

# **AbleNet Employee Handbook**

**Revised September 2019**

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## ***Section 01: About AbleNet***

### **Introduction**

Welcome to AbleNet, Inc. We look forward to helping you grow within our team as we seek to help people with disabilities achieve empowerment in their lives. This Employee Handbook defines AbleNet's values, culture, direction and policies. We ask that you review this entire handbook and become familiar with the information and how to access it easily.

The information in this handbook should be regarded as guidelines, which in a developing business will require changes from time to time. The corporation retains the right to make decisions involving employment and related policies as needed in order to conduct its work in a manner that is beneficial to the employees and AbleNet. These policies supersede and replace all previously existing policies and guidelines. This employee handbook summarizes the current benefit plans maintained by AbleNet. If any questions arise regarding the interpretation of these plans, the answers will be determined by reference to the actual plan documents and policies rather than the summaries contained in this handbook. Our corporation adheres to the policy of employment-at-will, which enables the corporation or the employee to terminate the employment relationship at any time for any reason. The policies contained in this employee handbook are not intended as a contract of employment and may be added to or changed as needed by our corporation, except that we will not modify our policy of employment-at-will in any case.

### **Changes to Policy**

This Employee Handbook supersedes and replaces any and all written personnel policies, handbooks, guides and manuals previously distributed to, made available to, or applied to employees of AbleNet, and is the only Employee Manual with any force or effect. All prior personnel policies and handbooks are hereby rescinded and revoked.

AbleNet reserves the right to apply any or all of these policies in whole or in part at its discretion as it deems appropriate depending on individual circumstances. AbleNet can deviate from this Employee Manual as it deems appropriate. The application or non-application of any or all of these policies does not alter or change AbleNet's right to apply these policies in whole or in part as it deems appropriate.

AbleNet reserves the right to change, withdraw, apply or amend any of our policies or benefits, including those covered in this Employee Manual, at any time. AbleNet may notify you of such changes via email, posting on AbleNet's Intranet, Portal or website, or via a printed memo, notice, amendment to or reprinting of this Employee Manual but may, in its discretion, make such changes at any time, with or without notice.

Changes will be effective on the dates determined by AbleNet, and after those dates all superseded policies will be null.

No individual supervisor or manager has the authority to change policies at any time. If you are uncertain about any policy or procedure, speak with your direct supervisor.

### **Vision**

AbleNet brings joy and growth to teaching and learning through research, intuitive technology, integrated solutions and rigorous in-context curriculum for school communities, classrooms, and individuals.

## **Mission**

AbleNet creates products that enhance the quality of life for people with severe/profound and moderate disabilities. We develop, market and support creative, reliable and moderately priced products used by persons around the world to become active participants at home, at work, at school and in their communities. These products are created and delivered in ways that allow the educator, parent, and caregiver etc. to be successful and fulfilled in their role of empowering the person with the disability to be the best that they can be.

We strive to make AbleNet's image synonymous with trust, respect, enthusiasm, creativity, fun and simplicity. We aim to delight every customer with each contact made by AbleNet employees and products. To achieve this mission and create an ever-expanding, ever-improving organization, AbleNet employs people who embrace this mission, share their talents and work efficiently as a team; thus, enabling AbleNet to achieve and sustain a profit level sufficient to operate and grow as a financially sound corporation.

## **Code of Ethics**

### **For the company:**

- We always strive to provide the highest quality services to our clients while meeting the highest professional and ethical standards possible.
- We provide services in a prompt and reliable manner, ensuring that the equipment and services are safe and meet the client's health care needs.
- We do not discriminate, either regarding clients or employees, on the basis of any characteristic prohibited by law.
- We conduct our business professionally and ethically, and set up mechanisms to prevent fraud.
- We apply the highest standards of integrity in our advertising, marketing, and billing practices.
- We treat our clients with respect, support their freedom of choice, and ensure that they are aware of their rights and responsibilities.
- We instruct each patient/client and/or caregiver in the correct operation of the equipment and service provided.
- We protect the confidential nature of client health care records.
- We provide the appropriate insurance coverage for employees and clients
- We screen staff before offering employment, and ensure that all staff members continue to improve their knowledge and skills so that they are able to provide our products and services competently.
- We provide employee orientation and continuing education opportunities to ensure that staff skills are current.
- We comply with all relevant federal, state, and local laws and regulations, as well as the requirements of federal, state, and private-payer health care programs and accreditation agencies.

### **Individually:**

I will cover my job at all times (see job description)

I will cover my phones at all times.

I will make customers my first priority.

I will help identify problems and create solutions.

I will treat people with respect.

I will ask for clarification if I don't know.

I will communicate as needed with appropriate members of the AbleNet team.

## **Code of Expectations**

AbleNet's code of expectations describes our company's desired culture. Each individual plays a role in creating that culture and achieving our company's mission.

### **As managers, we...**

- can leave our jobs for three weeks (with no contact) and when we return the business will have been running smoothly, and we will agree with every decision that was made in our absence because:
  - employee expectations are clear
  - business beliefs and assumptions are embraced
  - rationale for all key decisions are known by employee
  - employees are trained and empowered to not only do their specific job functions, but to problem-solve and make good decisions as team members of the whole organization
  - employees are given frequent positive and constructive feedback on their performance.
- work for the employees we supervise because:
  - we supply employees with the tools they need to most effectively do their jobs
  - we acknowledge employee's requests and respond to them in the time frame requested.

### **As employees, we...**

- exceed our customer's needs and expectations because we:
  - pursue an understanding of those needs
  - acknowledge and address customer frustrations
  - go beyond our specific job descriptions to serve customers
  - challenge inefficient systems that fail to accommodate customer needs
  - identify and eliminate negative attitudes and judgments about customers that hinder job performance and service
- create innovative ways and project a positive attitude commit to personal and professional growth because we:
  - pursue education both internally and externally
  - make continuous improvement every day
  - challenge other's assumptions without personal judgment of them or us
  - request clarification of goals to maximize performance
  - seek the necessary information to make the best possible decisions
  - work to build cohesive, effective and joyful relationships and teams throughout the organization.



## **Talk to Us**

We are committed to providing the best possible climate for maximum development and achievement of goals for all employees. Our practice has always been to treat each employee as an individual. We have always sought to develop a spirit of teamwork; individuals working together to attain a common goal. In order to maintain an atmosphere where these goals can be accomplished, we have provided a workplace which is comfortable and progressive. Most importantly, we have a workplace where communications are open and problems can be discussed and resolved in a mutually respectful atmosphere considering individual circumstances and the individual employee. We firmly believe that by our communicating with each other directly, we can continue to resolve any difficulties that may arise and develop a mutually beneficial relationship. We encourage you to bring your questions, suggestions and complaints to any one of the department managers. Careful consideration will be given to each of these in our continuing effort to improve operations. Your suggestions and comments on any subject are important to us so we encourage you to take every opportunity to discuss them with us. Your job will not be adversely affected in any way because you choose to use this procedure.

If you would like provide your comments or suggestions anonymously, you can submit your comments or suggestions in the suggestion box located in the mail room.

## **Confidential Information**

There is information about AbleNet, our products and patient records that is proprietary and private. The information must be held strictly confidential. Information is confidential if it is critical to our competitive advantage or is not publicly known. People often call AbleNet for information about our company and our products. Our inclination is to be helpful, to help the public --- customers, suppliers, students, parents and professionals --- get an accurate picture of our operation without divulging sensitive information. Every employee has the responsibility of knowing what can and cannot be shared.

Use the list below to help you decide whether or not you can share certain types of information. Feel free to share information listed in the Acceptable column. If a request for information is not listed in the Acceptable Information list, or for any reason you are unsure, contact any member of the management team.

### **Acceptable Information**

- General description of our business
- Annual revenues
- Annual growth rate
- Rough approximation of number of units sold
- Size of the market we serve
- Number of AbleNet employees
- General business philosophy

### **Unacceptable Information (Confidential)**

- Information that breaks out segments of our business
- Revenue per product
- Exact figures about the number of units sold of any one product
- Information about any product during its design or patent state
- Descriptions about how we approach any market segments
- Customers and supplier information
- Internal operational processes (IT, billing, accounting, leadership decision making...etc.)
- Employee related information

- Internal policies & procedures
- All financial information (statements, analysis reports, projections...etc.)

When considering if information should be shared with outside the organization, the following questions can help make the determination:

- What is my purpose in sharing this information? Who does it benefit?
- How would my fellow employees feel if I shared this information in the manner in question?

Again, if you are unsure, consult a member of the management team.

Nothing in this policy prohibits the lawful disclosure of an employee's own wages or for discussing another employee's wages that have been disclosed voluntarily. Employees are prohibited from disclosing other employee's wages to a competitor of AbleNet.

## ***Section 02: Employment at AbleNet***

### **Equal Employment Opportunity**

Our corporation is committed to the full utilization of all human resources and to a policy of equal employment opportunity. Our corporation will not discriminate against employees or applicants for employment on any legally-recognized basis including, but not limited to race, age, color, creed, religion, sex, marital status, familial status, national origin, sexual orientation, gender identity, disability or veteran status, or status with regard to public assistance. You may discuss equal employment opportunity-related questions with the Controller or any other member of management.

### **At Will Employment**

Employment with the Organization is at-will. This means that the employee may resign at any time and The Organization retains a similar right. No manager, supervisor, or representative of the Organization other than the CEO has authority to enter into any agreement to the contrary. No such agreement may be made, nor is valid unless in writing signed by the CEO. This handbook does not modify or limit the employment at-will relationship.

### **Employment Classifications**

**INTRODUCTORY PERIOD:** Full-time and part-time employees are on a probationary period during their first 90 days of employment. New managers are on a probationary period of 6 months. This status does not change the at-will relationship with the company.

**FULL-TIME EMPLOYEES** regularly work a 36 - 40-hour workweek and are eligible for our fringe benefits package in accordance with their position and length of employment.

**PART-TIME, REGULAR EMPLOYEES** regularly work a minimum of 20 but less than 36 hours per week and are eligible for certain fringe benefits based on their position and length of employment.

**PART-TIME EMPLOYEES** work less than 20 hours each week and are eligible for statutory benefits only.

**SEASONAL, CONTRACT OR TEMPORARY EMPLOYEES** (Full or Part-time) are hired to perform a specific job for a specified period of time, normally less than six months. These employees are eligible for statutory benefits only.

### **Job Descriptions**

Job descriptions provide a summary of the position's duties, the supervisor's position, principal responsibilities, education and experience requirements, and an overview of other generally expected responsibilities placed upon the employee. Job descriptions become the basis for the assessment of an employee's work performance.

Review and revision: Job descriptions are reviewed at every annual evaluation and are revised as needed to ensure that they reflect the nature of the position. A request for review of any job description may be made to the Controller at any time.

ADA compliance: Job descriptions will indicate physical requirements (ability to lift/move heavy objects or to stand for long periods of time, for example) that are necessary provisions of typical work assignments.

The goal of AbleNet is to attract, motivate, and retain talent with a fair and equitable compensation policy based on necessary knowledge, skills and abilities.

### **Changes in Personal Data**

We need to maintain up-to-date information about you so we would be able to aid you and/or your family in matters of personal emergency. Changes in name, address, telephone number, marital status, birth or death, number of dependents or changes in next of kin and/or beneficiaries should be given to the Controller promptly.

### **Work Week**

Because of the nature of our business, your work schedule may vary depending upon your job and department. Our normal business hours are 8:00 a.m. to 5:00 p.m., Central Time, Monday through Friday. However, check with your supervisor to determine your regularly scheduled hours.

### **Method of Compensation**

You will be paid bi-weekly on Friday for the period which has ended on the previous Saturday. When our pay day is a holiday, you normally will be paid on the last working day before the holiday. All payrolls are handled via direct deposit. You will need to supply a checking account or saving account number to the Controller.

### **Recording Your Time**

You are required to maintain an accurate record of all time worked. All employees must complete and submit a time sheet biweekly. You will receive instructions and access information on your first week of employment.

### **Overtime**

#### **Non-Exempt Status**

There may be times when you will be required to work overtime so that we can successfully meet the needs of our customers. All overtime must be approved in advance by your supervisor. Non-exempt employees will be paid a rate of time and one-half their regular rate for hours over 40 in a week. Only the hours that employees worked count towards computing weekly overtime.

If the supervisor agrees that overtime is needed in order to reach business goals and objectives for internal or external customers, the supervisor will approach those employees who have expressed interest in overtime, are willing to take on the extra hours of work, and have the skill necessary to complete the task first. If business goals cannot be accomplished with the interested and willing staff, the supervisors will meet with management to determine the critical nature and seek adjustments to the plan to accommodate the willing staff. Should management decide that the business objectives still need to be met, then the supervisor will approach other staff that have not been as willing to work overtime and give them 48-hours to review their schedule to see if overtime is possible. The goal of the supervisor would be to work through the various issues to manage the resources needed, staff's desire for overtime, management, to accomplish the business goals and objectives as defined.

## **Exempt Status**

Individuals employed in a bona fide executive, administrative, professional outside sales positions and who are paid on a salary (or, in certain situations fee) basis, are exempt from the minimum wage and overtime provisions of the federal FLSA. Employees in exempt positions are expected to work the hours necessary to complete assignments on a schedule that satisfies the requirements of the job. All employees are expected to report to work, (generally on a consistent schedule) and be on time. A full-time commitment typically requires a minimum of 80 hours per bi-weekly payroll period. However, more than 40 hours worked per week are exempt from overtime pay.

## **Meal Time**

A 30-minute, unpaid meal break must be taken during an eight-hour period. Your supervisor is responsible for approving the scheduling of this time.

## **On Call**

It may be necessary for individuals in certain positions to be available by telephone after hours during the week or on the weekend.

## **Pay Advances**

Pay advances will not be granted to employees.

## **Pay Raises**

Pay raises are based on performance which is explained in AbleNet's Performance Management System manual and under Performance Reviews in this section.

## **Closing Early**

If the company closes early due to a company event or whatever, you will be paid for the time based on the following:

**Full Time Regular Employees:** You will be fully compensated for the remainder of your regularly scheduled work day.

**Part Time Regular Employees:** You will be compensated for your time, on a prorated basis, based upon your overall work schedule (20 hours per week equals 50%, 30 hours per week equals 75%, etc.) provided you attend the company event. If we are closed early for any other reason you will be compensated, on a prorated basis, for the remainder of your regularly scheduled work day, provided you are scheduled to work that day.

**Part Time or Seasonal Employees:** No compensation.

## **Immigration law Compliance**

AbleNet employs only United States citizens and those non-U.S. citizens authorized to work in the United States in compliance with the Immigration Reform and Control Act of 1986.

Each new employee, as a condition of employment, must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility. Former employees who are rehired must also complete the form if they have not completed an I-9 with AbleNet within the

past three years or if their previous I-9 is no longer retained or valid. If an individual cannot verify his/her right to work within three days of hire AbleNet must terminate employment.

## **Outside Employment**

Employees are encouraged to devote their full working time and attention to AbleNet. Outside employment that constitutes a conflict with the Organization's interests is prohibited. Employees who desire to hold outside jobs should discuss their interest with their Manager in order to avoid creating a potential conflict of interest with an employee's responsibilities and duties at the Organization. Employees who hold outside jobs will be subject to the same performance standards and scheduling demands regardless of any existing outside work requirements.

## **Direct Deposit**

Your bi-weekly pay check will be deposited directly to your checking, savings or a combination of both. You can go to <https://workforcenow.adp.com> to check your payroll information and update your banking information. Note that it is essential that you check your deductions periodically to be sure they are correct. Particularly monitor any changes you have requested such as a change in exemptions.

## **Recruitment and Selection**

### **Job Assignments**

Although you were hired for a specific position at AbleNet, you will receive training and learn skills that may qualify you to assume additional or different duties. As business needs change you may be called upon to fulfill a different position or take on additional duties. Employees are expected to accept work direction and alternate job assignments as required meeting the changing needs of a growing organization.

### **Posting Inside**

All AbleNet employees have the right to apply for any job opening offered by AbleNet. Managers are charged to hire the applicant who will best meet the goals and objectives of the position.

### **Procedure**

Job openings will be posted on the employee bulletin board. The posting will include job title, responsibilities, competencies and the manager who will be responsible to fill the new position. Interested employees must follow the same application procedures as an applicant from outside the company. This includes completing an application and going through the interview process. Applications are available from the Controller.

### **Advertising Outside**

It is company policy to advertise job openings outside the company, in conjunction with our internal posting, in the following places:

- Local and regional newspapers
- Minnesota Job Service
- Several local ethnic organization bulletin boards

## **Orientation Process**

A new employee must have information about AbleNet (its operations and beliefs) to allow them to become empowered and active participants within the company. Therefore, every effort will be made to provide comprehensive training throughout each employee's work life at AbleNet. Orientation is the kick-off of that training commitment. Orientation will take place in the first 30 days of employment. Every effort will be made to arrange and coordinate the process in a logical and meaningful way for each new employee.

## **Employment References**

All employment references shall be provided by the controller. Job references for past employees will include the following information ONLY:

1. Confirmation of dates of employment.
2. Confirmation of position at time of termination.

AbleNet will not provide any further reference about the former employee.

## **Access to Personnel Records**

The Organization maintains the confidentiality of the personnel records of employees. Only those with direct need-to-know status are allowed access to individual personnel records. Access will normally be limited to the Controller or CEO.

In the state of Minnesota, employees have various legal rights and remedies related to the contents of their personnel files. As an employee these rights extend to you and include:

- the opportunity to review the contents of your personnel file, upon written request to the Controller, once every six months as an active employee and once each year after termination of your employment for as long as the record(s) are maintained. Requests will be honored within five (5) business days,
- the opportunity to receive a copy of the contents of your personnel file, upon written request to the Controller and,
- the opportunity for you to dispute information that is contained in your file and request that the information be removed. If we do not agree with your request to have the information removed, you have the opportunity to include a statement that outlines your position.

The Organization also has obligations associated with this law and may not:

- use information from your personnel file that was intentionally omitted during your review in a civil or administrative proceeding and,
- retaliate against you for exercising your rights with respect to your personnel file.
- The Minnesota Department of Labor and Industry enforces this law. If it is determined that the Organization has not acted in good faith in complying with the provisions of this law, various remedies for violations and retaliation may be available to you.

### ***Section 03: Employee development and performance***

Attracting, retaining and developing an exceptional and committed staff are essential to the corporation's success. Role clarity, clear goals and performance expectations, and providing the tools and development opportunities for staff to be successful are of great importance. Through a combination of structure (job descriptions, performance reviews, annual goals) and ongoing communications (all staff meetings, team meetings, informal communications and feedback) we will position both our managers and staff for success. Key aspects of the formal staff development and performance management programs follow.

#### **Performance and Competency Reviews**

See the Controller for Performance Management System manual. Your performance is important to our corporation. At least once each year, on or about April 1st, you and your supervisor will review your performance within AbleNet based on a set of goals previously agreed upon by you and your supervisor. Your supervisor may conduct performance appraisals/competency reviews as necessary. Our performance management system is designed to provide a basis for better understanding between you and your supervisor, with respect to your job performance, potential and development within the corporation. New employees will be reviewed at the end of their introductory period.

#### **Disciplinary Process**

Each employee has an obligation to observe and follow the corporation's policies and to maintain proper standards of conduct at all times. If an individual's behavior interferes with the orderly and efficient operation of a department, corrective disciplinary measures will be taken. Disciplinary action may include a verbal warning, written warning, suspension without pay and discharge. The appropriate disciplinary action imposed will be determined by the corporation. The corporation does not guarantee that one form of action will necessarily precede another.

The following misconduct may result in discipline up to and including discharge: flagrant misconduct, violation of the corporation's policies or safety rules, insubordination, poor attendance, poor performance, theft or dishonesty, physical harassment, sexual harassment or disrespect toward fellow employees, visitors or other members of the public. These examples are not all inclusive. We emphasize that discharge decisions will be based on an assessment of all relevant factors.

#### **Employee Education Allowance**

AbleNet allots \$250.00 per full time regular employee per fiscal year for continuing education. This allotment must be used to achieve personal and professional growth that will directly improve efficiency at AbleNet. Development goals are set together with the employee and the immediate supervisor based on individual employee goals.

Full-time regular employees are eligible to participate in this program upon completion of their introductory period. For new employees, the dollar amount is prorated on the fiscal year based upon completion of your introductory period. Assistance must be made and approval received prior to registration for the course or the purchase of educational materials.

#### **Annual Employee Education Program**

AbleNet has created an annual educational calendar that includes a variety of methods of education. These can include audiovisual presentations, teleconferences, workbooks with post-tests, on-line



educational programs, live in-service presentations by staff and outside speakers/experts or participation in workshops and conferences

AbleNet provides at least six (6) hours of education annually, which, at a minimum, include OSHA, blood borne pathogens and infection control practices, fire and electrical safety, HIPAA and all new products or services AbleNet begins to provide

AbleNet periodically reviews any state or payer requirement for educational programs, and updates its program to include any additional topics. Any requirements staff members have for continuing education for licensure or certification are not included in this requirement.

### **Annual Employee Education and Corporate Event Calendar**

#### January

- Bi-weekly office safety tips email
- Corporate monthly meeting
- Review AbleNet's policies (AWAIR, OSHA policies (Blood borne Pathogens, HIPAA, etc.) with employees and remind them where they can locate polices manual.

#### February

- Bi-weekly office safety tips email
- Corporate monthly meeting
- New Product Training

#### March

- Bi-weekly office safety tips email
- Corporate monthly meeting

#### April

- Bi-weekly office safety tips email
- Corporate monthly meeting

#### May

- Bi-weekly office safety tips email
- Corporate monthly meeting
- New Product Training

#### June

- Bi-weekly office safety tips email
- Corporate monthly meeting

#### July

- Bi-weekly office safety tips email
- Corporate monthly meeting
- New Product Training
- Evacuation drill

#### August

- Bi-weekly office safety tips email
- Corporate monthly meeting
- Corporate picnic

#### September

- Bi-weekly office safety tips email
- Corporate monthly meeting

- New Product Training

October

- Bi-weekly office safety tips email
- Corporate monthly meeting
- Employee benefits and 401k review
- Employee compliance policy training

November

- Bi-weekly office safety tips email
- Corporate monthly meeting
- New Product Training

December

- Bi-weekly office safety tips email
- Corporate monthly meeting
- Corporate X'mas lunch party

\*Schedule is subject to the change if necessary.

## ***Section 04: Termination***

Should you decide to leave your employment with us, we ask that you provide your supervisor with at least two weeks advance notice. All materials belonging to AbleNet will be returned to your manager on your last day of work. Be sure to notify the corporation if your address changes during the calendar year in which termination occurs so that your tax information will be sent to the proper address.

### **Voluntary Resignation**

- All employees choosing voluntary resignation are requested to provide a minimum of two weeks working written notice of their effective date of termination. PTO will be forfeited if the employee provides less than two weeks working notice.
- In the event the Organization decides it is in its best interest, it may release the employee before the end of the two-week working notice.

### **Involuntary termination**

- Employees involuntarily released from employment will generally leave the premises on the day of the release.
- Accrued PTO is paid out to all employees under performance release situations.
- Immediate Termination – Behaviors that create a disruption, impair staff morale or the normal conduct of business at the organization may result in immediate termination of employment. These actions include, but are not limited to:
  - Reporting to work under the influence of drugs or alcohol,
  - Willfully or maliciously damaging organizational property or reputation,
  - Failing to maintain confidentiality of organizational information,
  - Failing to perform assigned duties,
  - Disregard of correctional measures.

### **Reductions in Force**

In trying economic circumstances and/or challenges related to meeting budget, the Organization may make the difficult decision to release employees from employment. Affected employees shall receive payout of all accrued PTO and two weeks of fulltime pay or the pro-rated equivalent for part-time regular employees. Released employees will generally leave the premises on the day of the release and will receive information on employee rights, privileges and benefits to which s/he is entitled and the procedure to follow in obtaining these benefits, such as medical and dental benefits through COBRA.

### **Exit Interview**

It is AbleNet's desire to give exiting employees a safe place to reflect on their experiences as an AbleNet employee and provide an avenue to suggest change. Exit interviews will be held with the Controller. Information designated confidential by the employee will be held confidential to all but Senior Management.

## ***Section 05: Benefits***

Regular full-time and regular part-time employees are eligible for benefits. The availability and level of benefits are based upon the employee's number of regularly scheduled work hours. Benefits may require a waiting period and a minimum number of hours worked each week. Some benefits, such as paid time off, are prorated for part-time regular employees. The following schedule outlines general benefits eligibility. Should there be any discrepancy between handbook descriptions and plan documents, the plan documents shall govern. Temporary and part-time employees are not eligible for any benefit programs.

### **Benefits Eligibility Summary**

<b>Benefit</b>	<b>Eligibility</b>	<b>Entry Date</b>
Medical insurance	Full-Time Employee and regular part-time employee who work at least 20 hour per week	1 <sup>st</sup> of the month following 30 days of employment
Dental insurance	Full-Time Employee and regular part-time employee who work at least 20 hour per week	1 <sup>st</sup> of the month following 30 days of employment
Employee Stock Ownership Plan	Full-Time Employee and part-time regular employee with minimum 1000 working hours a year	Enter plan on April or October 1 following one year of employment
401(k) and Trust Agreement	All Employee	1 <sup>st</sup> of the month following 3 months of employment
Life Insurance	Full-Time Employee and regular part-time employee who work at least 20 hour per week	1 <sup>st</sup> of the month following 30 days of employment
Short Term Disability	Full-Time Employee and regular part-time employee who work at least 20 hour per week	1 <sup>st</sup> of the month following one year of employment
Long Term Disability	Full-Time Employee and regular part-time employee who work at least 20 hour per week	1 <sup>st</sup> of the month following 30 days of employment

Long Term Care	Full-Time Employee and regular part-time employee who work at least 20 hour per week	1 <sup>st</sup> of the month following 30 days of employment
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**COBRA**

On April 7, 1986, a Federal law was enacted (Public Law 99-272, Title X) requiring that most employers sponsoring group medical/dental plans\* offer employees and their families the opportunity for temporary extension of medical/dental coverage\* (called "continuation coverage") at group rates in certain instances where coverage under the plan would otherwise end. This notice is intended to inform you, in summary fashion, of your rights and obligations under the continuation coverage provisions of the law. As an employee of this company, you have the right to choose this continuation coverage if you lose your group medical/dental coverage\* because of a reduction in your hours of employment or the termination of your employment (for any reason other than gross misconduct on your part). If you are the spouse or dependent child of an employee, you have the right to choose continuation coverage under the company's group medical/dental insurance plan\* under certain qualifying events. Under the law, the employee or family member (to include divorced spouse or dependent child) has the responsibility to inform the company's plan administrator of a divorce, legal separation or a child losing dependent status under the company's group medical/dental plan

The company has the responsibility to notify the plan administrator of the employee's death, termination of employment or reduction in hours, or Medicare entitlement. When the plan administrator is notified that one of these events has happened, the plan administrator will in turn notify you that you have the right to choose continuation coverage. Under the law, you have at least 60 days from the date you would lose coverage because of the events described above to inform the plan administrator that you want continuation coverage. If you do not choose continuation coverage, your group medical/dental insurance\* coverage will end. If you choose continuation coverage, our company is required to give you coverage which, as of the time coverage being provided, is identical to the coverage provided under the plan to similarly situated employees or family members. The law requires that you be afforded the opportunity to maintain continuation coverage for 36 months unless you lost group medical/dental coverage\* because of termination of employment or reduction in hours. In that case, the required continuation coverage period is 18 months. However, the law also provides that your continuation coverage may be cut short for other reasons. Under the law, you may have to pay part or the entire premium for your continuous coverage. The law also says that, at the end of the 18-month or 36-month continuation coverage period, you must be allowed to enroll in an individual conversion medical plan provided under the company medical insurance plan. (This does not apply to dental insurance plans.) Additional information regarding coverage and cost as well as a complete copy of the COBRA law may be obtained from the director of finance and administration.

**Medical Insurance**

**Full-time and part-time regular employees** may participate in our current group medical insurance plan. Coverage is optional and begins on the first day of the next calendar month following 30 days of employment.

Full-time and part-time regular employees may enroll in either a single or family contract the first of the month following 30 days employment. Information and enrollment forms may be obtained from the Controller. To assist you with the cost of this insurance the company contributes a portion of the premium

cost for full-time and part-time regular employees. You are responsible for paying the balance through payroll deduction.

## **Dental Insurance**

**Full-time and part-time regular employees** may participate in our current group dental insurance plan. Coverage is optional and begins on the first day of the next calendar month following 30 days of employment. All full-time and part-time regular employees may enroll in a single, single + one, or three or more contract. You are responsible for paying the balance through payroll deduction.

## **Employee Stock Ownership Plan (ESOP)**

**ESOP Eligibility and Participation Requirement:** AbleNet, Inc. currently has an Employee Stock Ownership Plan (ESOP) to enable its eligible employees to acquire a proprietary interest in the capital stock of the company. AbleNet desires to recognize the contribution made by its employees and to reward such contribution by means of an Employee Stock Ownership Plan. As an employee of AbleNet, you are eligible to participate in the plan if you are full time or part time regular employee and after you have met certain eligibility and participation requirements. The eligibility requirement is that you must complete one (1) year of service in which you actually work a minimum of 1000 hours.

Once you have satisfied the Plan's eligibility requirement, your next step will be to actually become a member or a "participant" in the Plan. You will become a participant on one of two entry dates; April 1 or October 1, whichever occurs first after you become eligible. Upon your eligibility to participate, you will receive a copy of the Summary Plan Description. The Summary Plan description explains your benefits under the plan in more detail. In the meantime, you are welcome to review the office copy of the Summary Plan Description and ask any questions you may have. Please note: in the event of any discrepancy between the description and the actual provisions of the Plan (the legal document), the Plan will govern.

## **401(k) and Trust Agreement**

AbleNet Inc. adopted the "AbleNet Inc. 401(k) and Trust Agreement" effective January 1, 1995 for eligible employees. This is an optional "salary reduction plan" developed as a benefit to employees for long and loyal service by providing them with retirement benefits. As an employee of AbleNet, you are eligible to participate in the plan if you are AbleNet employee. Optional participation may begin on the first day of the next calendar month after completing three months of service. Participation requires the completion of an election online at [www.netbenefit.com](http://www.netbenefit.com). You will be given a copy of the Summary Plan Description at that time. You are welcome to review the office copy of the plan description and ask any questions you may have prior to becoming a participant.

Please Note: In the event of any discrepancy between the description and the actual provisions of the Plan (the legal document), the Plan will govern.

## **Life Insurance**

AbleNet provides company paid life insurance equal to one time your annual salary to a maximum of \$200,000 for all full-time and part-time regular employees. Coverage begins on the first day of the next calendar month following 30 days of employment.

## **Short Term Disability**

Full-time and part-time regular employees are eligible for a paid short-term disability leave after completing one year of service. This leave is designed to provide income for you when you are absent from work for

more than 40 hours due to non-occupational illness, injury, or pregnancy-related disability. Disability is defined as a condition preventing an employee from working. A doctor's statement in writing, stating the number of work days needed to recover, is required in order to receive benefits. The benefit begins after 40 hours for each claim. In other words, the employee is responsible for the first 40 hours either by using PTO or time without pay.

**Accrual Schedule:**

Short term disability leave is calculated according to your AbleNet anniversary date as follows:

You will accrue short term disability days (pro rata for part-time regular employees) at the end of each year according to the following chart:

Years of Service	Annual maximum
1	40 hours
2	48 hours
3	56 hours
4	64 hours
5	72 hours
6	80 hours

All subsequent years: 10 days per year as needed to maintain a maximum level of 60 working days of disability. If short term disability days are used depleting the full 60 days, an employee can accrue additional days up to the maximum of 60 days at the rate of 10 days per year after year 6. Your total accrued short-term disability will accumulate up to 60 working days. After three consecutive months employees are eligible for long term disability, according to the benefits of our disability contract.

**Long Term Disability**

Long term disability insurance coverage is an important part of your benefit program. Coverage starts on the first day of the next calendar month following 30 days of employment. Long term disability insurance is intended to provide eligible employees with a continuing source of income after 3 consecutive months of disability. The benefits are calculated as defined in the insurance policy. The cost of this insurance is fully paid by the corporation. This is intended as a summary of benefits only. Additional information may be obtained from the Controller.

**Long Term Care**

AbleNet funds a monthly facility benefit of \$2,000.00 for three years for each full-time and part-time regular employee. Coverage starts on the first day of the next calendar month following 30 days of employment. Employee is responsible for any insurance premium for coverage over and beyond that amount.

**Social Security**

Social Security is more than a paycheck deduction. It offers financial security for you and your dependents. Although this is a federally established program, it is your contributions, and ours, that pay for this benefit. Both you and our corporation contribute to provide you with monthly checks and medical coverage once you reach retirement age. These funds are then forwarded to the federal government to support the Social Security Program.

## **Workers' Compensation**

On-the-job injuries are covered by our Worker's Compensation Insurance Policy provided at no cost to you. If you are injured on the job, no matter how slightly, report the incident immediately to your supervisor. We ask for your assistance in alerting management to any condition which could lead or contribute to an employee accident or injury.

**CALL 911 IN AN EMERGENCY**

**or**

**Urgent care:** Go to the nearest participating primary care medical clinic provider listed below:

**ABBOT-NORTHWESTERN HOSPITAL**

800 East 28th Street  
Minneapolis, MN 55407 863-4000

**UNITED HOSPITAL**

333 North Smith Avenue  
St. Paul, MN 55102 220-8000

**ROSEDALE MEDICAL CENTER**

2393 Fairview Avenue  
Roseville, MN 55113 785-4300

**NOW CARE MEDICAL CENTER**

2480 Fairview Avenue North  
Roseville, MN 55112 635-0054  
Hours Mon thru Fri 8:00 a.m. to 9:00 p.m.  
Sat & Sun 8:00 a.m. to 5:00 p.m.  
Holiday hours - call



## ***Section 06: Time Away from Work***

### **Paid Time Off**

The company provides time off with pay to be used for vacation, sick leave, and personal time. PTO may also be used for the purposes of safety leave, which is leave to provide or receive assistance because of sexual assault, domestic abuse or stalking (also known as Sick and Safety Time). Full-time and part-time, regular employees are eligible for paid time off.

Paid time off for **exempt** employees is calculated according to their anniversary date as follows:

- Employees receive 5.538 hours of paid time off each full time pay period, up to a maximum of 18 days each year.
- After 5 years, employees receive 7.077 hours of paid time off each full pay period, up to a maximum of 23 days each year.
- After 10 years, employees receive 8.615 hours of paid time off each full pay period, up to a maximum of 28 days each year.
- After 20 years, employees receive 10.154 hours of paid time off each full pay period, up to a maximum of 33 days each year.

Paid time off for **non-exempt** employees is calculated according to their anniversary date as follows:

- Employees receive 4.615 hours of paid time off each full pay period, up to a maximum of 15 days each year.
- After 5 years, employees receive 6.154 hours of paid time off each full pay period, up to a maximum of 20 days each year.
- After 10 years, employees receive 7.692 hours of paid time off each full pay period, up to a maximum of 25 days each year.
- After 20 years, employees receive 9.231 hours of paid time off each full pay period, up to a maximum of 30 days each year.

Accrual begins on your first full pay period (80 hours.) PTO benefits are earned and credited at the end of each full pay period. If your anniversary day or your employment status changes from non-exempt to exempt or from exempt to non-exempt and it falls within a pay period, your new rate takes effect at the beginning of the next full pay period. If your employment terminates prior to the end of a pay period, no PTO benefits are earned for that pay period. No PTO hours will be accrued if employees' total paid hours are less than their regular hours.

Part-time regular employees will receive paid time off in accordance with non-exempt positions, proportionate to the number of hours they normally would be scheduled to work. Requests for paid time off need to be submitted in advance to your supervisor for approval. Without supervisor's approval in advance, it will count toward to your unplanned absence occurrences. If paid time off is requested for illness, you must call your supervisor within one hour of your scheduled start time. When possible, paid time off periods will be assigned in accordance with employee requests, taking operating requirements into account. PTO can be taken increments of .25 hours or greater. Your PTO balance appears on your paystub every payday.

PTO balances cannot be negative and paid time off must be used before unpaid time is granted. You cannot take pay for unused PTO while employed.

The maximum amount of PTO you can accumulate is one and a half times your annual allotment. No additional time may be accrued until a portion of the balance is used. MAXIMUM amounts are as follows:

Exempt Employees working 80 hours per pay period			
Years of Service	Hours earned per pay period	Maximum balance (hours)	Maximum balance (days)
1 – 5	5.54	216.00	27.00
5 – 10	7.08	276.00	34.50
10 – 20	8.62	336.00	42.00
20 +	10.15	396.00	49.50
Non-exempt Employees working 80 hours per pay period			
Years of Service	Hours earned per pay period	Maximum balance (hours)	Maximum balance (days)
1 – 5	4.62	180.00	22.50
5 – 10	6.2	240.00	30.00
10 – 20	7.7	300.00	37.50
20 +	9.2	360.00	45.00
Non-exempt Employees working 60 hours per pay period			
Years of Service	Hours earned per pay period	Maximum balance (hours)	Maximum balance (days)
1 – 5	3.46	135.00	16.88
5 – 10	4.62	180.00	22.50
10 – 20	5.767	225.00	28.13
20 +	6.92	270.00	33.75

### **Unplanned absence discipline policy**

Every AbleNet employee is needed for us to be a successful organization. We do allow for planned time off and accommodate for unplanned or unscheduled time off as well. Unplanned or unscheduled time off are requests that are made to a supervisor on the same day of the requested time off.

It is AbleNet’s policy that staff request time off and receive an approval for the time prior to the requested day. However, we do understand that employees need to request unplanned time off from time to time. We see unplanned time off requests as infrequent. If a supervisor feels that a staff member is requesting, frequently, unplanned or unscheduled time off, he or she will follow the corrective actions below to address the situation.

- Verbal warning upon 4-unplanned or unscheduled occurrences
- Written warning upon 6-unplanned or unscheduled occurrences
- Final warning or suspension upon 8-unplanned or unscheduled occurrences
- Termination of employment upon 10-unplanned or unscheduled occurrences
- Employees will be subject to immediate corrective action for a pattern of unplanned or unscheduled absences

- Employees will be subject to immediate corrective action for no call/show. Two or more workdays of no call/show may be considered job abandonment and result in termination of employment

## Holidays

- New Year's Day
- Memorial Day
- July 4 Independence Day
- Labor Day
- Thursday & Friday Thanksgiving Holidays
- Christmas Holiday
- Floating holiday – employees can choose a floating holiday annually. The floating holiday hours can only be used once and in the same fiscal year.

If one of the above holidays falls on Saturday, it normally will be observed on the preceding Friday; if one falls on Sunday, it normally will be observed on the following Monday.

If there are other religious or cultural holidays that are personally important to you, every effort will be made to grant the time off. In these situations, employees may use paid time off or choose to go unpaid.

**Full-time and part-time regular** employees are eligible for paid holidays immediately upon hire.

**Part time regular** employees are eligible for holiday pay prorated based upon their overall work schedule, with 40 hours being the standard (20 hours per week equals 50%, 30 hours per week equals 75%, etc.)

## School Conferences

Employees are entitled to attend school conferences or classroom activities related to the employee's child that cannot be scheduled during non-working hours, up to a maximum of 16 hours during any school year. Such leave will be provided without pay. Employees may use any accrued vacation or other leave time available for such leave purposes.

## Time off to Vote

On election days, if you will be stopping to vote in the morning on your way to work, please arrange your schedule with your supervisor so your absence (without wage deduction) is understood and that any essential job responsibilities can be covered.

## Military Leave

Employees who are required to serve in any branch of the Armed Forces of the United States will be given the necessary time off. Full-time and part-time regular employees will be paid the difference between their normal rate of pay and their military pay for up to two weeks.

## Bereavement

Full-time and part-time regular employees will receive a paid leave of five days for the death of an immediate family member. Members of the immediate family include spouses, parents and children. Full-time and part-time regular employees may take a paid leave of three days to attend the funeral of brothers, sisters, parents-in-law, brothers-in-law and sisters-in-law. Full-time and part-time regular employees may take one paid day to attend the funeral of aunts, uncles, nieces, nephews and grandparents. Part-time, regular employees receive bereavement pay in proportion to the number of

hours they normally are scheduled to work.

## **Nursing Mothers**

AbleNet complies with state law allowing employees who need to express breast milk for infant children reasonable unpaid break time. If possible, the employee's break time will run concurrently with any other break time already provided to the employee. AbleNet will make reasonable efforts to provide a room or other location for the employee to express her milk in privacy.

## **Jury Duty**

Full-time and part-time regular employees who are summoned for jury duty will be paid their normal rate of pay and the jury duty pay for a period of up to two weeks. Employees should endorse the jury duty checks over to the corporation with a copy of the payment records from the court upon completion of jury duty. Should you have to serve more than two weeks on duty, you may take unpaid time off (applies to non-exempt employees only). You should make arrangements with your supervisor as soon as receiving your summons. In fairness to our corporation, you are expected to return to your job if you are excused from jury duty during your regular work hours.

## **Parenting Leave**

The Organization provides 12 weeks unpaid time for the birth, foster placement or adoption of a child in accordance with Minnesota law. Female employees may also use this time for prenatal care.

To be eligible for leave, the employee must:

- Has worked at least 12 months (with or without breaks in employment)
- Has worked at least half time during the preceding 12 months

Those eligible employees taking maternity leave may apply for disability pay according to the corporation's short-term disability insurance policy. Employees requesting family leave must use any unused PTO during the second six weeks of the leave.

## **Other Leaves of Absence**

Under special circumstances, an employee may be granted a leave of absence without pay. The granting of this type of leave is normally for compelling reasons and is dependent upon the written approval of one of the officers of the corporation. Though the company cannot guarantee to return you to work, we will make reasonable efforts to return you to the same or similar job as held prior to the leave of absence, subject to our staffing and business requirements.

## ***Section 07: Working Policies and Procedures***

### **Attendance and Punctuality**

Attendance and punctuality are important factors for your success within our corporation. We work as a team, and this requires that each person be in the right place at the right time. If you are going to be late for work or absent, you must notify your supervisor (or appropriate person) as soon as possible but within one hour of the start of your workday. If you leave early the same applies. If you are absent for two days without notifying the corporation, it is assumed that you have voluntarily abandoned your position with the corporation, and your employment status will be terminated.

### **Harassment, Discrimination and Offensive Behavior Policy**

AbleNet is committed to ensuring that all individuals can work in an environment that is free of harassing, discriminatory or offensive behavior, and promotes equal opportunities and respect for all. This is consistent with our basic belief in respect for the dignity of the individual. Harassment based on race, color, creed, religion, national origin, sex, mental or physical disability, age, sexual orientation, marital status, familial status, public assistance, or any other class protected under applicable state or federal law will not be tolerated. Harassment by any employee or non-employee will not be tolerated. All employees and non-employees alike will be expected to comply with this policy and take appropriate measures to ensure that such conduct does not occur.

Sexual Harassment is defined as follows:

- Unwelcome or unwanted sexual advances, requests for sexual favors, sexually motivated physical contact or other verbal or physical conduct or communication of a sexual nature when:
- Submission to the undesirable conduct or communication is made a term or condition either explicitly or implicitly, of an individual's employment; or
- Submission to or rejection of that conduct or communication is made by an individual is used as a factor in decisions effecting that individual's employment; or
- The conduct or communication has the purpose or effect of substantially interfering with an individual's employment or creates an intimidating, hostile, or offensive work environment.

Sexual harassment may take different forms. One specific form is the demand for sexual favors. Other forms of harassment may include:

- Verbal: Unwelcome sexual innuendoes, suggestive comments, jokes of a sexual nature, sexual propositions, derogatory comments, slurs, and/or threats.
- Visual: Unwelcome sexually suggestive objects or pictures, graphic commentaries, suggestive or insulting sounds, leering, whistling, obscene gestures.
- Written: Sexually suggestive or obscene letters, faxes, email messages, notes, invitations or other electronic forms of communication.
- Physical: Unwelcome physical contact, including touching, pinching, brushing by the body, coerced sexual intercourse, and assault.

We will take all reasonable steps to ensure that all employees and anyone who has contact with our staff follow our policy prohibiting unlawful and sexual harassment.

### **Other forms of harassment**

Harassment can be based on factors other than gender and are also illegal if such actions result in negative consequences or differences in someone's position, pay, etc. in the workplace. It is illegal to treat someone differently (worse) if they are in a protected class as specified under Title VII of the U.S. Civil Rights Act of 1964 or relevant state laws, such as the Minnesota Human Rights Act. These protected classes include race, color, creed, religion, national origin, gender, sexual orientation, marital status, familial status, status with regard to public assistance, disability, sexual orientation, age or any other class protected under applicable state or federal law.

Treating someone differently because of something he or she cannot change (race, national origin, etc.) may be considered a form of harassment called "hostile environment" and will not be tolerated. Examples of hostile environment harassment include, but are not limited to repeated comments, jokes, emails, postings, etc. about a given protected class.

### **Reporting Discrimination or Unlawful Harassment**

Allegations of discrimination or unlawful harassment are taken very seriously. If you become aware of discrimination or unlawful harassment, you should immediately report that conduct to your supervisor, the Controller or another member of the management team.

Allegations of harassment can be extremely damaging and disruptive in the workplace. Any good faith report of alleged discrimination or harassment will be promptly and thoroughly investigated. We will attempt to resolve your concerns and keep information confidential to the extent possible.

All employees are expected to fully cooperate with an investigation of a discrimination or harassment concern and maintain the confidentiality of the information. Any employee found to have knowingly or intentionally made a false complaint or found to have knowingly given false information during an investigation will be subject to disciplinary action.

### **Non-Retaliation**

The Organization will not tolerate retaliation against anyone who, in good faith, reports alleged discrimination or harassment. If you make a good faith report of discrimination or harassment, you will not be adversely affected in the terms and conditions of your employment, based on the fact that you made such a report.

If you believe you are experiencing retaliation, you should immediately report that conduct to your supervisor, the Controller or any member of the management team.

Violating the policy against harassment, including failure to report, is grounds for corrective action, which may include termination of your employment.

## **Workplace Disability**

The Organization makes every effort to ensure that qualified individuals with a disability are not discriminated against in any terms, conditions, or privileges of employment. The American with Disabilities Act requires employers to provide reasonable accommodations to qualified individuals with known disabilities in all aspects of employment, unless the accommodation would cause an undue hardship to the Organization.

The Organization is committed to providing equal opportunity to qualified individuals with disabilities. Employees or job applicants in need of accommodation should make a request to Human Resources, and the department will consult with you concerning the type of accommodation you require. To determine the appropriate accommodation, we may need to obtain additional information from your physician or other medical professional. We are committed to providing a reasonable accommodation to such individuals so they can perform the essential functions of a job, unless the accommodation would create undue hardship to The Organization.

## **Accommodations for new and expectant mothers**

AbleNet makes every effort to accommodate female employees for health conditions related to pregnancy and childbirth if requested and upon the advice of her health care provider. Employees are encouraged to talk to their supervisor or the Controller, regarding requested accommodations.

Following the birth of a child, AbleNet will make efforts to provide reasonable, unpaid break times and privacy to nursing mothers.

## **Employee Meetings**

Employee meetings are typically held once per month for a one-hour period. This is a chance to communicate changes in the organization and provide company-wide training.

## **Company Property and Workplace Privacy**

Employees do not have a right to privacy in their workspaces or in any other property belonging to AbleNet. AbleNet reserves the right to monitor and search AbleNet property at any time without warning to ensure compliance with our policies including those that cover employee safety, workplace violence, harassment, theft, drug and alcohol use, and possession of prohibited items. AbleNet property includes but is not limited to lockers, desks, file cabinets, storage areas and work spaces.

## **Intellectual Property and Work Product**

All employees must be aware that the Company retains legal ownership of the product of their work. No work product created while employed by AbleNet can be claimed, construed, or presented as property of the individual, even after employment by AbleNet has been terminated or the relevant project completed. This includes written and electronic documents, audio and video recordings, system code, and also any concepts, ideas, or other intellectual property developed for AbleNet, regardless of whether the intellectual property is actually used by the Company.

Although it is acceptable for an employee to display and/or discuss a portion or the whole of certain work product as an example in certain situations (e.g., on a resume, in a freelancer's meeting with a prospective client), one must bear in mind that information classified as confidential must remain so even after the end

of employment, and that supplying certain other entities with certain types of information may constitute a conflict of interest. In any event, it must always be made clear that work product is the sole and exclusive property of AbleNet. Freelancers and temporary employees must be particularly careful in the course of any work they discuss doing, or actually do, for a competitor of AbleNet.

## **Electronic Communications Systems Use**

The use of a range of electronic communications is essential to the work of the Organization. All employees are responsible for managing risks associated with the use of electronic communications systems. The Organization's policies prohibit employees to engage in any behavior(s) that would violate policies including but not limited to; sending racist messages, sexual innuendoes or inappropriate jokes, or copying or forwarding confidential information or proprietary/business information to unauthorized sources. The following are some examples of prohibited employee activities:

- Viewing, storing or downloading pornographic images or perceived obscene, racist or harassing materials,
- Sending material that is obscene, racist, harassing or otherwise offensive,
- Hacking, including attempts to gain access to restricted data,
- Downloading or forwarding electronic games not installed on the operating system,
- Posting Organizational content on any unapproved sites,
- Using audio or video streaming services or downloading or forwarding digital, audio or video files, unless authorized due to a business need.

## **Social Media Policy**

Please note that discretion should be used when referencing AbleNet on social media sites. Personal references to your role or the Organization should be clearly stated as your own thoughts, not those of the corporation. Content published to official AbleNet internet sites must be approved by the CEO.

Employees are expected to protect the privacy of our employees, clients, and others and are prohibited from disclosing personal employee and non-employee information and any other proprietary and nonpublic information to which employees have access. Such information includes, but is not limited to, client information, confidential business or financial information and business plans.

Ultimately, you are solely responsible for what you post online. Before creating online content, consider some of the risks and rewards that are involved. Keep in mind that any of your conduct that adversely affects your job performance, the performance of fellow employees or otherwise adversely affects clients, suppliers, or AbeNet's legitimate business interests may result in disciplinary action up to and including termination.

### **1. Know and follow the rules**

Carefully read these guidelines, the Electronic Information Systems Policy and the Harassment Prevention Policy, and ensure your postings are consistent with these policies.

### **2. Be Fair and Courteous**

Always be fair and courteous to fellow employees, clients, or people who work on behalf of AbleNet. Avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening, intimidating, disparaging, harassing or bullying.



### **3. Be honest and accurate**

Make sure you are always honest and accurate when posting information or news, and if you make a mistake, correct it quickly. Be open about any previous posts you have altered.

#### **Retaliation is prohibited**

AbleNet prohibits taking negative action against any employee for reporting a possible deviation from this Social Media policy or for cooperating in an investigation. Any employee who retaliates against another employee for reporting a possible deviation from this policy or for cooperating in an investigation will be subject to disciplinary action, up to and including termination.

#### **Media contacts**

All media inquiries are to be directed to the CEO,

#### **Internet Policy**

AbleNet has a Web page at [www.ablenetinc.com](http://www.ablenetinc.com). This site is hosted on an AbleNet server. Because of this, we share our internet line with our customers when they access our page. Therefore, to avoid unnecessary traffic, you should not access the internet for personal use during the hours of 6:00am to 6:00 pm (when customers are most likely to be connecting to our site). In addition, please avoid if possible from using the internet during the noon period (10:30 to 2:30 east coast to west coast) and the middle of the afternoon as this is a peak period for teachers, customers, etc. to be accessing our site. Please avoid large file downloads during this time also. If you are obtaining information like verification

#### **E-Mail Policies**

Your e-mail address is a business account, acquired to meet the needs of our company. It should be used for questions, concerns and business-related information dealing with AbleNet.

Think of e-mail as a short business memo.

1. Communicate in a professional manner.
2. Don't leave the subject line blank.
3. Use a meaningful, specific subject, but keep it short.
4. If your message is very short, AbleNet has adopted the practice of putting the message in the subject line as such: (1) Reminder: Board Meeting 3/16/01 at 12:00 noon.
5. Remember that ALL CAPS is considered SHOUTING! And it is hard to read.
6. When sending graphics and pictures outside of the company, please limit them. They can take a long time to load.
7. Include your full name when sending your e-mail outside of the company. Don't trust that the other person will recognize your e-mail address.

If you are forwarding or replying to a message, check that you have included enough of the original message to keep context. If it was a long message, edit out some of the lines. Be careful of sending attachments. If possible, cut and paste text files directly into your e-mail message. Message attachments can contain viruses and some viruses send their own attachments. To be on the safe side, include in the message a note about the attachment. Junk mail is forbidden, no matter what the topic. This includes virus warnings, chain letters, kitchen cleaning reminders, cookies recipes, lost children notices and other "Spam". E-mail is not confidential. Don't say anything in the e-mail that you would be embarrassed to see broadcast to the world at large. Offensive, harassing or abusive language will not be tolerated.

## **Care of Equipment**

You are expected to use proper care when using the company's property and equipment. No property may be removed from the premises without the proper authorization of management. If you lose, break or damage any property, report it to your supervisor at once.

## **Dress and Decorum**

Dress at AbleNet is considered casual. Proper dress means clean, well-groomed clothing. It is expected that employees will dress to reflect the work they are performing and the people they are meeting with to conduct business. It is AbleNet's wish to be a neutral place where all visitors feel comfortable and trust AbleNet employee's ability to respond to their needs.

## **General Housekeeping Courtesies**

All employees are responsible to maintain a neat and clean environment for everyone to work. Kitchen cleanup is rotated on a weekly basis and the names of those responsible are posted inside a cupboard door in the kitchen. Other housekeeping duties are the responsibility of all employees and are posted on the bulletin board just outside the kitchen. Some general guidelines to follow:

- Place all dirty dishes in the dishwasher. Every attempt is made to keep the dishwasher ready for dirty dishes. If scheduling prevents the kitchen duty person from emptying the clean dishes in a timely manner feel free to do so.
- Wipe up all spills
- Wipe out the microwave if your food splatters on the inside as well.

## **Flowers and Memorials**

Flowers or memorials will be sent where appropriate on behalf of AbleNet employees as follows:  
*(Each department manager will decide to send flower or other memorial gifts.)*

- Funerals: loss of immediate family members: spouse, child, parents, siblings, grandparents
- Birth or Adoption of a Child: Gift or flowers
- Hospitalization: Gift or flowers

## **Surplus Company Property**

First right of refusal will be given to the person who has been using the property unless purchased for a group or department. If the user has no interest, the property will be auctioned off with a silent auction. If there is no interest in the property it will be donated to a worthy cause.

## **Personal Relationships**

An employee who is involved in a personal relationship with another employee may not work directly for or supervise the employee with whom he or she is involved. Personal relationship is defined as a relationship between individuals who have or have had a continuing relationship of a romantic or intimate nature. The corporation reserves the right to take prompt action if an actual or potential conflict of interest arises concerning individuals who occupy positions at any level in the same line of authority that may affect employment decisions. Supervisors are prohibited from dating subordinates and may be disciplined for such actions, up to and including termination.

When a conflict or the potential for conflict arises because of a personal relationship between employees, even if there is no line of authority or reporting involved, the employees may be separated by reassignment

or terminated from employment. If such personal relationship is established after employment, it is the responsibility and obligation of the employees involved to disclose the existence of the relationship to the Controller or Lead Team member. When a conflict or a potential for conflict arises because of the relationship affecting employment, the individuals concerned will be given the opportunity to decide who is to be transferred to another position or terminated if no position is available. If the decision is not made within 30 calendar days, management will decide who is to be transferred or, if necessary, terminated from employment.

## **Conflict of Interest**

All employees and members of the Board of Directors observe laws and regulations regarding business transactions, engage in fair competition, and use Company funds only for ethical and legitimate purposes. Employees do not allow any outside obligations, whether financial or personal, to affect their judgment in acting on behalf of the Company

The purpose of the conflict of interest policy is to protect the corporation's interest when contemplating entering into a transaction or arrangement that might benefit the private interest of an employee. Employees should avoid the perception of any conflicts of interest and disclose any potential conflicts of interest to the Controller immediately.

The following are some examples of potential conflicts of interest:

- Accepting money or gifts in exchange for services provided.
- Serving on a competitor's governing board.
- Disclosing proprietary company information (e.g., trade secrets, financial data) to a competitor, or using such information for personal gain.
- Holding a direct or indirect interest in a competing firm, or a firm with which the company does business.
- Accepting money or other favors from an outside person or group that could influence an employee's judgment in making decisions for the company.
- Serving as a consultant to, or an employee of, another organization that is a competitor or provides similar services.
- An ownership or investment interest in any entity with which the Organization has a transaction or arrangement.
- A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Organization is negotiating a transaction or arrangement.

If an employee or Board member encounters a potential conflict of interest, he/she immediately informs his/her supervisor or chairperson and completes a conflict of interest disclosure statement. When a conflict of interest is identified, management will determine if the conflict prohibits the individual from completing their assigned duties and will make any decision needed accordingly.

All employees have a duty to disclose items (above) or other potential conflicts not named to the Controller and / or CEO. After disclosure of the financial interest and all material facts, and after any discussion with the employee, the Controller and / or CEO shall determine if a conflict of interest exists. If it does exist, the CEO will determine if there is a more advantageous option for the Organization. If there is not, the final decision to enter into the transaction falls within the CEO's decision-making authority. S/he shall document the final decision, file it within the financial records for review by the auditor and ensure an annual review of the situation.

Employees who violate the conflict of interest policy shall be disciplined and may be terminated from employment.

### **Solicitation and Distribution**

AbleNet strictly prohibits solicitations by an employee of any another individual during the employee's working time, by or on behalf of any individual, business, organization, club or society. The corporation strictly prohibits distributions by an employee of written materials by or on behalf of any individual, business, organization, club or society to any other individual during the employee's working time and/or in the employee's work area. Persons not employed by the corporation may not solicit or distribute literature on company premises at any time.

## ***Section 08: Safety***

AbleNet is committed to providing employees with a safe and healthful working environment. To achieve this environment the company has established a safety program called AWAIR (A Workplace Accident and Injury Program). This program establishes standards, goals and process for safety at AbleNet. While specific goals may vary year to year, in general our program focuses on the following goals, objectives and tactics:

- Reduce employee accidents and injuries.
- Train employees to develop safe work habits and attitudes.
- Provide open communications between employees and management.

All office locations maintain working smoke detectors, smoke alarms and fire extinguishers in accordance with all local and state fire codes, as well as the National Fire Protection Agency (NFPA) and the Life Safety Code (LSC).

AbleNet performs a comprehensive safety review of all sites. Exit paths, lighting and posted escape routes are operable and posted through all locations. Fire extinguishers are placed in conspicuous areas and are well marked, easily accessible, are currently active and show the date of last inspection and expiration.

Fire drills are conducted annually to assess the staff's ability to clear the area safely and swiftly. Reports of these drills are documented and any deficiencies identified create an action plan for correction.

Safety is everyone's responsibility, and safety procedures specific to your role and position in the company are addressed during orientation, as changes occur and through annual safety meetings. Additionally, a safety committee helps establish annual goals, completes safety inspections and ensures corrective action is taken, when necessary.

Safety can only be achieved through teamwork at AbleNet. Each employee, supervisor and manager must practice safety awareness by thinking defensively, anticipating unsafe situations and reporting unsafe conditions immediately. Please observe the following precautions:

- Notify your supervisor of any emergency situation. If you are injured or become sick at work, no matter how slightly, you must inform your supervisor immediately.
- Use, adjust and repair machines and equipment only if you are trained and qualified.
- Get help when lifting or pushing heavy objects.
- Understand your job fully and follow instructions. If you are not sure of the safe procedure, don't guess...ask your supervisor.
- Know the locations, contents and use of first aid and fire-fighting equipment.
- Safety glasses must be worn when operating all power equipment.
- A violation of safety precaution is in itself an unsafe act. A violation may lead to disciplinary action, up to and including termination.

### **Evacuations and Storm Warnings**

In the event that a plant evacuation becomes necessary an announcement will be made over the public announce system. All employees who are not emergency responders need to exit the building immediately and proceed to the parking lot in front of our building for a head count. Each Supervisor will

make sure all of their employees are accounted for. No employee is allowed to leave until they have been given permission to either return to work or to go home for the day.

Severe weather warnings will be announced through the public announce system and employees will be instructed to take shelter appropriate to the situation. When the warning has passed, an announcement will be made to return to your work station.

In the event of a major physical disruption, standard emergency procedures must be followed. Employees should:

- Activate the standard alarm procedures for the building to ensure that medical, security and safety departments and emergency authorities are correctly alerted.
- If necessary, evacuate the premises following the evacuation procedures and assemble outside at the designated location, if it is safe to do so.
- Each department manager will contact employees via telephone to inform them of a disaster that occurs during non-business hours. Employees will be given instructions at that time as to whether to report to the office.
- If for any reason an employee cannot make it to the office due to the disaster, their duties will be covered by the department manager or a co-worker.

In an emergency, an employee's primary objective is his/her safety. Employees have been advised to do the following in an emergency:

- Don't panic. Remain calm and listen to instructions.
- If there is a fire and it is small, put it out using the nearest fire extinguisher.
- Don't open hot doors. Before opening any door, touch it near the top to see if it is hot.
- Don't break windows in a fire; oxygen feeds fires.
- Evacuate the area when instructed, using the assigned exit. If the assigned exit is not usable, take the nearest exit or stairs. Do not use the elevators.
- Don't light a cigarette or matches.
- Don't spread rumors.
- Avoid using the telephone unless informed to do so.
- Relocate immediately when directed. Don't waste time taking personal items.
- Immediately report to the appropriate supervisor any condition, person, or object in need of attention

- Do not leave the relocation area or return to the building until instructed to do so by the communications system and/or the fire department.
- Do not attempt to salvage items as this could cause a delay and result in an injury to yourself or others.

## **Emergency Action Plan**

As required by OSHA, the following Emergency Action Plan has been developed to ensure employee safety from fire or other emergency situations that we reasonably expect in our workplace. The primary objective of AbleNet's Emergency Action Plan is to have all employees know how to exit to safety, alert fellow employees and notify the appropriate emergency resource agency.

The Emergency Action Plan includes the following elements: emergency escape procedures, procedures to account for all employees after an emergency evacuation, rescue and medical duties for those employees who are to perform them and preferred method for reporting emergencies

### **Emergency Escape Procedures**

To maximize the effectiveness of an Emergency Action Plan, employees must be familiar with the rules and procedures and how those rules and procedures are put into practice. In addition to training the employees on these processes, staged practice drills on simulated emergencies are performed periodically, occurring at least once each year. Practice drills should be performed at least once each year with the assumption that the more practice employees have, the more likely they will perform safely and effectively in a real emergency.

### **Specific Escape Procedures:**

In the event of an emergency or if the alarm sounds for evacuation of the building, remain calm, walk to the nearest exit, and leave the building immediately. After leaving the building, proceed to the front of the building and meet at (i.e. designated meeting location). Do not leave the area, do not return to the building, and follow your supervisor's instructions.

### **Assigned Employee Responsibilities**

In the event of an emergency evacuation there are no office processes which would require continued operation. All employees are expected to leave the facility immediately when an evacuation order is announced.

### **Accounting for all Employees**

In the event of an evacuation, all employees are instructed to evacuate the facility and meet at a designated meeting location. Each department manager will account for their workers. In the event that a worker is absent, the manager may (at his/her discretion) sweep the area for the missing employee. Employees must not leave the area until instructed to do so by the manager.

### **Rescue and Medical Duties**

Specific employees have been trained in CRP and certified according to the qualified training. Those staff are available to perform rescue or medical duties that apply in a given situation. The identified AbleNet staff will have training according to the certification and renewal cycle. However, the trained staff is not obligated to perform rescue or medical duties but will use his or her best judgment given a particular situation.

### **Explosion & Random Acts of Violence**

Should an explosion or random act of violence occur, consider the following:

- Since one event can be followed by another, stay alert. There may be more danger yet to come.
- For protection, consider crawling under a table or desk and remain there for at least 60 seconds.
- Stay away from windows, mirrors, overhead fixtures, filing cabinets, bookcases, and electrical equipment.
- If evacuation is ordered, alert visitors and staff to leave the premise. Make sure all people, including staff and any visitors, are accounted for. Don't forget individuals with special needs who may need your help in exiting. Do not move seriously injured persons unless they are in obvious, immediate danger (building collapse, fire, etc.) Avoid known problem areas (where there are gas lines, fire hazard areas, etc.) Once out, keep as far away from the building as possible.
- Open doors carefully. Watch for falling objects.
- Do not use matches or lighters. Sparks might trigger explosions.
- Avoid using telephones and cellphones. Again, electrical sparks, or signals could trigger other bombs

### **Water Damage**

Burst pipes, leaks, storm damage, clogged drains, etc., should be handled as follows:

- Notify the proper authorities/response personnel.
- If there are electrical appliances or electrical outlets near the leak, use extreme caution until the power is turned off. If there is any possible danger, evacuate the area.
- If you know the source of the water and are confident of your ability to stop it (unclog the drain, turn off the water, etc.) do so cautiously.
- Be prepared to help protect materials in jeopardy. Take only those steps needed to avoid or reduce immediate water damage. You can cover large objects with plastic sheeting, and/or carefully move small or light objects out of the emergency area if confident that you can move them safely.

### **Chemical Spills and Fire**



If a chemical spill occurs:

- If toxic chemicals come in contact with your skin, remove affected clothing and immediately flush the affected area with clear water. The best way to wash off in our building is to use the sink located in the employee bathroom;
- Notify managers as soon as possible.
- If there is any possible danger, evacuate the area. If the chemical is a potential hazard to the air conditioning and heating system, take the appropriate action to shut down the system by contacting the building superintendent.

### **Phone Threat, Mail Threat, Suspicious Object**

If you receive a telephone threat:

- Listen carefully. Try to keep the caller talking, so you can gather more information.
- Notify managers as soon as possible.
- Promptly complete a telephone threat report, writing down as many details as you can remember. This information will be needed by security and police interviewers.
- Do not discuss the threat with anyone else.
- If evacuation is ordered, go to a designated area, as far away from danger as possible. Make sure staff and visitors come with you.

If you receive a written threat or suspicious parcel, or find a suspicious object on the premises:

- Keep anyone from handling it or going near it.
- Notify managers as soon as possible.
- Promptly write down everything you can remember about finding or receiving the letter or parcel. This will be needed by security and police interviewers.
- Do as directed. If evacuation is ordered, go to a designated area as far from danger as possible.

### **Power Loss**

In the event of a power outage:

- Remain calm; announce yourself to other staff and visitors.
- Use emergency flash lights if necessary.
- Aid visitors and staff in your immediate area by directing them to a pre-designated safe area, which is the front of the office. If you can open blinds, etc. on windows to let in light, do so.

- If you are in an unlighted area, proceed cautiously to an area that has emergency lights, or flashlights. Do not bring along personal belongings; walk slowly, feeling your way cautiously. Listen for other people and sound cues.
- Use the intercom or emergency button.
- If instructed to evacuate, go to a designated area.

### **Tornado & Thunderstorms**

In the event of a tornado or severe thunderstorm:

- Stay away from exterior walls and glass. If possible, back up computer files.
- In a tornado, crouch along interior walls & cover your head. Interior rooms with no windows are safest.
- Use the telephone and cellphones only for emergency purposes
- Do not leave secure areas until instructed. In helping staff and visitors to move to designated areas before or after the storm or tornado, be polite, but firm. Warn them of danger. If they refuse to comply, leave them.

### **Winter Storms**

In the event of a winter storm:

- Winter storms generally come with broadcast warnings. Stay tuned via radio, television, or the Internet weather sites.
- Back up computer files before leaving if necessary
- Mark the least dangerous access and exit routes to your building. Beware icy staircases, walkways, etc.
- If frozen pipes are a possibility, take all precautions to avoid them by draining water, leaving them drip, etc.

### **Reporting Fires and Other Emergencies**

The preferred means of reporting fires and other emergencies is by phone. The emergency phone numbers are posted at the front desk, in the production area, and in the employee break room.

Emergency Contacts and Phone Numbers

Fire Department - 651-792-7009

Ambulance - 911

Local Law Enforcement - 651-767-0640

State Law Enforcement - 651-215-1328

Rescue - 651-792-7009

Water Company – 651-792-7003

## After Hours Roster

Call Sequence	First Name	Last Name	Cell Phone
1	JENNIFER	THALHUBER	(651) 341-3433
2	INSAI	VANGSOUA	(651) 592-8031
3	JOSEPH	VOLP	(612) 281-1638
4	YUCHING	WU-SCHULTZ	(651) 332-6458
5	KATE	MACRAE	(952) 200-0553
6	KAREN	ROSS BROWN	(612) 270-9773

### Training of Personnel

In order to ensure the safe and orderly emergency evacuation of employees, a review of the Emergency Action Plan shall be provided to employees when the plan is established or updated, at initial employment, whenever employee's responsibilities or actions change and whenever the plan is changed.

### Smoking Prohibition

Our corporation is committed to providing a safe and healthy environment for employees and visitors. Therefore, smoking is not permitted anywhere on the grounds except the designated areas.

### Drug and Alcohol-Free Workplace

No employee shall report to work, or be present on corporate premises, in corporate vehicles, or engaged in corporate activities while under the influence of alcohol or controlled substances which significantly affects job safety or performance. The unlawful or unauthorized manufacturer, distribution, dispensation, possession, sale or use of alcohol or controlled substances on corporate premises, in corporate vehicles, or while engaged in corporate activities is also strictly prohibited. Any violation of this substance abuse policy may result in disciplinary action, up to and including discharge. Any questions regarding this substance abuse policy should be referred to the Controller. AbleNet further reserves the right to take any and all appropriate and lawful actions necessary to enforce this substance abuse policy. Full compliance with this substance abuse policy is a condition of employment and continued employment. Consistent with our fair employment policy, AbleNet maintains a policy of non-discrimination, and reasonable accommodation with respect to recovering addicts or alcoholics, those who are perceived as having a dependency, and those having a medical history reflecting treatment for this condition.

### Workplace Violence Policy

AbleNet, Inc. is committed to creating and maintaining an environment that is free from intimidation, threats and violent acts. AbleNet defines workplace violence to include carrying, possessing, or using firearms, verbal threats, threatening behavior or physical assaults occurring in the workplace or while engaged in company business off premises. AbleNet prohibits employees from carrying, possessing or using firearms (including but not limited to pistols) or other weapons while on company premises (but not parking lots), while operating company machinery, equipment or vehicles for work-related purposes, or while engaged in company business off premises. This policy applies to all employees, including but not limited to those who have a valid permit to carry a pistol. AbleNet reserves the right to search employees and inspect their property while on company premises, while operating company machinery, equipment or

vehicles for work-related purposes, or while engaged in company business off premises. AbleNet employees are responsible for:

- Refraining from acts of violence and for seeking assistance to resolve personal issues that may lead to acts of violence in the workplace.
- Reporting to their immediate supervisor, management or the CEO, any dangerous or threatening situations that occur in the workplace, or knowledge of policy violations while on company premises, while operating company machinery, equipment or vehicles for work-related purposes, or while engaged in company business off premises.
- An employee who receives a protective or restraining order which lists the AbleNet premises as a protected area is required to provide a copy of such order to their immediate supervisor, the Controller or the CEO.
- Any and all acts of intimidation, threats, and acts of violence or violation of the above policies will be considered serious misconduct and will be the basis of disciplinary action, up to and including immediate termination of employment. These acts will be referred, when appropriate, to legal authorities.
- Assurance of a safe working environment is important to everyone.

## ***Section 09: Compliance Plan***

AbleNet voluntarily implements a compliance program aimed at fraud, waste, and abuse prevention while at the same time advancing the mission of providing quality patient /customer care. Our compliance efforts are aimed at prevention, detection, and resolution of variances.

The eight elements of AbleNet's Compliance Plan are:

1. Commitment to Compliance
  - A. Standards of Conduct
  - B. Medical Necessity
  - C. Billing
  - D. Reliance on Standing Orders
  - E. Compliance with Applicable HHS Fraud Alerts
  - F. Marketing
  - G. Anti-Kick Back/Inducements
  - H. Retention of Records/Documentation
2. Designation of a Compliance Officer/Committee
3. Conducting Training and Education Programs
4. Communication
5. Disciplinary Guidelines
6. Auditing and Monitoring
7. Corrective Action
8. Response to Special Agent's Visit for the Purpose of Investigating Allegations of Fraud and Abuse

### **Commitment to Compliance**

#### **A. Standards of Conduct**

AbleNet promotes adherence to the Compliance Program as a major element in the performance evaluation of all staff members.

AbleNet employees are bound to comply, in all official acts and duties, with all applicable laws, rules, regulations, standards of conduct, including, but not limited to laws, rules, regulations, and directives of the federal government and the state of Minnesota, and rules policies and procedures of AbleNet. These current and future standards of conduct are incorporated by reference in this Compliance Plan.

If AbleNet desires, all candidates for employment may undergo a reasonable and prudent background investigation, including a reference check. Due care will be used in the recruitment and hiring process to prevent the appointment to positions with substantial discretionary authority, persons whose record (professional licensure, credentials, prior employment, any criminal record) gives reasonable cause to believe the individual has a propensity to fail to adhere to applicable standards of conduct.

All new employees will receive orientation and training in compliance policies and procedures. Participation in required training is a condition of employment. Failure to participate in required training may result in disciplinary actions, up to and including, termination of employment.

Every employee is asked to sign a statement certifying they have received, read, and understood the contents of the compliance plan.

Every employee will receive periodic training updates in compliance protocols as they relate to the employee's individual duties.

Non-compliance with the plan or violations will result in sanctioning of the involved employee(s) up to, and including, termination of employment.

#### B. Medical Necessity

AbleNet will take reasonable measures to ensure that only claims for services that are reasonable and necessary, given the patient's condition, are billed.

Documentation will support the determinations of medical necessity when providing services.

AbleNet is aware that Medicare will only pay for items meet the Medicare coverage criteria and are reasonable and necessary to treat or diagnose a patient.

Advanced Beneficiary Notices (ABN) are used when there is a likelihood that an ordered service will not be paid. The patient will be notified, in writing, of the likelihood that the service will not be paid before the service is provided. The ABN will only include those specific items that do not meet Medicare criteria for medical necessity. Patients will never be offered blank ABNs to sign.

#### C. Billing

All claims for services submitted to Medicare or other health benefits programs will correctly identify the services ordered. Only those items ordered by an authorized physician that meet Medicare's or the health benefits program's criteria will be billed.

Intentionally or knowingly upcoding (the selection of a code to maximize reimbursement when such code is not the most appropriate descriptor of the service offered) may result in immediate termination. AbleNet must provide documentation to support the HCPCS, and/or ICD-9-CM codes used based on medical findings and diagnoses.

#### D. Reliance on Standing Orders

Standing orders will not be accepted by AbleNet.

#### E. Compliance with Applicable HHS Fraud Alerts

The Compliance Office will review the Medicare Fraud Alerts. The Officer will terminate any conduct criticized by the Fraud Alert immediately, implement corrective actions, and take reasonable actions to ensure that future violations do not occur.

#### F. Marketing

AbleNet will promote only honest, straightforward, fully informative, and non-deceptive marketing.

#### G. Anti-Kickback/Inducements

AbleNet will not participate in nor condone the provision of inducements or receipt of kickbacks to gain business or influence referrals. (Physician name) will consider the patient's interests in

offering referral for treatment, diagnostic, or service options. Any employee involved in promoting or accepting kickbacks or offering inducements may be terminated immediately.

#### H. Retention of Records/Documentation

AbleNet will ensure that all records required by federal and/or state law are created and maintained. All records will be maintained for a period of no less than seven years. Documentation of compliance efforts will include staff meeting minutes, memoranda concerning compliance protocols, problems identified and corrective actions taken, the results of any investigations, and documentation supportive of assessment findings, diagnoses, treatments, and plan of care.

### **Designation of a Compliance Coordinator and a Compliance Committee**

AbleNet designates a compliance coordinator to serve as the leader of all compliance activities. A compliance committee is also in place to assist the compliance coordinator with all tasks as needed.

Compliance Coordinator's responsibilities of the compliance Coordinator and committee are:

- Overseeing and monitoring the implementation of the compliance program.
- Reporting monthly/quarterly to the company's responsible body on the progress of implementation and assisting the company in establishing methods to improve efficiency and quality of services and to reduce the vulnerability to allegations of fraud, waste, and abuse.
- Developing and distributing all written compliance policies and procedures to all affected employees.
- Periodically revising the program in light of changes in the needs of the organization and in the law; and changes in policies and procedures of government and private payer health plans.
- Developing, coordinating, and participating in a multifaceted educational and training program that focuses on the elements of the compliance program and seeks to ensure that all employees are knowledgeable of, and comply with, pertinent federal, state, and private payer standards.
- Ensuring that all employees are informed of compliance program standards with respect to coding, billing, documentation, and marketing, etc.
- Assisting in coordinating internal compliance review and monitoring activities, including annual or as needed reviews of policies.
- Independently investigating and acting on matters related to compliance, including the flexibility to design and coordinate internal investigations.
- Developing policies and programs that encourage managers and employees to report suspected fraud and other improprieties without fear of retaliation.

The compliance coordinator and committee have the authority to review all documents and other information relative to compliance activities, including, but not limited to, requisition forms, billing information, claims information, and records concerning marketing efforts and arrangements with clients

## **Conducting Effective Training and Education**

AbleNet requires all employees to attend specific training upon hire and on an annual and as needed thereafter. This will include training in federal and state statutes, regulations, program requirements, policies of private payers, and corporate ethics. The training will emphasize the company's commitment to compliance with these legal requirements and policies.

The training programs will include sessions highlighting the company's compliance program, summaries of fraud and abuse laws, discussions of coding requirements, claim development, claim submission processes, and marketing practices that reflect current legal and program standards.

The compliance officer will document the attendees, the subjects covered, and any materials distributed at the training sessions.

Basic training will include:

- Government and private payer reimbursement principles.
- General prohibitions on paying or receiving remuneration to induce referrals.
- Proper translation of narrative diagnoses.
- Only billing for services ordered, performed, and reported.
- Duty to report misconduct.

## **Developing Effective Lines of Communication**

AbleNet will establish a procedure so that employees may seek clarification from the compliance officer/committee in the event of any confusion or questions regarding a policy or procedure.

AbleNet will protect whistle-blowers from retaliation.

A suggestion box is available in the office so that employees may anonymously consult with the Compliance Officer with questions or report violations. An email will be used to communicate responses to anonymous inquiries or reports, as well as to communicate other information regarding compliance and compliance activities.

Any potential problem or questionable practice which is, or is reasonably likely to be, in violation of, or inconsistent with, federal or state laws, rules, regulations, or directives or AbleNet rules or policies relative to the delivery of healthcare services, or the billing and collection of revenue derived from such services, and any associated requirements regarding documentation, coding, supervision, and other professional or business practices must be reported to the Compliance Officer.

Any person who has reason to believe that a potential problem or questionable practice is or may be in existence should report the circumstance to the Compliance Officer. Such reports may be made verbally or in writing, and may be made on an anonymous basis.

The Compliance Officer will promptly document and investigate reported matters that suggest substantial violations of policies, regulations, statutes, or program requirements to determine their veracity. The Compliance Officer will maintain a log of such reports, including the nature of the investigation and its results.

The Compliance Officer will work closely with legal counsel who can provide guidance regarding complex legal and management issues.



## **Disciplinary Guidelines**

All members of AbleNet will be held accountable for failing to comply with applicable standards, laws, and procedures. Supervisors and/or managers will be held accountable for the foreseeable compliance failures of their subordinates.

The supervisor or manager will be responsible for taking appropriate disciplinary actions in the event an employee fails to comply with applicable regulations or policies. The disciplinary process for violations of compliance programs will be administered according to practice protocols (generally oral warning, written warning, suspension without leave, leading to termination) depending upon the seriousness of the violation. The Compliance Officer, as well as legal counsel may be consulted in determining the seriousness of the violation. However, the Compliance Officer should never be involved in imposing discipline.

If the deviation occurred due to legitimate, explainable reasons, the compliance officer and supervisor/manager may want to limit disciplinary action or take no action. If the deviation occurred because of improper procedures, misunderstanding of rules, including systemic problems, AbleNet should take immediate actions to correct the problem.

When disciplinary action is warranted, it should be prompt and imposed according to written standards of disciplinary action.

Within 30 working days after receipt of an investigative report, the supervisor and/or Managing Director of AbleNet shall determine the action to be taken upon the matter. The action may include, without limitation, one or more of the following:

- 1) Dismissal of the matter.
- 2) Verbal counseling.
- 3) Issuing a warning, a letter of admonition, or a letter of reprimand.
- 4) Entering into and monitoring a corrective action plan. The corrective action plan may include requirements for
  - a. Individual or group remedial education and training, consultation, proctoring, and/or concurrent review.
- 5) Reduction, suspension, or revocation of clinical privileges.
- 6) Suspension or termination of employment.
- 7) Modification of assigned duties.
- 8) Reduction in the amount of salary compensation.

The Managing Director shall have the authority to, at any time, suspend summarily the involved provider's clinical privileges or to summarily impose consultation, concurrent review, proctoring, or other conditions or restrictions on the assigned clinical duties of the involved provider in order to reduce the substantial likelihood of violation of standards of conduct.

## **Auditing and Monitoring**

The Compliance Officer will conduct on going evaluations of compliance processes involving thorough monitoring and regular reporting to the officers of AbleNet.

The Compliance Officer will develop audit tools designed to address the company's compliance with laws governing kickback arrangements, physician self-referral prohibition, CPT, HCPCS, and ICD-9-CM coding and billing, claim development and submission, reimbursement, marketing, reporting, and record-keeping. Internal audits will be conducted on a quarterly basis.

The audits will inquire into compliance with specific rules and policies that have been the focus of Medicare fiscal intermediaries or carriers as evidenced by the Medicare

Fraud Alerts, OIG audits, and evaluations and publicly announced law enforcement initiatives. Audits should also reflect areas of concern that are specific to AbleNet.

The Compliance Officer/Committee shall conduct exit interviews of personnel in order to solicit information concerning potential problems and questionable practices.

The Compliance Officer should be aware of patterns and trends in deviations identified by the audit that may indicate a systemic problem.

## **Responding to Detected Offenses and Developing Corrective Action Initiatives**

Violations of AbleNet's compliance program, failure to comply with applicable state or federal law, and other requirements of government and private health plans, and other types of misconduct may threaten the company's status as a reliable, honest, and trustworthy provider, capable of participating in federal healthcare programs. Detected, but uncorrected misconduct may seriously endanger the mission, reputation, and legal status of the company. Consequently, upon reports or reasonable indications of suspected noncompliance, the Compliance Officer must initiate an investigation to determine whether a material violation of applicable laws or requirements has occurred.

The steps in the internal investigation may include interviews and a review of relevant documentation. Records of the investigation should contain documentation of the alleged violation, a description of the investigative process, copies of interview notes and key documents, a log of witnesses interviewed and the documents reviewed, the results of the investigation and the corrective actions implemented.

If an investigation of an alleged violation is undertaken, and the Compliance Officer believes the integrity of the investigation may be hampered by the presence of employees under investigation, those employees should be removed from their current work activities pending completion of that portion of the investigation. These employees will be temporarily suspended with pay pending the outcome of the investigation.

Additionally, the Compliance Officer must take appropriate steps to secure or prevent the destruction of documents or other evidence relevant to the investigation.

If the results of the internal investigation identify a problem, the response may be immediate referral to criminal and/or civil law enforcement authorities, development of a corrective action plan, a report to the government, and submission of any overpayments, if applicable. If potential fraud or violations of the False Claims Act are involved, the Compliance Officer should report the potential violation to the Office of the Inspector General or the Department of Justice.

When making a repayment for an overpayment, AbleNet should inform the payer of the following: (1) the refund is being made pursuant to a voluntary compliance program; (2) a description of the complete circumstances prompting the overpayment; (3) the methodology by which the overpayment was determined; (4) any claim-specific information used to determine the overpayment; and (5) the amount of the overpayment.

The Managing Director of AbleNet shall have the authority and responsibility to direct repayment to payers and the reporting of misconduct to enforcement authorities as is determined, in consultation with legal counsel, to be appropriate or required by applicable laws and rules.

If the Managing Director of AbleNet discovers credible evidence of misconduct and has reason to believe that the misconduct may violate criminal, civil, or administrative law, then the Compliance Officer will promptly report the matter to the appropriate government authority within a reasonable time frame, but not more than 60 days after determining that there is credible evidence of a violation.

Office of Inspector General Hotline: 1-800-HHS-TIPS (1-800-447-8477).

When reporting misconduct to the government, the compliance officer should provide all evidence relevant to the potential violation of applicable federal or state laws and the potential cost impact.

## **Response to Special Agents Visit for the Purpose of Investigating Allegations of Fraud and Abuse**

In the event special agents visit AbleNet for the purpose of investigating fraud and abuse allegations:

- Request a copy of the search warrant and the affidavit supporting it.
- Record names of all agents and agencies they represent.
- Ask the agent to secure the premises but to delay the search until counsel can be notified. If this request is refused, do not deny admission to the premises, which could be construed as obstruction of justice.
- Accompany the agents during the search.
- Record beginning and ending times of the search, items taken, areas searched, types of documents taken, photographs taken, questions asked or comments made, and requests made by agents.
- Identify and request copies of items essential to daily operation.
- If employees are interviewed, debrief them after the search.

This plan has attempted to provide the foundation for development of an effective and cost-efficient compliance program.