and Ethics. The culture at Gray Residential encourages employees to discuss their concerns freely and frankly with management. Any constructive criticism, complaint, or problem which creates dissatisfaction should be brought to the attention of a representative's supervisor immediately.

If an agency representative is not satisfied with a supervisor's response, is not comfortable speaking with a supervisor, or if at any time the agency representative prefers, he or she can contact the Corporate Compliance Officer directly. Agency representatives can contact the Corporate Compliance Officer by calling 317-423-9350, or by forwarding a written message.

If a report is made verbally, a written statement will be requested. The supervisor or other individual receiving the information will assist with documenting the information in writing and forwarding it to the Corporate Compliance Officer.

### **Whistleblower Protection**

Gray Residential representatives who observe a violation of federal or state law or regulation, Gray Residential policies and procedures, DDRS policies and procedures, the alleged abuse or neglect of an individual or a misuse of public resources will submit a written report of such violation to Gray Residential executive management. If the violation involves the agency, employees may also submit a report to the Indiana Family and Social Services Administration, the state Ethics Commission, or the Office of the Inspector General.

An employee will not be dismissed from employment, have salary increases or employment related benefits withheld, be transferred or reassigned, be denied a promotion that the employee otherwise would have received, or be demoted as a result of submitting a report of such violation.

An employee must make a reasonable attempt to ascertain the correctness of any information to be furnished and may be subject to disciplinary actions for knowingly furnishing false information, including suspension or dismissal, as determined by Gray

Residential. However, any employee disciplined as a result of this to process can appeal the disciplinary action as a civil action in a court of general jurisdiction.

### **Investigation and Corrective Actions**

All suspected violations will be investigated by appropriate personnel. Investigations will be handled confidentially to the extent possible while ensuring resolution of issues and concerns. Investigations will not be based on, nor will consider: age, gender, religion, affiliation, sexual orientation, race/color, disability, compensation, national origin, pregnancy, or genetic information. Gray Residential representatives involved in an investigation will not release or cause to be released any information regarding the issue being investigated except to Gray Residential supervisory staff conducting the investigation. If required, Gray Residential executive staff will determine what legal steps need to be taken and what agencies need to be advised. All investigations will be conducted in a timely manner, will be well-documented, unbiased, and include detailed information and documentation.

Issues requiring investigation include, but are not limited to, the following:

1. Allegations or suspicions of abuse, neglect, exploitation or mistreatment of individuals receiving services
2. Gray Residential employee or contractor misconduct
3. Gray Residential employee or contractor violation of any Gray Residential policy, procedure, established work rule or core values

All investigations will be conducted by a minimum of two (2) Gray Residential supervisors and/or the Human Resources Director. Abuse and neglect investigations are prohibited from being conducted by friends or relatives in any degree to the alleged perpetrator.

Allegations involving a violation of the Gray Residential Code of Business Conduct and Ethics will be reported to the CEO and/or COO. The CEO and/or COO will oversee the investigation of these types of violations.

Once the investigation is complete, the Investigation Report and supporting documentation and information will be submitted to the HR Director, the COO and CEO for review prior to any personnel action being taken.

Investigations will be conducted within five (5) business days of receipt of the written complaint and the results of the investigation will be shared only with executive leadership and those parties that need to know.

### **Response and Discipline for Violations**

Each Gray Residential representative has a responsibility for conducting him or herself according to ethical and legal standards. No one has the authority to make another person

violate the Corporate Compliance Plan. Any attempt to direct or otherwise influence someone else to commit a violation is a violation in itself. Gray Residential representatives who violate provisions in the Plan could be subject to appropriate disciplinary action, up to and including termination.

### **Legal Proceedings and Requests**

Gray Residential employees must immediately notify Executive Leadership (CEO, COO, HRD) when presented with a request for documents or information, such as a subpoena, a search warrant, deuces tecum, writ, or when being questioned by any law enforcement personnel regarding Gray Residential, any Gray Residential consumer or any consumer relationship. Gray Residential employees are expected to uphold the law and cooperate fully, but are also expected to notify Executive Leadership upon any such request, prior to releasing any information or documents.

### **Termination of Employment**

Executive staff employees who voluntarily leave employment are requested to provide four (4) calendar weeks advance notice. Other employees who voluntarily leave employment with Gray Residential are expected to provide at least two (2) calendar weeks advance notice of their intention to terminate employment. Employees who fail to give the requisite notice may not be considered for rehire. Resigning employees who give requisite notice of their intention to terminate will be paid for any unused accrued personal leave. (See the Personal Leave Time section in Article V of this Manual.)

Involuntarily terminated employees are not entitled to pay for unused accrued personal time.

If you resign or are dismissed, Executive Management may require you to vacate your position and the agency premises any time after Gray Residential accepts your resignation notice or issues the dismissal notice.

Whenever you terminate employment, whether voluntarily or involuntarily, you must, on or before your last day of work return all Gray Residential property including all keys, computers, phones or communication devices and uniforms if applicable. Your final paycheck will be mailed to you on the next regular payday following your termination of employment.

Gray Residential strongly discourages terminated employees from maintaining contact with Gray Residential consumers. In the event that this does occur and is not in the best interest of the consumer, Gray Residential will report the concern to the appropriate authorities.

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