



“Proudly advocating for and serving people with intellectual and developmental disabilities so they live lives full of informed choice and possibility.”

Board of Directors Manual

Last Reviewed November 22, 2021

Donna L. Belusar, Ph.D.

President / Chief Executive Officer

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Section 1. Mission / Vision / Values / Code of Conduct

Mission Statement: Our Reason for Being.

ADEC proudly advocates for and serves people with intellectual and developmental disabilities, so they live lives full of **informed** choice and possibility.

¹ REV A/N or FY

ADEC proudly advocates for and serves people with intellectual and developmental disabilities so they live lives full of informed choice and possibility."

Vision: Our Place in the Communities we serve.

ADEC believes all people are worthwhile. We work together with people who experience unique challenges and abilities along with families, friends, and organizations to help people maximize their abilities to meet goals and dreams and fully participate in the community of which they are vital members. ADEC is dedicated to fully supporting individuals with disabilities and breaking down barriers, both physical and attitudinal, through active community education, advocacy and commitment.

Values: The ideals we live by.

ADEC is committed to the ethical treatment of all those who are invested in the organization. **For our employees**, we are committed to honesty, fairness, a safe and healthy environment, and the dignity due everyone. **For our individuals served**, we are committed to provide quality services, fair and just support in the achievement of the individual's goals as well as the confidentiality and respect due each individual. **For our communities**, in which we live and work, we are committed to acting as concerned and responsible neighbors, reflecting all aspects of good citizenship.

Our values are:

A Life of their Own: ADEC individual served deserve a chance to...

- Make their own choices
- Pursue their passions
- Learn new skills
- Develop healthy personal relationships
- Make a positive contribution

Dignity: ADEC individual served are entitled to ...

- Respect and professionalism as their daily needs are met
- Protection from exploitation and abuse

Employment: ADEC individual served deserve the opportunity to ...

- Find dignity and meaning in work
- Make productive contributions to the community through work
- Contribute to the well-being of our society by being tax-paying citizens

Community: As an active part of the community, ADEC ...

- Connects individual served with local opportunities when possible
- Becomes a catalyst for new individual served opportunities if they don't exist.

Code of Conduct: The manner of our actions.

ADEC's code of conduct and ethical standards amplify the legacy and commitment ADEC must serve our clients, our employees and our community. Every action, every service, every intent should be demonstrated and executed with:

- **Integrity:** To say what we mean. To deliver what we promise and to stand for what is right for all concerned.
- **Respect:** To treat one another with dignity and fairness, appreciating the diversity of our organization and the uniqueness of everyone with whom we interact.
- **Responsibility:** To contribute, to speak up – without fear of retribution and share concerns and ideas for the betterment of all.
- **Trust:** To inspire confidence through team work, and through open and candid communication.
- **Honesty:** To be truthful in all our endeavors, to be honest and forthright with one another, with our constituents, communities, and all others with whom we interact.

- **Citizenship:** To obey all laws of our state and our nation, to report concerns and possible violations in the workplace, including violations of laws, regulations, or company policies, and seek clarification and/or resolution whenever there is suspicion of possible wrongdoing.

ADEC is committed to the ethical treatment of all those who are invested in the organization. For our employees, we are committed to honesty, fairness, a safe and healthy environment, and the dignity due to everyone. For our clients, we are committed to provide quality services, fair and just support in the achievement of the individual's goals as well as the confidentiality and respect due to everyone. For our communities, in which we live and work, we are committed to acting as concerned and responsible neighbors, reflecting all aspects of good citizenship.

Section 2. Operational Snapshot

Snapshot of ADEC Operational Performance

Reference Exhibit A. Operational Snapshot

The ADEC operational snapshot is a comprehensive document that has the audited financial data for a rolling seven-year historical trend. It is completed at the end of each fiscal year.

Contents include:

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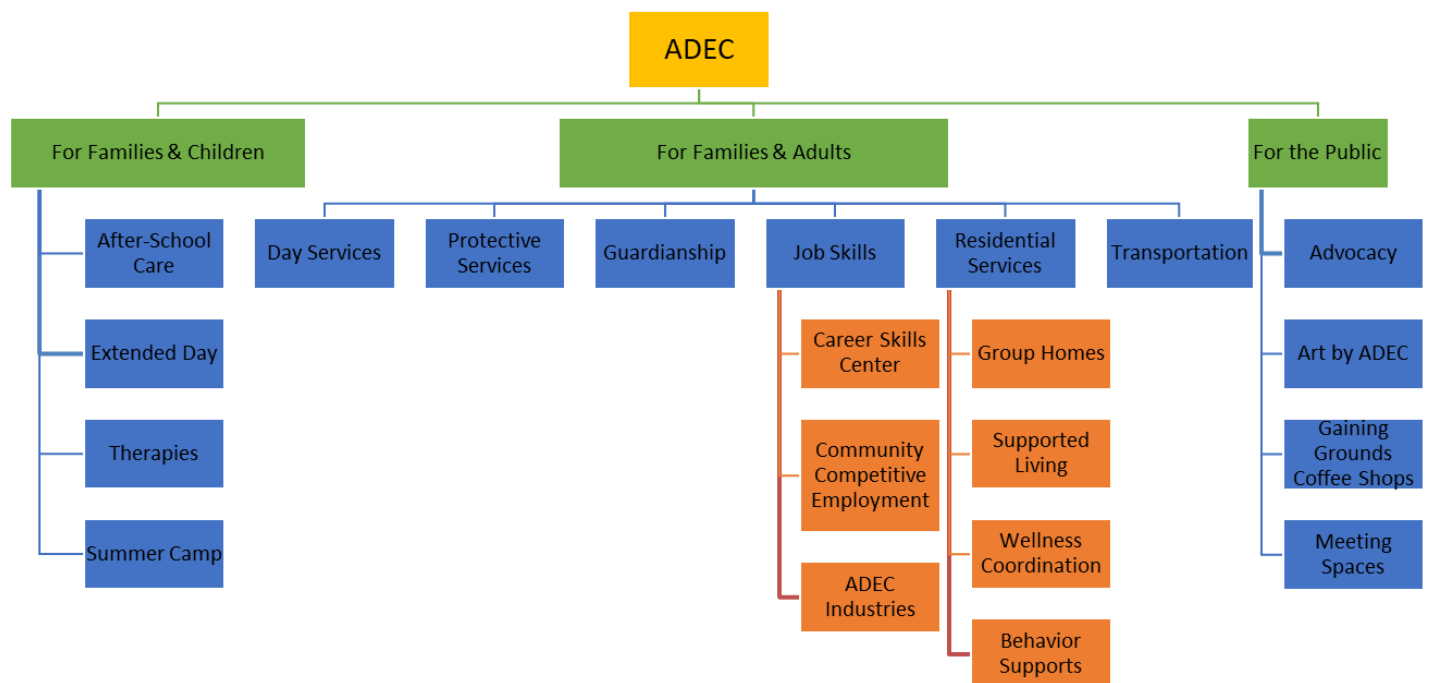
- Financial Services
- Key Revenue Sources
- Local Funding
- Total Expenses
- Insurance
- Demographics of Employees
- Services Overview

Page Two

- Demographics of Individuals Served
- Ethnic Group
- Primary Disability
- Clients Served - by Program
- Key Balance Sheet
- Key Assets
- Net Assets
- Residential

Section 3. Core Services

ADEC offers a wide variety of services to the families and individuals who select ADEC as a provider of choice and possibility. All services are based on the premise of informed choice for person-centered individual specific plans, or objectives and/or goals.



Children and Family Services

ADEC provides an array of services for children with special needs and their families including After School Program, Extended Day, Respite Facility-Based Services, Summer Camp, and many other resources. Recreation Therapies, Music Therapies and Behavioral Therapies are also available for children and adults.

ADEC's Family Services provides valuable support through programs, guidance, resources and individual therapies to parents and children ranging from infants to 22 years of age. Most of the children and young adults served by our Family Services deal with Autism Spectrum Disorders, though we routinely see a variety of other intellectual or developmental disabilities such as Intellectual Disabilities, neurological disorders and mental illness.

Extensive options for Therapies include: Music, Recreational and Behavioral Therapies provide one-on-one interaction with a certified therapist who conducts a personalized assessment and evaluation before designing a treatment plan.

- Recreational Therapy utilizes various interventions as a form of active treatment to improve the physical, intellectual, emotional, and social functioning of persons experiencing life with a developmental disability.
- Music Therapy focuses on the clinical and evidence-based use of music to accomplish personal goals within a therapeutic relationship by a credentialed professional.
- Behavioral Therapy is a broad term referring to techniques derived from behaviorism. The therapy looks at specific, learned behaviors and how the environment influences those behaviors. The therapists tend to look for treatment outcomes that are objectively measurable. Behavior therapy does not involve one specific method, but it has a wide range of techniques that can be used to treat a person's psychological problems.

ADEC Summer Camp Gives children with intellectual and developmental disabilities the opportunity to attend a camp designed just for them! Our summer camp meets five days a week for eight weeks. During this time, the kids enjoy field trip Fridays, fun activities and socialization while maintaining interpersonal and academic skills throughout the summer.

After School Program Serves as a place for children with intellectual and developmental disabilities to go after school to participate in the innovative Minds in Motion exercise program, enjoy a healthy snack and work on homework.

Extended Day offers relief and assistance for families of adults with disabilities. It is equivalent to facility-based respite services.

ADEC's Skills Training Center, formerly known as Growth and Purpose (GAP) is designed to help bridge the gap between education and employment.

Respite Care

ADEC Respite care is facility-based at one of ADEC's fully accessible day center centers. It is available to stand in and care for a family member who has a developmental disability. This service allows relief of the primary caregiver. (In 2020 home-based respite was temporarily stopped due to the coronavirus pandemic. Furthermore, the federal requirement to implement electronic visit verification, EVV, is making

Supervised Group Living

ADEC Supervised Group Living, commonly referred to as Group Homes, provide individualized training, active treatment, and twenty-four-hour supervision in a home setting for adults with intellectual disabilities. The homes provide training for varying levels of need. General health, behavioral, dietary, nursing and psychiatric services are provided to individuals residing in group homes along with transportation and medication administration. All individuals have an option to day services, or employment, and if necessary, remain at home. These services are provided in both Elkhart and St. Joseph counties.

Those who live in one of ADEC's neighborhood group homes develop camaraderie and family relationships while experiencing a stable home environment and a wide range of social activities. ADEC operates 14 group homes in Elkhart and St. Joseph counties, each one part of a suburban neighborhood and home to eight adults. Staff provide 24/7 support, including home-cooked meals, transportation, and assistance with medication and other personal care needs.

Adults in ADEC's Supervised Group Living program, experience real community with their family of housemates and staff.

Behavior Supports Individuals served in supervised group living have behavior supports services available to them. Behavior supports include writing and implementing individualized behavior programs with input from the interdisciplinary team and providing crisis prevention training to ADEC employees.

Health Services ADEC nursing staff monitor medical conditions of Supervised Group Living individuals served. This includes writing initial plans such as Health Care Support plans, and other risk plans, i.e., seizure, choking/aspiration, fall, etc. These plans are updated with the annual Individualized Program Plan (IPP) or as conditions/diagnosis change. ADEC nursing staff also complete a Quarterly Nursing Assessment for each individual served on a quarterly basis.

Supported Living

ADEC Supported Living is a program that provides residential supports to people on the Community Integration and Habilitation and the Family Support waiver and persons who choose to private pay for supports. These services are intended to help individuals served gain community connections and be independence in their lives and in their community. These services are provided to people that live with family or in their own homes/apartments.

Often all that is needed for an adult with developmental or intellectual disabilities to live on his or her own is the support and oversight of a professional caregiver. Whether care is needed 24/7 or for only a few hours a day, ADEC's Supported Living staff will help facilitate an individual support person centered plan and help support the individual's person-centered plans for informed choice. Individuals served in Supported Living typically live in an apartment with one or two roommates. Supported Living staff help supervise the daily tasks required for independent living, such as cooking, cleaning, shopping and bill paying. Supported Living staff also provide transportation

when needed to appointments, jobs, grocery shopping and social outings, keeping individuals served connected to their communities.

With the help of their own personal staff, adults in ADEC's Supported Living program experience a life of their own by living on their own.

Support and skill development are provided in the following areas: financial management, community integration, coordination of medical care, wellness coordination, transportation, and community advocacy. Supports are also provided in other areas that may be individuals served specific such as personal hygiene, meal preparation etc. Our greatest goal is to help people we work with to realize their dreams and be independent in their community. Staff schedules are driven by the specific needs of the person being served and can range from one hour to 24-hour per day care.

Wellness Coordination is a service on the Community Integration Habilitation waiver and is provided by ADEC to our Supported Living individuals served who qualify. Wellness Coordination is defined as the development, maintenance, and routine monitoring of the waiver participant's Wellness Coordination plan and the medical services required to manage his or her healthcare needs. Such needs generally extend beyond those services provided through routine doctor or healthcare visits required under the Medicaid State Plan. Duties include but are not limited to face to face visits, developing risk plans and facilitated with PCP the medical care plans, and communication with the individual served team. It is specifically designed for participants requiring assistance of a registered nurse (RN) or licensed practical nurse (LPN) to properly coordinate their medical needs. It incorporates a tiered system based on health scores from the State's objective-based allocation (OBA) process.

Day Services – Facility and Community Habilitative Services

ADEC day service locations offer and support both facility habilitation and community habilitation. These programs are built upon the opportunity to have informed choice in their daily activities. This program is designed to assist people with intellectual disabilities develop connections in the community through integrated settings, vocational skill development and increasing independence in those we serve.

The goal for everyone served is to have a sense of personal accomplishment each day while developing marketable skills. The focus is on developing skills based on the individual's strengths and personal choice that can help increase income and social opportunities. The main areas of skill development are vocational, recreational and social including, but not limited to, pre-vocational training, group participation, community awareness, music and exercise. Services are provided to promote independence through training and support from Direct Support Professionals, predictable schedules and assistive technology and equipment. Those individuals participating in Day Services can earn commission on items they make that are sold through ADEC's integrated coffee shops or art shows and storefront.

Services may be provided on an individual or group basis at our two Elkhart locations (the Plaza and the Hub), Bristol, Goshen, Middlebury and the Mishawaka sites.

ADEC strongly believes that intentional day programming can dramatically change the lives of the approximately 300 adults we serve at five Day Service sites. The people we serve range in age from 18 through retirement and are generally diagnosed with moderate to severe developmental and intellectual disabilities. To foster independence and develop a fulfilling daily schedule, we built our Day Services around a variety of age-appropriate vocational, social, community-based, and recreational activities including:

- i. Woodworking
- ii. Art
- iii. Baking and cooking
- iv. Photography
- v. Sewing
- vi. Volunteering at various community organizations

Our support staff takes time to discover the natural abilities and interests of the people we serve, and then challenges them to work at developing skills related to their abilities and interests. Recreation is accomplished by providing not only exercise groups, but also organized community recreational opportunities such as individual and team sports (i.e., softball, basketball, bowling, etc.).

Transportation

Daily round trip transportation is available to persons with disabilities residing in Elkhart County and enrolled in day programs or working at “The Shop” (ADEC Industries) or Bristol Gaining Grounds.

Community Employment Services

Community employment provides services which may include discovery, job readiness training, trial work experiences, job development, job placement, on the job supports and training and extended services. Individuals served may be referred to ADEC community employment through Indiana’s Vocational Rehabilitation Services or a case manager. Services provided are determined on an individual basis and will vary individual served to individual served. Placements are in community employment settings at the federal minimum wage or higher; hours of employment are decided on a case-by-case basis. Placement settings are to be highly integrative in nature, with the opportunity for the individual served to work and associate with other employees who are not disabled. When an individual has achieved a level of independence to function without staff involvement, fading of services will occur.

ADEC takes pride in providing choice and possibility to the individuals we serve. We also want to provide choice and possibility to businesses, employers, and community partners through our community employment services program. Over the last year, we have helped dozens of employers in Elkhart and St. Joseph counties fill open positions with pre-screened, qualified, and job ready candidates. Some of those employers come back to us for additional hiring needs!

Below are just a few reasons why employers choose ADEC to help them with their hiring needs:

- **Reputation & Recognition** – *ADEC has been a part of the community and providing quality services for almost 65 years.*
- **No Cost to Employer** – *Placement service and support is free.*
- **Extra Support for Employee & Employer** – *ADEC provides job coaching, training and assistance from an Employment Consultant.*

Employing individuals who have disabilities diversifies your workforce, offers professional and personal development for current employees, and contributes to the overall well-being of your community and increases social awareness.

Guardianship Services

ADEC provides guardianship services to individuals with developmental or intellectual disabilities who are not able to make health care decisions and personal need decisions and do not have anyone who can help them. Individuals may live-in long-term care facilities, community group homes, or in their own apartments. Because of very limited skills in communication or self-care, or perhaps a history of severe abuse or exploitation, an individual may need a guardian to protect and preserve their human and constitutional rights.

The ADEC Corporate Guardianship Program offers:

1. Full or limited guardianship
2. Temporary or permanent guardianship
3. Community Education about guardianship
4. Advocacy
5. Training in self-advocacy

ADEC has adopted the National Guardianship Association Standards of Practice and Codes of Ethics as our policy and guidelines for operating our program. Staff are credentialed National Certified Guardians.

We provide a full range of advocacy, decision-making and protective services to individuals unable to care for themselves. Without this program, many participating individuals with intellectual and developmental disabilities would fall through the cracks and create a burden on the community. Instead, these individuals are gifted with impeccable care and support throughout the duration of their lives. With decades of excellent service to our credit, the community has come to rely on us as a resource for consultation, education and direction regarding the legal guardianship process.

ADEC operates a corporate guardianship program which has adopted the National Guardianship Association Standards of Practice and Codes of Ethics

as our policy and operating procedures. www.guardianship.org.

Our staff are National Certified Guardians who maintain and renew this two-year credential issued by the Center on Guardianship Certification. www.guardianshipcert.org

Protective Services Office Services

In accordance with state and federal regulations, ADEC Protective Services ensures the compliance and implementation of the Bureau of Developmental Disabilities Services (BDDS) incident reporting process; including conducting investigations involving abuse, neglect and or exploitation and collaboration with community agencies, such as local Law Enforcement and Adult Protective Services when required.

ADEC Protective Services provides incident report data tracking and trend identification documentation and records retention, the development and presentation of staff training on the Prevention of Abuse and Neglect and ADEC's Incident Reporting Process, and provides data and trend reports to the President/CEO, Program /Leadership and Board Committees monthly.

Work Services – ADEC Industries – “The Shop”

In June 2020, as a result of the Coronavirus Pandemic and resulting impact on business, ADEC sunset the vocational work/training program, commonly referred to as 14-C facilities or Sheltered Workshop facilities. Work services may be provided at ADEC Industries. ADEC Industries no longer will employ and pay subminimum wages.

ADEC Industries was converted entirely to a competitively integrated work rate environment. Person's plans may include short term or long-term work opportunities. At any time, a hired individual with an intellectual or developmental disability, can seek other competitive employment through Indiana's Vocational Rehabilitation Services and utilize ADEC's Community Employment Specialist.

Gaining Grounds

The Bristol Campus location feature the Gaining Grounds Coffee/Retail shop. The Goshen Gaining Grounds was closed in June 2020 as a result of the Coronavirus Pandemic. On August 3, 2020, Gaining Grounds Coffee/Retail shop in Bristol opened to the public again following the CDC guidelines and protocol.

Section 4. Locations

All facilities, leased or owned, are in the state of Indiana and are in either Elkhart County or St. Joseph County

Owned

- Bristol Campus Administration Building (Building 1) - 19670 State Road 120, Bristol, IN – Elkhart County
- City water and sewer. Backup generator.
- Bristol Campus Day Services (Building 2) - 19670 State Road 120, Bristol, IN – Elkhart County
- City water and sewer. Shares generator with Building 1.
- Bristol Campus Supportive Living Rental Duplex (Building 3) - 19816 State Road 120, Bristol, IN – Elkhart County
- City water and sewer. No generator.
- ADEC Industries - 2700 Industrial Parkway, Elkhart, IN – Elkhart County
- City water and sewer. No generator.

Leased

- Elkhart Day Services and Family Services (The Plaza) - 319 South Main Street, Elkhart, IN – Elkhart County
- City water and sewer. No generator.
- Goshen Day Services (The Shoots Building) - 114 East Lincoln, Goshen, IN – Elkhart County
- City water and sewer. No generator.
- Middlebury Day Services - 801 Wayne Street, Middlebury, IN – Elkhart County
- City water and sewer. No generator.
- Mishawaka Day Services - 3618 Grape Road, Mishawaka, IN – St. Joseph County
- City water and sewer. No generator.
- Goshen City Church of the Brethren - 203 N 5th Street, Goshen, IN – Elkhart County
- City water and sewer. No generator.

Supervised Group Homes (Owned):

- Ashley Court Group Home - 1823 Ashley Court, Goshen, IN – Elkhart County
- City water and sewer. No generator.

- Village Women's Group Home - 807 Mottville Road, Bristol, IN – Elkhart County
- City sewer, private well. No generator.
- Foster Group Home - 226 E. Foster, Elkhart, IN – Elkhart County
- City water and sewer. No generator.
- Goshen Men's Group Home - 1717 Longwood Court, Goshen IN – Elkhart County
- City water and sewer. No generator.
- Hawthorne Group Home - 403 Hawthorne, Goshen, IN – Elkhart County
- City water and sewer. No generator.
- Middlebury Group Home - 603 Highland Drive, Middlebury, IN – Elkhart County
- City water and sewer. No generator.
- Parkside Group Home - 59796 Parkside Drive, Elkhart, IN – Elkhart County
- Private well and septic. No generator, however one will be installed FY22
- Terrace Park Group Home - 62836 Planeville Avenue, Goshen, IN – Elkhart County
- Private well and septic. No generator.
- Village Men's Group Home - 19816-3 S.R. 120, Bristol, IN – Elkhart County
- City water and sewer. No generator.
- Bridlewood Group Home - 58808 St. Mary's Lane, Goshen, IN – Elkhart County
- Private well and septic. No generator.
- Heather Lake Group Home - 10125 Heather Lake, Osceola, IN 46561 – St. Joseph County
- Private well and septic. No generator, however house is wired for one.
- Lutz Group Home - 6803 Lutz Drive, South Bend, IN 46614 – St. Joseph County
- City water and sewer. Has generator.
- Mackey Group Home - 6712 Mackey Court, South Bend, IN 46614 – St. Joseph County
- City water and sewer. Has generator.
- Tara Group Home - 52035 Tara Drive, South Bend, IN 46628 – St. Joseph County
- Private well and septic. No generator, however one will be installed FY22

Supported Living (Owned):

- Kauffman – 1510 College Ave., Goshen, IN. 46526 – Elkhart County
- Harmony – 1520 College Ave., Goshen, IN. 46526 – Elkhart County
- Hope – 1520 College Ave., Goshen, IN. 46526 – Elkhart County
- Faith – 1404 S. 14th Street, Goshen, IN. 46526 – Elkhart County
- Omega – 1610 College Ave., Goshen, IN. 46526 – Elkhart County
- Cornerstone East – 1518 College Ave., Goshen, IN. 46526 – Elkhart County
- Cornerstone West – 1518 College Ave., Goshen, IN. 46526 – Elkhart County
- 1514 College Ave – 1514 College Ave., Goshen, IN. 46526 – Elkhart County
- Vacant Lot #6 – College Manor – Elkhart County
- Vacant Lot #7 – College Manor – Elkhart County

Section 5. Strategic Plan

Reference Exhibit B. Strategic Plan 2022 - 2024

Every three years ADEC Board of Directors and agency leadership work to develop a strategic plan. Over a nine-month period, the participants involved in this process spent time completing an environmental scan, identified the strategic issues facing the organization, and developed initiatives to take advantage of strengths and opportunities as well as to respond to threats and weaknesses. ADEC maintains the philosophy that the strategic plan should be easily understood and readily implemented, rather than an elaborate document that is more likely to sit on the shelf.

ADEC maintains the philosophy that the strategic plan should be easily understood and readily implemented.

With the goal of increasing participation engagement, ADEC carried out an expansive approach to gather input and feedback from individuals and families served, ADEC management and staff, community partners, peer agencies across the state of Indiana, insight, and industry trends from INARF and The ARC. ADEC hosted forums and group discussions, held surveys and webinars, facilitated interactive sessions, utilized appreciative inquiries, and engaged Listen Up Creative to better understand the digital reach to stakeholders. Other input included virtual visits with four similar agencies in Indiana, review of prior year performance measurements, and linkage to Life Course Framework. A sincere Thank You to Laura Brackin, Ph.D., Brackin and Associates, who provided feedback, support, and reflection to help construct a plan that was progressive in creating a truly integrated, inclusion and person-centered “thinking, planning and practice” strategic plan.

Components of the plan include:

- **Mission – Vision – Values** The mission, vision and values that lay the foundation of ADEC’s person-center programs and services.
- **Strategic Principals** Five intentionally focus principles that help shape ADEC’s roadmap for the future:
 - **Client Outcomes**
 - **Organizational Effectiveness**
 - **Program Excellence**
 - **Expansion**
 - **Financial Outcomes**

- **Strategic Goals** Five broad strategic goals, that are unchanged from the previous three-year strategic plan, that target ADEC's path over the next three years in achieving ADEC's mission to provide 'choice and possibility':
 - **Outstanding Client Satisfaction and Excellence in Service**
 - **Great Workforce. Great Workplace**
 - **Highest Quality Standards**
 - **Targeted, Smart Growth**
 - **Financial Sustainability**
- **Strategy Roadmap** The three-year strategy roadmap of our operations through the next three years.
- **Expected Outcomes and Activities** All goals and activity of the strategic plan are aimed at improvement in client outcomes. A separate, but corresponding Outcome Measurements Systems will accompany the plan. Each program has effectiveness, efficiency, satisfaction and access to services measured that meet CARF standards.
- **Ongoing Program Measurements** Identified expected outcomes for each goal and planned activities intended to help achieve the strategic roadmap and mission of the agency.

The Strategic Plan was created in consideration of many known environmental opportunities and threats, with the awareness that adaptations and shifts may need to occur should unforeseen local, state, or federal changes come about.

Section 6. Role of Board and Board Members

Reference Exhibit C. Board Roster and Committees

The ADEC Board of Directors is a volunteer representative of the geographic area served. The board tries to include consumer representation and seeks diversity in other factors considered important by the board of directors. The Board of Directors consists of a maximum of seventeen (17) and a minimum of nine (9) members, as the board of directors shall determine by majority vote. No members are employed by ADEC and their immediate relatives cannot be members of the Board. Board members do not receive compensation for work done on behalf of ADEC.

The ADEC By-Laws provides for the establishment of Board of Directors with the following identified executive officer roles: Chairperson, Vice Chairperson, Secretary, Treasurer, and Past Chairperson.

Current Year Meeting Schedule

The ADEC Bboard of Directors meets six times a year: January, March, April, June, September and November.

ADEC Board of Directors 2022 Schedule and Meeting Itinerary

11/1/2021

Required

Discretionary

Do Not Meet

Meeting Dates

6 Times a Year: 4th Thursday of Month, except November

Meeting Times

3:30 - 5:00 p.m. Bristol Campus, Gaining Grounds Center or Virtually (covid-19)

2022 Meeting Dates

| Jan | Feb | Mar | Apr | May | Jun | Jul | Aug | Sep | Oct | Nov | Dec |
|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| 27 | | 24 | 28 | | 23 | | | 22 | | 17 | |

Core Oversight and Governance

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|----------------------------|--|--|--|--|--|--|--|--|--|--|--|
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| Committee Reports | | | | | | | | | | | |
| Confidentiality Agreement | | | | | | | | | | | |
| Conflict of Interest | | | | | | | | | | | |
| Corporate Whistleblower | | | | | | | | | | | |
| Enterprise Risk Management | | | | | | | | | | | |
| Executive Session | | | | | | | | | | | |
| Human Resources | | | | | | | | | | | |
| Insurance Overview | | | | | | | | | | | |
| Legislative / Regulatory | | | | | | | | | | | |
| Next Year Meeting(s) | | | | | | | | | | | |
| Succession Planning Review | | | | | | | | | | | |

Compliance / Fiduciary

(c - denotes consensus item)

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|--------------------------------|--|--|--|--|--|--|--|--|--|--|--|
| Financial Highlights | | | | | | | | | | | |
| Fiscal Year Audit / Tax Return | | | | | | | | | | | |
| Fiscal Year Budget | | | | | | | | | | | |
| Investment Portfolio | | | | | | | | | | | |
| Performance Measurements | | | | | | | | | | | |
| Quality Assurance | | | | | | | | | | | |

Strategy/Growth

| | | | | | | | | | | | |
|------------------------|--|--|--|--|--|--|--|--|--|--|--|
| Strategic Plan | | | | | | | | | | | |
| Board Retreat / Social | | | | | | | | | | | |

Community Outreach / Advocacy

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|--------------------|--|--|--|--|--|--|--|--|--|--|--|
| Development Status | | | | | | | | | | | |
| Mission Moment | | | | | | | | | | | |

Program / Services Review

| | | | | | | | | | | | |
|----------------------------|--|--|--|--|--|--|--|--|--|--|--|
| Guardianship | | | | | | | | | | | |
| Non-Residential Services | | | | | | | | | | | |
| Residential Services | | | | | | | | | | | |
| Transportation/Maintenance | | | | | | | | | | | |

Board of Directors Roster

Board of Directors Terms, **October 2021**

| | First Name | Last Name | Professional Role | Officer Role | Officer October 1 | Committee | Year |
|----|------------|-----------|---------------------------------|--------------|-------------------|--|-------------|
| 1 | Donald | Anderson | USI Insurance | | | Executive, Governance, Quality Assurance | 2021 - 2024 |
| 2 | Kevin | Boyer | Elkhart Clinic | Treasurer | 2020-2023 | Executive | 2020-2023 |
| 3 | Larry | Gautsche | LaCasa, Inc. Retired | Chair | 2021-2022 | Executive, Finance | 2020-2023 |
| 4 | Cary | Kelsey | ADEC, Inc., Retired | | | Guardianship | 2019-2022 |
| 5 | Thomas | Kroll | CTS Corp, Retired | Past Chair | 2021-2022 | Executive, Guardianship | 2021 - 2024 |
| 6 | Lauren | Maxson | Yoder Ainlay Ulmer & Buckingham | | | Human Rights | 2021 - 2024 |
| 7 | Thomas | Nickel | Marv & Tom's Truck Service | Secretary | 2020-2023 | Executive | 2021 - 2024 |
| 8 | Philip | Noonan | Honeywell, Retired | | | | 2021-2024 |
| 9 | Kristine | Osterday | Elkhart County, Judge | Vice Chair | 2021-2022 | Human Rights | 2020-2023 |
| 10 | Jason | Pippenger | DJ Construction Company | | | Facilities | 2020-2023 |

Section 7. By-Laws

Agency By-Laws

Reference Exhibit D. By-Laws

ADEC Board of Directors has an established set rule or by-law established to provide a framework for its operation and management. The By-Laws were updated on November 18, 2021. These By-Laws specify the qualifications, rights, and liabilities of membership, and the powers, duties, and grounds for

the dissolution of an organization. Overall, they represent a framework established by ADEC to regulate itself and to achieve its mission.

Section 8. Key Governance Policies

Agency Policies

Reference Exhibit E. Key Governance Policies

In addition to set By-Laws, ADEC has 166 defined operational and governance policies that are reviewed and updated, as needed, annually.

Each policy has assigned responsibility and each policy is reviewed and signed by the President / CEO annually.

A subset of these policies has been tagged to be of specific interest and reliance to Board of Directors orientation, annual training and awareness:

| Policy Number | Title | Responsible Party |
|--|--|--------------------------|
| General Administration | | |
| 1.1.1 | Philosophy, Purpose, and Services | President / CEO |
| 1.1.3 | Information Management System | President / CEO |
| 1.1.9 | Corporate Compliance Program Policy | VP Human Resources |
| 1.1.12 | Risk Management Assessment Plan | President / CEO |
| Governance | | |
| 1.2.1 | Board of Directors Position Description and Board Roster | President / CEO |
| 1.2.2 | ADEC Board Committees | President / CEO |
| 1.2.3 | Summary Statement of Ethics Adhered to by ADEC | President / CEO |
| 1.2.4 | Conflicts of Interest | Compliance Officer |
| 1.2.5 | Guidelines for ADEC Nominating Committee | President / CEO |
| 1.2.6 | Board Orientation and Education | President / CEO |
| 1.2.8 | Legal Duties | Compliance Officer |
| 1.2.9 | Succession Plan Policy | President / CEO |
| Agency Organization Administration | | |
| 1.3.3 | Administrative and Operational Responsibility | President / CEO |
| Due Process Afforded Persons Served | | |
| 5.1.3 | Confidentiality | Chief Privacy Officer |
| Emergency Preparedness Plan | | |

| | | |
|------|-----------------------------|-----------------|
| 10.1 | Emergency Preparedness Plan | President / CEO |
|------|-----------------------------|-----------------|

Section 9. Quality Assurance

Performance

It is the policy of ADEC Inc. to establish and maintain a service business environment that emphasizes and delivers on quality services and quality actions.

The Quality Assurance Committee is responsible for overall governance and monitoring of quality as identified by the program and service organizations. This includes prioritizing, overseeing and monitoring the performance improvement activities, including individual served and environmental safety, within ADEC.

In November 2020, ADEC launched a new refreshed Quality Framework – 12 Components of ADEC’s Quality Framework – Delivering Excellence in Mission-Driven Programs and Services.

The members of the Quality Assurance Committee (QAC) play an institutional role in matters relating to the quality assurance of programs and services across ADEC to ensure successfully maintaining accreditations and certification and achieving all appropriate regulations and requirements.



MEMBERS:

- Standing Committee Members include:
 - Board of Directors - Member
 - President / Chief Executive Officer
 - VP Chief Program Officer
 - VP Human Resources
 - VP Protective Services – Committee Chair
 - Director of Quality Assurance (to be considered)

As a **committee** of ADEC, the purpose of this body is to monitor and provide governance on the implementation of the agency's policies, systems, procedures, strategies and resources for the management of the **quality** of the core functions, services and program offerings, to achieve our mission.

The committee provides oversight and governance to the Executive Leadership Team and the Program / Service Leadership Team to ensure that all employees

are aware of quality requirements and receive training in best practices and standards.

QUALITY FRAMEWORK

The following is the new refreshed Quality Framework Icon.



QUALITY TAG-LINE

“Delivering Excellence in Mission-Driven Programs and Services.

QUALITY FRAMEWORK COMPONENTS:

These components, along with the Indiana State Department of Health / Life & Safety surveys, are integral in meeting CARF accreditation and maintaining BDDS accreditations. The following are discussed and review through-out the calendar year.

There are 12 identified components of ADEC’s Quality Framework.

| 1) Person-Center Philosophy | 2) Policies & Procedures | 3) Governance & Leadership | 4) Key Compliance Roles | 5) Management System | 6) Workforce Development |
|--|---|--|--|--|---|
| <ul style="list-style-type: none"> •Life Course •PCISP •Client Rights •Client Handbooks •Client Appreciative Inquires | <ul style="list-style-type: none"> •By-Laws •Agency Policies •Personnel Manuals •Code of Ethics •Code of Conduct •Residential ICF Manuals | <ul style="list-style-type: none"> •Board of Directors and Committees •Executive & Program Leadership Teams •Management Team •Succession Planning •Climate Survey | <ul style="list-style-type: none"> •Chief Privacy Officer •Compliance Officer •Safety Officer •Health Services Coordinator | <ul style="list-style-type: none"> •Monthly Financials, Cost Reports , Metrics •Monthly Leadership Reports •BQIS and DDRS Reporting •Quality Assurance Committee •Annual Performance Evaluation •CEO SAS | <ul style="list-style-type: none"> •Capacity Building •Competency Based: In-Person and On-Site •Relias •New Staff Orientation •Management & Professional Development •Recruitment •Retention |

| | | | | | |
|--|---|--|---|--|---|
| 7) Sector & Community Engagement <ul style="list-style-type: none"> •INARF and ARC •Outreach and Advocacy •Donor Development | 8) Operational Direction <ul style="list-style-type: none"> •Strategic Plan •Fiscal Budget | 9) Risk Management <ul style="list-style-type: none"> •Enterprise Risk Management (ERM) •Safety, Health, Well Being •Information Technology & Cyber Protection | 10) Program Measurement <ul style="list-style-type: none"> •Accessibility Plan (May) •Risk Plan (Mar) •Diversity & Inclusion Plan (Nov) •Performance Measurements (Jan & July) | 11) Standards <ul style="list-style-type: none"> •Audits - Accounting, Fiduciary (Workers Com, 403B, etc.), DOL •Medicaid & Cost Reports - Annual & Audit every 2-3 Yrs •Licensures - Life & Safety, Department of Health •INDOT | 12) Accreditations <ul style="list-style-type: none"> •CARF - 3Yrs 2020-2022 •Better Business Bureau - Annually •Guidestar - Annually •BQIS Provider Reverification - 3Yrs 2020-2022 •Indiana Health Coverage Program Provider Revalidation - 5 Yrs 2019 - 2024 |
|--|---|--|---|--|---|

Unless otherwise noted, all components of the Quality Framework are reviewed, analyzed or reported annually.

Some recertifications may be three-year awarded.

| Content | Timing | Report to | Responsibility |
|--|---------------|---|---|
| Risk Management Plan | Annual | Report to Quality Assurance Committee | Statements of Assurance from Executive Team |
| Enterprise Risk Management | Annual | Report to Board of Directors, President / CEO | VP Finance |
| Critical Incident Analysis | Annually | Report to Quality Assurance Committee | VP Protective Services |
| Incident Reporting / Trend Analysis | Quarterly | Report to VP Programs, President / CEO | VP Protective Services |
| Accessibility Plan | Annually | Report to Quality Assurance Committee | Program / Service Leadership Team |
| Cultural Competency and Diversity Plan | Annually | Report to Program / Service Leadership Team | VP Human Resources |
| Corporate Compliance | Annually | Report to Board of Directors, President / CEO | Corporate Compliance Officer |
| Individuals Served Complaint / Grievance Report | Annually | Report to President / CEO | VP Protective Services |
| Performance Measurements | Annually | Board of Directors, President /CEO | Program / Service Leadership Team |

| | | | |
|---|-------------|---|-----------------------------------|
| Strategic Plan | Annually | Board of Directors | President / CEO |
| Emergency Preparedness Plan | Annually | Executive Leadership Team | President / CEO |
| Policies | Annually | ADEC | Assigned |
| Individuals Served Handbooks | Annually | Report to Quality Assurance Committee | Program / Service Leadership Team |
| Safety Management / Systems | Annually | Report to Quality Assurance Committee | Safety Officer |
| Licensing and Certification Report | Annually | Report to President / CEO | Controller |
| CARF Standards / Status | Bi-Annually | Report to Program / Service Leadership Team | CARF Employee team |
| ISDH Surveys | Annually | Report to Board of Directors, Quality Assurance Committee | Director Group Homes |
| Program/Service Leadership Reports | Monthly | Report to Board / President & CEO | Program / Service Leadership Team |

Section 10. Financial Annual Documents

There are several financial and compliance documents developed annually to meet reporting and compliance requirements. Six key financial documents are included in the Exhibits:

Reference Exhibit F. Audited Financials and 990 Tax

- Audited Financials for the most current prior fiscal year:
- Prior Fiscal Year Audited Financial Statements
- Prior Fiscal Year State Tax Return 990

Reference Exhibit G. Fiscal Year Whitepaper and Budget

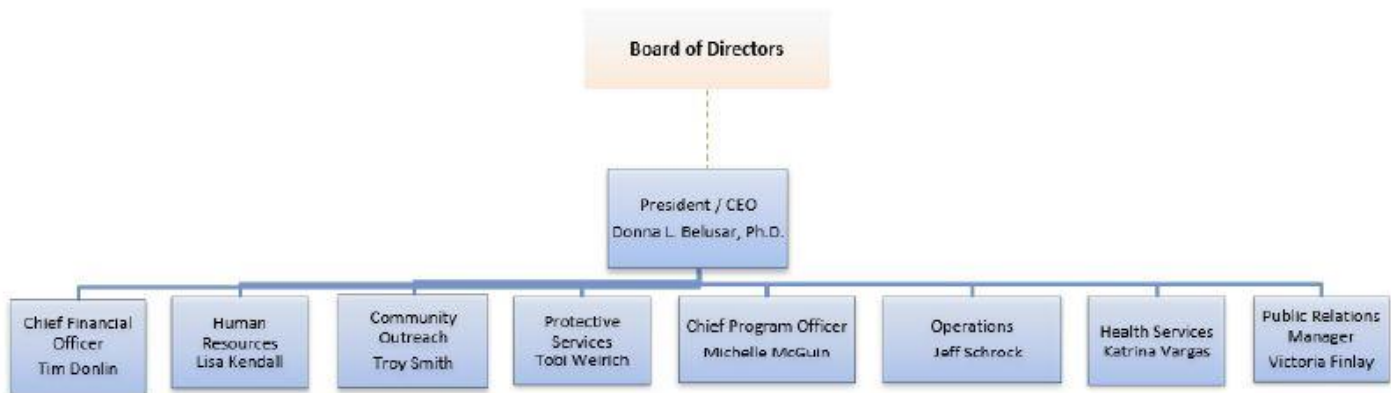
Current Fiscal Year Budget Commitment:

- Most recent Fiscal Year Budget CEO Whitepaper
- Most recent Fiscal Year Approved Budget

Section 11. Leadership

Organization

Tier 1 – **Executive Leadership Team** – direct reports to the President / Chief Executive



The President / CEO has identified key direct reports that are considered and referred to as the Executive Leadership Team. The **Executive Leadership Team** is the organization structure consisting of specific direct reports to the President / CEO. This team may change in number of members as roles change to meet the needs of the agency as defined by the President / CEO.

The Executive Leadership team is identified and shared publicly through the www.adecinc.com website.

The Executive Leadership team meets monthly, collectively, as a group, chaired by the President / CEO – second Tuesday of the month. At these meetings, critical agency wide items are addressed ranging from HR initiatives and actions, state and federal regulations and requirements, to specific needs in each of the areas. With the focus on mission driven items and person-centered philosophy, the open discussion style meeting encourages unity in fulfilling ADEC's mission.

There may be non-executive level roles that are reporting to the President/CEO and are considered members of the Program / Service Leadership Team. A specific role, Executive Administrative Assistant, is a non-executive direct report to the President / CEO, helps facilitate board activity, agency level administrative

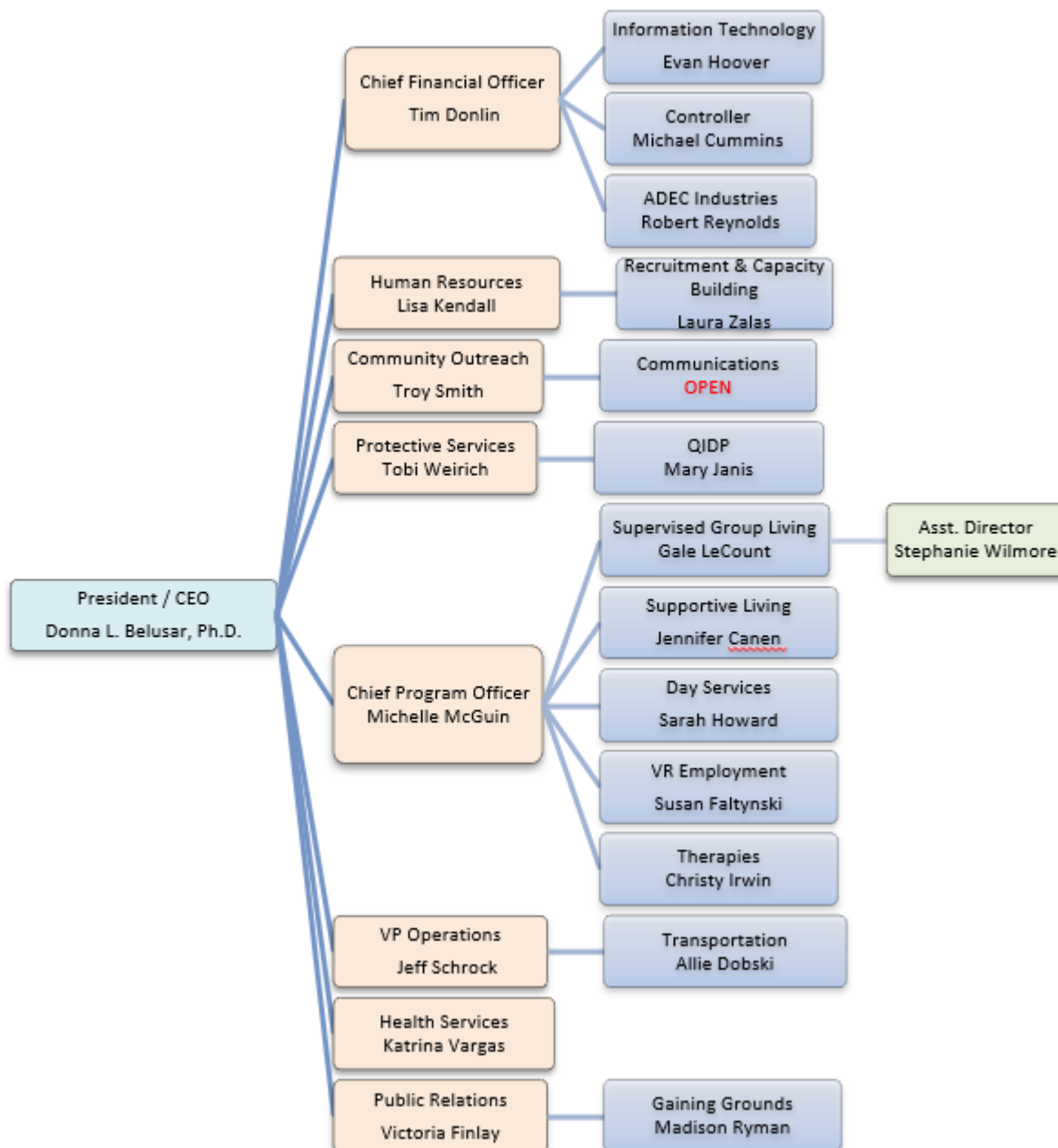
duties, and acts as the agency Safety Officer. In addition, the agency Health Services Coordinator, who leads the nursing organization is a direct-report, non-executive, role to the President / CEO.

Essential Functions of each respective Executive Leadership role are responsible for:

- I. Fulfilling all the duties in their assigned roles and have the overall accountability for the program and service deliverables of their organization.
- II. Planning, administering, and directing the overall operations and individuals served programs in their respective areas.
- III. Maintaining working knowledge of essential and mandated regulations and requirements to meet all certifications and accreditations.
- IV. Assuring the operational, capital, and tactical commitments, budgets, of each of their respective areas are met.
- V. Develop and monitor all cost center budgets and fiscal matters within each of their respective areas, including the development of new revenue options.
- VI. Providing leadership to their respective organizations by ensuring policies and practices are followed.
- VII. Ensuring communication and documentation is designated to facilitate employment engagement in achieving ADEC's mission.
- VIII. Establish and develop program objectives in accordance with agency goals and objectives.
- IX. Assured that person-centered programming and customer relations for services are implemented and achieved with the highest of quality measures.
- X. Fostering teamwork and collaboration across the program and service areas.
- XI. Modeling leadership and commitment both internally to staff and externally in community settings.
- XII. Familiarity and practice of key agency wide policies and procedures.
- XIII. Asserting to Code of Ethics, Confidentiality and Conflict of Interest.
- XIV. Promoting communication, cooperation, and continuous quality improvement in all settings.

- XV. Adhere to the highest of ethics and behavior as a role model for ADEC's mission of choice and possibility for those we serve.
- XVI. Advocate for ADEC and be representative at key agency events'; and
- XVII. Interpret and explain the purpose, plans and objectives to the Board of Directors and public at large as appropriate, servicing as staff liaison to Board committees as assigned.

Tier 2 – Program / Service Leadership Team



The **Program / Service Leadership Team** is the organization structure consisting of the direct reports to the President & CEO and the primary designated leaders for the established programs and primary service functions of the agency. This team may change in number of members as roles change to meet the needs of the agency.

ADEC continues with the very solid and strong team organization structure with a multi-member team that represents the core group responsibility, accountability, and person-center approach for the programs we offer to the individuals and families we serve and the infrastructure services that facilitate operating the organization.

Essential Functions of each respective program and / or service leader are responsible for:

- I. Fulfilling all the duties in their assigned roles and have the management and operational accountability for the program and service deliverables with-in the scope of their direct cost cents (organization).
- II. Planning, administering, and directing the operations and individuals served programs in their respective areas.
- III. Assuring the operational, capital, and tactical commitments, budgets, of each of their respective cost centers are met.
- IV. Keeping operations and implementation of programs to maintain regulations and requirements for appropriate certifications and accreditations.
- V. Develop and monitor applicable cost center budgets and fiscal matters within each of their respective areas.
- VI. Providing management leadership to their respective organizations by ensuring policies and practices are followed.
- VII. Establish and develop program objectives in accordance with agency goals and objectives.
- VIII. Ensuring communication and documentation is designated to facilitate employment engagement in achieving ADEC's mission.
- IX. Assured that person-centered programming and customer relations for services are implemented and achieved with the highest of quality measures.

- X. Fostering teamwork and collaboration across the other program areas.
- XI. Modeling leadership and commitment both internally to staff and externally in community settings.
- XII. Asserting to Code of Ethics, Confidentiality and Conflict of Interest.
- XIII. Promoting communication, cooperation, and continuous quality improvement in all settings.
- XIV. Advocate for ADEC and be representative at key agency events; and
- XV. Adhere to the highest of ethnics and behavior as a role model for ADEC's mission of choice and possibility for those we serve.

Tier 3 – Functional Agency – **key positions**

The following roles have responsibilities to help facilitate and ensure quality and compliance to achieve regulations, requirements and standards across the agency programs and services:

- **Chief Privacy Officer** - Manager, Information Technology, Evan Hoover
- **Compliance Officer** – VP Human Resources, Lisa Kendall
- **Safety Officer** – VP Protective Services, Tobi Weirich
- **Health Services Coordinator** – RN, Katrina Vargas

Executive Bios

President and Chief Executive Officer



Donna L. Belusar, Ph.D.; President & CEO

Donna L. Belusar, Ph.D. was named President and CEO of ADEC in the fall of 2013 after her hire as CFO in 2012. Prior to her tenure at ADEC, Donna served as a senior vice president with CTS Corporation in Elkhart for four years. In this role, she acted as CFO and oversaw Human Resources and IT. Belusar spent 26 years climbing the ranks at International Business Machines Corporation. In the last eight years of her time with IBM, she worked as the corporate headquarters program manager, executive director of internal audits for corporate, Americas and Asia Pacific and executive finance director for global financing in the United States, Brazil and Mexico. Donna holds an honorary doctoral degree in corporate enterprise management from Binghamton

ADEC proudly advocates for and serves people with intellectual and developmental disabilities so they live lives full of informed choice and possibility."

University, an MBA in finance from Binghamton University and a BS in business engineering from Michigan Technological University.

When asked why she enjoys working at ADEC, Donna says, “Being part of ADEC and our community is professionally and personally rewarding. I feel all my prior work experience and my personal achievements have led me to be where I am today – here at ADEC – connected with the community and raising the dreams and aspirations of those who we serve. The lasting positive impact ADEC services provides is so rewarding – in the lives of the individuals we serve to the families that count on us to be there and provide guidance, to the extended communities where we are engaged every day, to our donors who trust and see where their generous gifts are going, to the local businesses who hire and provide work, and to our staff who know everything they do is genuinely supported and believed in. We truly are an organization that provides choice to all and our possibilities are endless. It’s an honor and a privilege to work here.”

VP, Finance and Chief Financial Officer



Tim Donlin; Vice President & CFO

Timothy Donlin oversees ADEC’s financial and information technology operations. He joined ADEC in November of 2020. Prior to ADEC, Timothy worked as a CFO for an automotive parts manufacturer and distributor in Southwest Michigan. He has also held financial management roles with Patrick Industries and Whirlpool Corporation. He has earned an MBA from Indiana University South Bend and a BS in accounting from Indiana University Bloomington. When asked why he enjoys working at ADEC, Timothy appreciates the opportunity to apply his financial knowledge and experience to help further the mission and support the wonderful people that ADEC serves.

VP, Human Resources

Lisa Kendall; Vice President, Human Resources

Lisa Kendall oversees ADEC's Human Resources department, which includes staffing, benefits, training, safety and corporate compliance. She came to ADEC in June of 2002 and held a variety of positions within Human Resources before receiving a promotion to Vice President. Lisa spent seven years at Kelly Services as an Office Manager for their Elkhart offices. Prior to this, she spent one year as a staff liaison at the Elkhart Chamber of Commerce. She holds a BA in Communications and Business from Bethel College and a Professional Human Resources certification. When asked why she enjoys working for ADEC, she describes ADEC's mission and the staff's commitment to the people ADEC serves.

VP, Residential Operations (OPEN, February 17, 2021)Chief Program Officer

Michelle McGuin; Vice President, Chief Program Officer

Michelle serves in an operational role at ADEC, leading Supported Living, Supervised Group Living, Day Services, Therapies and Employment Services. She came to ADEC in January of 2001 to oversee the First Steps program and serve as a case manager for waiver services. When the First Steps program was discontinued at ADEC, she grew the Family Services department to offer the wide range of services listed above. In 2016, due to her experience and knowledge of transitions and waiver processes, Michelle took the helm of Employment Services as well. Prior to her time at ADEC, Michelle spent 19 years as a behavioral counselor at Behavioral Healthcare Services. She holds a Master of Public Health degree from Cambridge State University and a BA in psychology from Indiana University. When asked why she enjoys working at ADEC, Michelle cites watching families and children develop due to the programs we implement.

VP, Protective Services



Tobi Weirich; VP Protective Services & Guardianship

Tobi Weirich serves as ADEC's VP of Protective Services and Guardianship and also leads ADEC's CARF accreditation processes and Quality Assurance program. Tobi investigates all reports of alleged abuse, neglect and exploitation while also leading ADEC's guardianship program, which is designed to protect individuals with disabilities and help them make important medical and personal decisions. ADEC has been a part of Tobi's life since she was a child, when she volunteered for Ride-A-Bike and other events with her mom and sister. Because Tobi's aunt worked at ADEC, Tobi also remembers spending holidays with individuals from ADEC who had nowhere else to go. As soon as Tobi turned 18 and met the requirements to work for ADEC, she applied to begin her career in 1993. She started at ADEC as a direct support professional and then transitioned to the role of a guardian advocate before being promoted to her current position in 2017. "It's not just a job. It's a way of life. It's what we do. We're here for a reason, and that is to serve the people who deserve the best life possible," Tobi said of her calling to work for ADEC.

VP, Maintenance and Transportation



Jeff Schrock; Vice President, Maintenance & Transportation

Jeff Schrock oversees maintenance for ADEC's 28 locations and coordinates transportation for all group home clients, ADEC Industries and client attending day services within Elkhart County. He came to ADEC in July 1985 as the fleet mechanic for ADEC's transportation department. He spent 27 years in this capacity as his maintenance responsibilities increased. Jeff holds a degree in auto and truck technology from Lincoln Technical Institute. When asked why he enjoys his work at ADEC, he says, "The clients, the staff, the variety, and mostly the fact that we do something that makes a difference for people in our little part of the world. By working at ADEC I get the opportunity to see individuals we serve and staff alike, reach their potential by trial and error and natural abilities without the fear of failure."

VP, Community Outreach(OPEN, August 23, 2021)Manager of Public Relations

Victoria Finlay; *Manager of Public Relations*

Victoria Finlay serves as ADEC's Executive Administrative Specialist. She reports directly to the President/CEO, serving as the staff liaison to the Board of Directors, Human Rights Committee and Finance Committee. Victoria is also the ADEC Safety Office. She came to ADEC January 2019 from the Ruthmere Foundation. She has received her BA in History and Anthropology from Indiana State University and her Master's in Museum Studies from Johns Hopkins University. Despite spending most of her career in the museum field, Victoria has been working for non-profit organizations since 2013. When asked why she enjoys working at ADEC she said, "Everyone deserves a chance. Being able to provide the clients with informed choices and possibilities is extremely rewarding. When you see them smile you know exactly why you began working here in the first place."

Section 12. Risk Management

Risk Management Assessment is designed to help identify areas of risk and minimize risk exposure by having policies, procedures and practices and in place to ensure that our individuals served, employees, assets, functions, objectives, operations or members of the public are not adversely impacted by risks that threaten or may potentially threaten ADEC.

Risk Management Assessment Plan is considered part of strategic, operational, compliance, financial and reputational responsibilities and is integrated into the strategic and business planning process.

OBJECTIVES:

- To ensure risk management is adopted throughout ADEC as a prudent management practice

- To ensure that all employees are made aware of the need to manage risk and to promote a culture of participation in that process
- To protect ADEC from adverse incidents, to reduce its exposure to loss and to mitigate and control loss should it occur
- To ensure the ongoing unimpeded capacity of ADEC to fulfill its mission, perform its key functions and meet its objects and serve its individuals served

Enterprise Risk Management (ERM)

The responsibility of maintaining the ERM Framework, annual review and reporting to the President/CEO and the Board of Directors is the VP Finance / Chief Financial Officer.

ERM Provides a framework to identify risks, measure their likelihood of occurrence, and manage the impact of potential risks.

The Scope of EMS is broad, bringing together risks from across the enterprise, or agency:

- a) Board of Directors
- b) Financial Controls
- c) Systems Security
- d) Human Capital
- e) Operations
- f) Compliance

The following is the Enterprise Risk Management Framework:

Enterprise Risk Management

ERM Provides a Framework to:

- Identify Risks
- Measure Their Likelihood of Occurrence
- Manage the Impact of Potential Risks

The Scope of ERM is Broad

Addressing Risks from Across the Enterprise

- Board of Directors
- Financial Controls
- Systems Security
- Human Capital
- Operations
- Compliance

Agency Wide Emergency Preparedness Plan

- Assures the Health, Safety and Well-Being of Individuals
- Utilizes Appropriate Emergency Services
- Identifies All-Hazard Emergency Situations
- **Responses to Pandemics (new 2020)**

The following are the detail components of the Pillars of Governance which identifies the many discrete items that are reviewed and addressed at specific time requirements (monthly, quarterly, annually or as requested) depending upon the nature of the item.

ADEC prioritizes its resources to mitigate risk, while maintaining the ability to meet its strategic goals.

Enterprise Risk Management - Pillars of Governance

| Insurance | Financial | Fiduciary Responsibility | Technological | Human Capital | Strategic/ Operational/ Reputational | External Compliance | Board of Directors |
|---|--|--|---|--|--|---|---|
| Commercial Property, Casualty, D&O, and Cyber-Security (A) | Reporting (M) Budgeting Including Capital Needs and Funding Plans (A) Audits (A) Asset Protection (O) | Health Care Mgmt (M) Benefit Plans (A) ACA Compliance (O) Retirement Plan Investment/Fee Review Compliance Testing 403B and 5500 (A) | Data Privacy (A) Security (O) Disaster Recovery (A) Redundancy (A) Systems Plan (A) Response to Pandemic | Skill Alignment (O) Pre-Employment & Annual Screening (O) Turnover (M) Employee/Client Safety (A) Policies (A) Conflict of Interest (A) TB Screen (A) Check Driver's Record Upon Hire (A) EEOC Compliance (O) Pandemic Response | EPA at AI (O) OSHA (O) Ability to Execute Key Strategies (A) Reliance on Outside Providers (A) Public Perception (M) Donor Management (M) Training (O) Emergency Preparedness Plan - Policy 10.1 Safety Man. Policy 11.0 Pandemic Response | Admin & Governance Policy Including HIPAA (A) Accreditation/CARF (3) <i>Valid through 1/31/2023</i> Group Home Licensures (A) State Board of Health (A) Indiana Disability Rights for 14C (as requested) CMS/FSSA policy (O) Title VI - Federal Transit (O) DOL Audits (as requested) Waiver Provider Enrollment Validation (3) <i>Valid through 1/31/2023</i> Pandemic Response | By-Laws Code of Conduct Conflicts of Interest Overall Governance Committee Participation Pandemic Response |
| Workers Compensation Statutory and Employer Liability Coverage (A) | | | | | | | |

Review Frequency: O - Ongoing M - Monthly A - Annually 3 - Completed Every Three Years

Program/Services Risk Management Assessment

Risk Management Assessment for each of the program areas is developed from input and discussion with the program and services leaders up to their respective Executive Leaders with the overall reporting responsibility to the Quality Assurance Committee. The Quality Assurance Committee has the responsibility, led by the Executive Program Vice Presidents and President / CEO direct reports, with input from program leaders and service leaders, to develop a new plan, annually, for the following year.

Input is given across all program / service areas to create a combine list of Area of Risk, Level of Risk, Areas of Impact and Action plan to Reduce Risk which should have identified action items that may be taken to help reduce or mitigate risk.

| # | Areas of Risk | Level of Risk (Likelihood) | Level of Risk (Impact) | Enterprise Risk Management Category | Areas of Impact | Course of Action to Reduce Risk <i>Identified action items that may be taken to help reduce or mitigate risk</i> |
|---|---------------|-------------------------------|---------------------------|-------------------------------------|-----------------|---|
|---|---------------|-------------------------------|---------------------------|-------------------------------------|-----------------|---|

New for 2020 was the addition of Pandemic. Twenty-seven discrete and inter-related areas of risk were compiled. This comprehensive list of Risks is included at the end of the report. The areas of risk are mapped to ERM to form the Risk Matrix.

Rick Assessment Risk Matrix

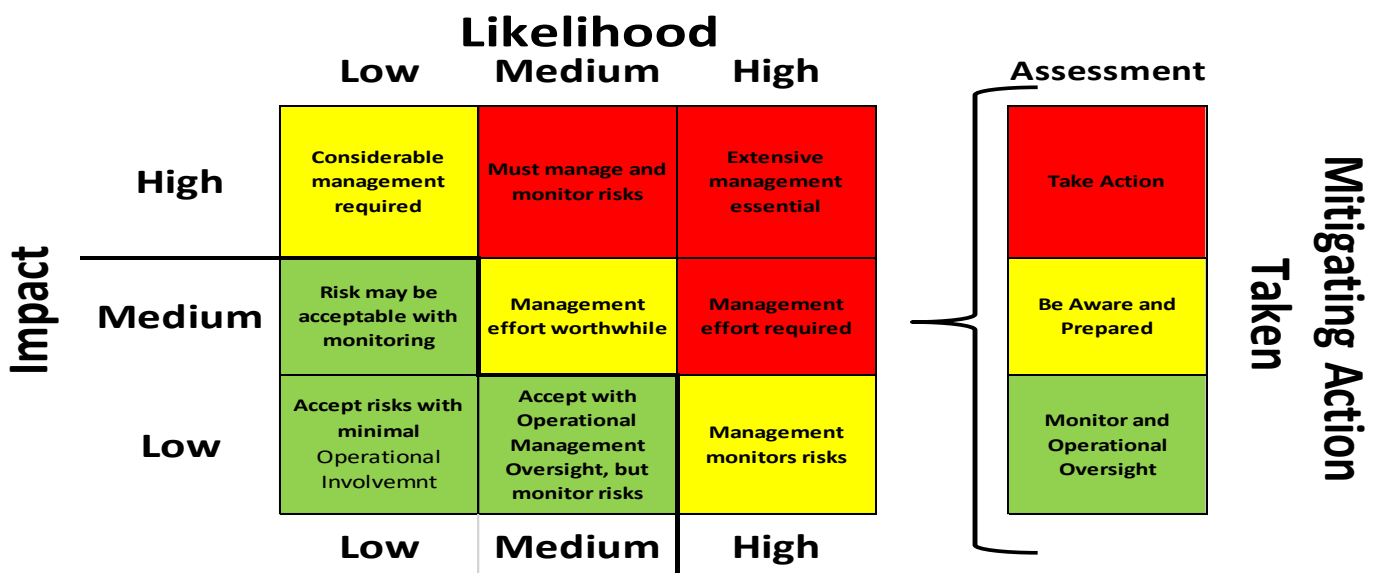
The comprehensive list of Areas of Risk is mapped to ERM to form the Risk Matrix. This combines to reflect:

- Likelihood of Risk - Low, Medium, High;
- Impact of Risk - High, Medium, Low; and
- Mitigating Actions Taken.

Risk is color coded to visually identify high risk (red), medium risk (yellow) and low risk (green).

Areas of Risk are mapped to level of Risk and Assessment of Impact to Agency.

Risk Management Matrix



Statement of Assurance

Statement of Assurance is required annually by the following roles to the President / CEO of the agency:

- VP Finance
- VP Human Resources
- VP Chief Program Officer
- VP Maintenance and Transportation
- VP Protective Services

Evaluation of actions is taken annually, at the end of calendar year, through a collaborative discussion, evidence-based review, to indicate from the perspective of the executive leadership team, direct reports to the President / CEO, if the action plan(s) were effective for each area of risk.

The assertion means that effort, activities and deliverables were executed and implemented throughout all of calendar year, across the program areas and service functions, to meet the intent to reduce and / or mitigate level of risk in the areas identified.

Actions taken would include many of the identified action plans in the Risk Management Plan and the ongoing incorporation of Enterprise Risk Management across agency operations. Evidence can be seen through documented Relias training, conformity and compliance with any required certifications and state level requests, documented incident reporting, updated provided through monthly management results, external audit reports, all compliance and financial reporting requirements and successful reimbursement of services provided.

Section 13. Operational Overview

ADEC

Fiscal Year 2021 has been a year of unprecedented challenges, essentially the past sixteen months of worldwide uncertainty, because of the Coronavirus virus pandemic. The pandemic and the wide-reaching decisions, reactions and proactive steps taken at every level – worldwide, federal, state, local and at ADEC - have changed our landscape. It requires one to pause, catch our breath, and share what

magnanimous steps we have taken to not only respond to the pandemic but also strengthen the agency for sustainability, adaptability, and commitment to our mission.

When you shine the lights of Aux Chandelle on those we serve, you will see a stronger and reinvigorated organization, built upon the values and humble gratitude towards the true heroes – essential workers – #teamADEC.

As one walks through the doors of any of our ADEC facilities, you will enter a ‘new norm’ that reflects procedures and protocols in place to safeguard and help protect clients, employees, and families from spread of COVID-19. With face coverings, temperature monitoring, check-ins, continuous disinfecting and cleaning, quarantine rooms, social distancing, and more – you may find a quieter atmosphere with no visitors or volunteers. However, the joy, camaraderie and active treatment is there, just slightly muted. However, if you listen closely, you will hear the echoes of clients returning to services, clients being active and engaged and a lifting of spirits.

These past sixteen months has impacted our service industry – providers in a Medicaid based service IDD care and personal services. During this time, across Indiana, there have been several agencies in our industry, many of them active members in our trade associations (INARF and The Arc) that have had to make decisions to combine or merger as they could no longer operate independently. Some ‘collapsed’ leaving hundreds of clients seeking new providers for residential and day services. It is believed that the pandemic added to the pressures and is a contributing factor in the shortage of staff, the decline of clients participating in programs and just the underlying stress of being in personal care, essential workers, non-medical health services surrounded by a deadly virus. Indiana FSSA took steps to offer and make available funding, such as the BDDS DDRS Sustainability Grants, of which ADEC participated in. In addition, updates and relaxing of service rules, under CMS Appendix K authorization, gave providers the ability to offer telehealth services.

ADEC was proactive and intentionally focused on the care of the employees and the individuals served throughout the pandemic. Equally though, was the executive team’s diligence on ensuring sustainability by looking ahead to create a structure that could continue in the current and post-virus environment. The fiscal year started with suspended programming, isolated clients into residential settings due to confirmed

covid cases and resulting quarantines, federal and state legislative actions that impacted the workforce, due diligence and pursuit of federal and state stimulus funding, and grace and emotions of deaths due to covid.

Discussions and reviews lead to restructuring actions in both the non-residential and residential areas. Review of job descriptions and services linked directly to Home and Community Based Services waiver and Indiana State Department of Health codes for group homes led to the elimination of some roles (administrative and executive) that were no longer needed or redundant with other roles. Administrative staff level changes have been made in the both the non-residential and residential programs to better align costs with revenues and to simplify the organization. In addition, given the economic impact on manufacturing customers, ADEC Industries did not reopen the 14C work certificate and converted to competitive integrated employment. Conversely, ADEC reformatted and remodeled unused space at ADEC Industries and opened a new day service facility – The Hub – which meets the needs of higher functional individuals who are interested in job skill training and want an option that is different from the traditional day service locations.

To help attract new hires, ADEC made the decision to increase starting wages to \$15 / hour for field direct support personnel and is the process of completing a comprehensive wage analysis across all roles. All these actions are helping to position ADEC on a positive trajectory to build up the workforce and reward the true heroes – essential workers – #teamADEC.

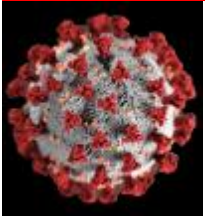
Through all of this, Fiscal Year 2021, ADEC's mission of informed choice and possibility, the spirit that drives our decisions and actions every day was fierce, protective of those we serve, thankful for the generosity from the community and grateful for the commitment of our staff.

We also had the quiet recognition of ADEC's 69th birthday and we are already planning for a community based outdoor 70th birthday, a celebration, in July 2022. We aged with grace during a period of uncertainty, surreal changes, with the lights of Aux Chandelle burning bright and clear to guide us.

Unlike years past, which reflected high engagement with the community and employees, the pandemic necessitated a 'virtual technology-based' response – to

clients, to employees, to donors and to our community. The past year has been a ‘virtual decision making and engagement world’. We leveraged technology across all programs and operations and maintained an active pulse in advocacy, employee engagement, reaching families and donors and hearing our voices in the legislative process to address state-wide needs in our industry.

Coronavirus Impact



ADEC implemented eight agency level policies in respond to the coronavirus pandemic. These policies have been distributed to key ADEC personnel and Board of Directors as well as required reporting to FSSA/DDRS, BQIS, and other state organizations.

- Policy 12.0 – Timeline
- Policy 12.1 – ADEC COVID-19 Temporary Paid Time Off Policy
- Policy 12.2 – ADEC Non-Residential Program Services
- Policy 12.3 – ADEC Administrative Infrastructure Support Functions
- Policy 12.4 – COVID-10 Waiver Release Form
- Policy 12.5 – ADEC Residential Procedures
- Policy 12.6 – ADEC Social Enterprise Operations
- Policy 12.7 – ADEC Respiratory Protection Program
- Policy 12.8 – ADEC Visitor Screening Questionnaire
- Policy 12.9 – ADEC Reinstates Mask Mandate, effective 8/11/2021
- Policy 12.10 – CMS Omnibus COVID-19 Health Care Staff Vaccination
- Policy 12.10 FORM – CMS Religious Accommodation Request Form

ADEC suspended non-residential services in March 2020 and began limited reopening of programming services in June and July 2020. Programming services continue to be limited in capacity as covid-19 protocol and procedures are in place. We anticipate relaxing some of these restrictions, such as mask mandate, in July 2021.

Prior to COVID-19, ADEC was serving an average of 1300 individual program participants from across St. Joseph and Elkhart Counties. ADEC’s services respond

ADEC proudly advocates for and serves people with intellectual and developmental disabilities so they live lives full of informed choice and possibility."

to the needs of people of all ages who experience developmental disabilities and delays. From infants to senior citizens, ADEC provides direct services; information or referrals to help individuals and families meet the challenges of living with disabilities.

As the covid vaccine became available, all ADEC employees were eligible to receive the covid vaccine. ADEC worked with CVS Omnicare to arrange vaccine clinics for residential clients served. Since January 2021, average clients served is about 1100, a 15% reduction from pre-covid days.



ADEC is operating six discreet day service program sites, 14 group homes, multiple apartments based and ADEC owned home-based clients, youth programs, and employment, ADEC Industries, transportation, and guardianship. With nearly 300 employees, and a hiring need of approximately 100 full time equivalents.

It was all-hands on deck in managing and operating during the height of the covid pandemic and the ongoing efforts to minimize its impact on the agency. Despite the environment, ADEC continued with programs and initiatives that build upon community inclusion, employee engagement, enhancing our culture, and financial sustainability. The following are some of Fiscal Year 2021 highlights in advocating, programming, governance, and engagement.

Fiscal Year 2021 Highlights

- First Annual “Picture Possibilities” fund raising event, replace legacy physical Ride-A-Bike ‘Fun-raiser’

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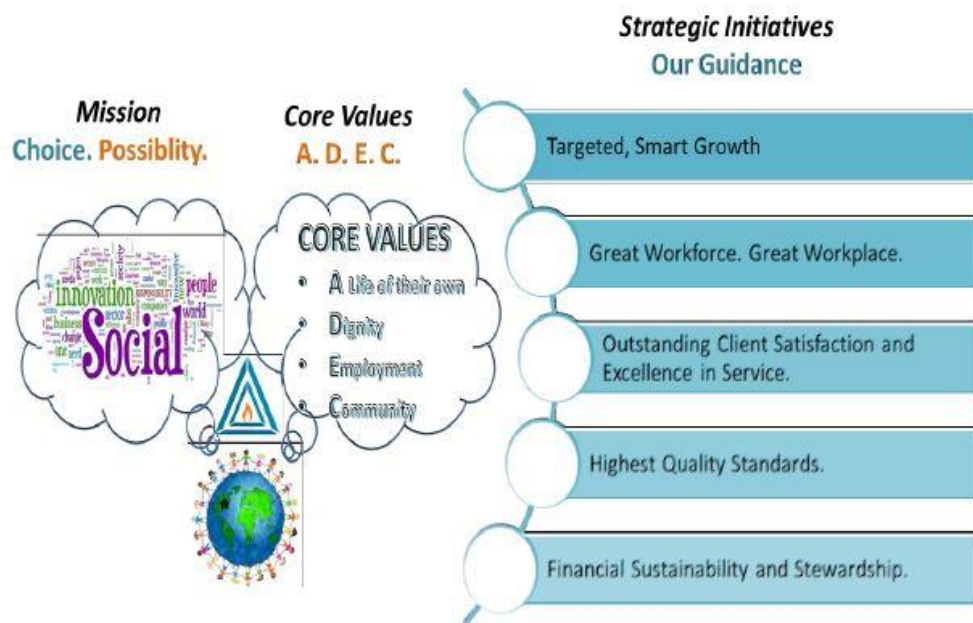
- Increased reach with telecommunications
 - Quarterly “Catching up with ADEC” with President/CEO and Donor Development
 - Multiple Facebook live updates
 - Hosted Family Forums on Medicaid and social security benefits eligibility and advocacy
 - Participated in numerous tele-web discussions, webinars, and interactive meetings with BDDS DDRS, INARF and The Arc as well as “covid live” updates from Lt. Governor and Governor Holcomb
- Human Resource initiatives to build employee engagement and improve retention
 - Quarterly wage initiative
 - Hazard pay to work in homes with active covid
 - 4% wage increase to all active employees (August)
 - May increase starting wages to \$15 and completed comprehensive wage analysis resulting in an average of 14.5% increase
 - Vacation buy-back up to 80 hours
 - Paid up to 14 days for Paid Time off related to COVID
 - Increase tuition reimbursement
- Participated in federal and state level stimulus programs
 - Applied, received and granted ‘forgiveness’ of \$2.0(million) loan as part of the Paycheck Protection Program
 - Applied and received Sustainability ‘Grants’ from Indiana BDDS
 - Sustainability Grant Bonus I – paid in December 2020 and April 2021
 - Sustainability Grant Bonus II – accrued, to be paid in September and December 2021
- Participated in 1102 Taskforce Employment Workgroup
- Succession Planning with direct reports and program service leadership team
 - Restructuring in both non-residential (day service, ADEC Industries) and residential services
 - Retirement of VP/CFO – new hire
 - Combine to singular Chief Program Officer
- Implemented mandatory Electronic Visit Verification requirement for specific HCBS waiver services

- Invested in long-term cybersecurity protocol, SentinelOne suite of security programs and Next-Gen antivirus and antispayware, to better protect individuals served and agency information
- Collaboration with City of Goshen for sensory trails to identify aids and technology that will enhance the experience for individuals with disabilities to connect with nature in a fully immersible sensory trail experience
- Improved audit and accountability of client financing with transfer of monthly auditing of client accounts to finance team (pulled out of direct programming area)

A notable attainment, that ADEC had been discussing and seeking for many years, is a new facility in St. Joseph County for programming. In May, ADEC purchased the former South Bend VA Clinic. With an estimate work plan of \$2.5(million) for renovations, the plan for occupancy and program ribbon cutting is in February 2021. Funding for this expansion is from marketable security holdings, operational accounts, in 1st Source Bank.

Exhibit 2. Strategic Initiatives

ADEC has a firm Mission Statement, a strong and defined set of Core Values and identified Strategic Initiatives as our guidance, ADEC is positioned for this ‘new norm’.



Organization Structure:

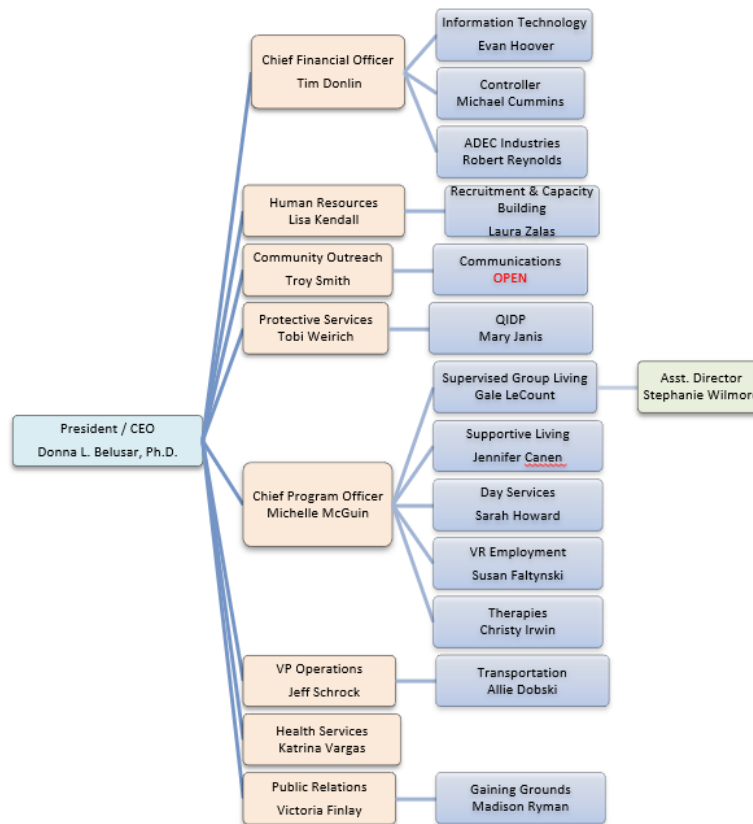
ADEC has a Governance Board, current with eleven volunteer members, which provides guidance and governance to Ms. Donna Belusar, Ph.D., the President / CEO. Ms. Belusar has been with ADEC since March 2012 and continues to provide executive leadership for all aspects of the agency. In October 2019, three board members stepped down with the end of their terms. The eight-member executive leadership team is fully staffed.

Executive Leadership Team



ADEC continues with the very solid and strong team organization structure recognized as the Program / Service Leadership team. This a twenty-one-member team that represents the core group responsibility and accountability for the programs we offer to the individuals and families we serve and the infrastructure services that facilitate operating the organization. Currently, the Director of Day Services is open, and we are recruiting for the role.

Program / Service Leadership Team



Information used to monitor the Performance of the Organization:

Expectations, requirements and training are set throughout the organization with significant emphasis on quality assurance, compliance, and delivery of services to the highest standards. ADEC identifies this as the Quality Assurance Framework and sets the platform for accreditations and certifications to help ensure that ADEC can achieve the highest of care for those we serve.

This baseline understanding of expectation and training starts with New Staff Orientation and is continuous throughout the year with many documented trainings, primarily captured in on-line Relias but also tracked in Human Resources, Transportation and in the program areas, such as supervised group living (which has additional LTC ISDH requirements).

ADEC encourages the use of information technology with associated security of client and employee information to better balance compliance needs and the client specific needs of the clients. The investment in employee-based tools to access their work requirements, documentation of client specific information, reporting to all levels of regulatory agencies, compliance to HIPAA, helps secure ADEC's commitment to accuracy in data collection, reporting and

securing of information. These investments greatly expand the access and visibility of operational performance, direct client services performance using Shared Drives, increased/improvement detail monthly metrics, real-time access to emails and shared drives, protected electronic communication and improved and dedicated information to Board Members and employees.

Outcome Measurements process has been existing for many years and it is updated annually. With the most recent CARF accreditation, effective July 1, 2020 these are to be referred to as Performance Measurements. ADEC continues to develop and report in all services and programs within ADEC including Human Resources, Development, Maintenance and Transportation, Finance and I/T.

Monthly the President / CEO utilizes the monthly financial statements and detail that is provided from Financial Services as with working knowledge of Financial Edge pulls real-time detail and data on financials, client information, training, employee metrics and incident reporting. This information along with accompanying charts and graphs for the financials, staffing, and investment report allows the President / CEO to actively monitor the financial and operational progress of the agency.

Monthly, the President / CEO reviews the on-line {example L:\Monthly Reporting\FY20\Mar20} which has links to billing history by cost center, contract utilization, mission contracts, waiver reports as well as detail functional income statements. There are many other reports on the L. Drive which has secure access. The financial reports are augmented with operational reports such as the monthly management reports, monthly quality committee involvement, detail labor reporting, and more. These reports, which are required by CARF, the industry certifying organization, provide information regarding how the organization is performing in meeting the goals they have set forth in each of the program areas. Even more than a best practice to achieve accreditations and certifications, all these tools / reports provide headlights into the operations which gives the President / CEO the ability to make changes and re-direct as needed.

Ms. Belusar also reviews each incident report, ones that are reportable to the State of Indiana as well as reports that do not need to be files at the State, but we use them to track and trend. Reportable incidents may deal with not providing the right types or quantities of services for a client, committing abuse or neglect of a consumer, or committing medication errors.

Monthly Closing Process:

The second Wednesday of each month, prior to the financial close, the President / CEO has a multi-hour(s) meeting with the executive leadership team. At this meeting current issues and topics are addressed across all programs and services as well as strategic, personnel or regulatory items. The ‘round robin’ meeting has each leader identifying the key items they are addressing, and collaborative discussions are encouraged and welcomed to see if there is any help needed from any of the other areas. These meetings improve the connectivity of the programs, the flow of information and the overall team building of the leadership.

Ms. Belusar is kept current on issues and is briefed during the final closing discussions. The Vice President, Finance, chairs a working session with the financial services team to work with entries and preliminary numbers. Before the process is cultivated, monthly the VP Finance reviews with Ms. Belusar the health reporting and resulting over/ (under) liabilities. Once the entire process is complete, the financials are approved and published to the Program / Service Leadership team and the Board.

Monthly, a comprehensive Management Report is published and made available via secured portal to employees and the Board. The report includes: Accounts Receivable, ADEC Industries, Adult Habilitation, Community Employment, Compliance and Guardianship, Family Services, Group Homes, Human Resources, Information Technology, Mission Advancement, Persons Services, Protectives Services, Supported Living and Transportation. Where applicable, the program areas provide metrics to outcome measurements, strategic plan and the financials.

Budgeting Process:

The annual development of the next year's fiscal budget is a detailed process. There are upfront discussions with the leadership and management team on key assumptions – ranging from staffing and hiring needs to capital requirements. Detail line item preliminary budgets are given to each department leader and program leads. Multiple iterative discussions and changes are made based on one-on-one reviews of each. The overall process has been improved even further with the Board Finance Committee reviewing a draft of the proposed budget. At this meeting, any changes or recommendations are folded into the analysis.

Once any proposed revisions are made, Ms. Belusar approves the budget and provides to the board the numeric content as well as a comprehensive Budget Whitepaper. This whitepaper includes prior year programmatic achievements, building the bridge to fiscal year, the proposed budget, ADEC's reach to clients served, ADEC depth on employees, financial comments and closed with key success factors. The proposed budget is presented to the Board of Directors for their review and approval.

Variance Analysis:

Ms. Belusar discusses any key issues or variance to budget or monthly directly with each program lead. In addition, Ms. Belusar with the established monthly CEO Staff meeting, share current work items, address any key issues, work through agency wide elements and the monthly Program / Service Leadership team meeting.

Advocacy and Quality Assurance:

Ms. Belusar uses direct observation and direct client / employee interaction repeatedly throughout the entire organization. Prior to COVID-19, the President/CEO and many of the executive leaders regularly visited program locations. This has been suspended at this time as ADEC has implemented restricted visitor and restricted residential access.

Board meetings are held six times a year at the Bristol Gaining Grounds Center. ADEC demonstrated prudent foresight in an earlier proactive update to ADEC By-Laws allowing for the ability to tele-voice / tele-participation in Board

Meetings. As such, ADEC was able to seamlessly utilize conference calls and webinars to facilitate Board of Director meetings and board level committee meetings during COVID-19 restrictions.

Advocacy was risen to a higher level of focus and execution by the appointment of the VP Community Outreach. In this role, advocacy for clients and our services is highlighted. This role also includes all communication, donor development and social enterprise.

The commitment to quality and compliance is strengthen by the Quality Assurance Framework, Quality Committee, related policies as well as the rigorous approach to risk management and enterprise risk management. ADEC believes their approach to risk management and the ERM model is valuable and keeps the agency's focus on sustainability, safety and the health and well-being of clients and employees.

Meetings:

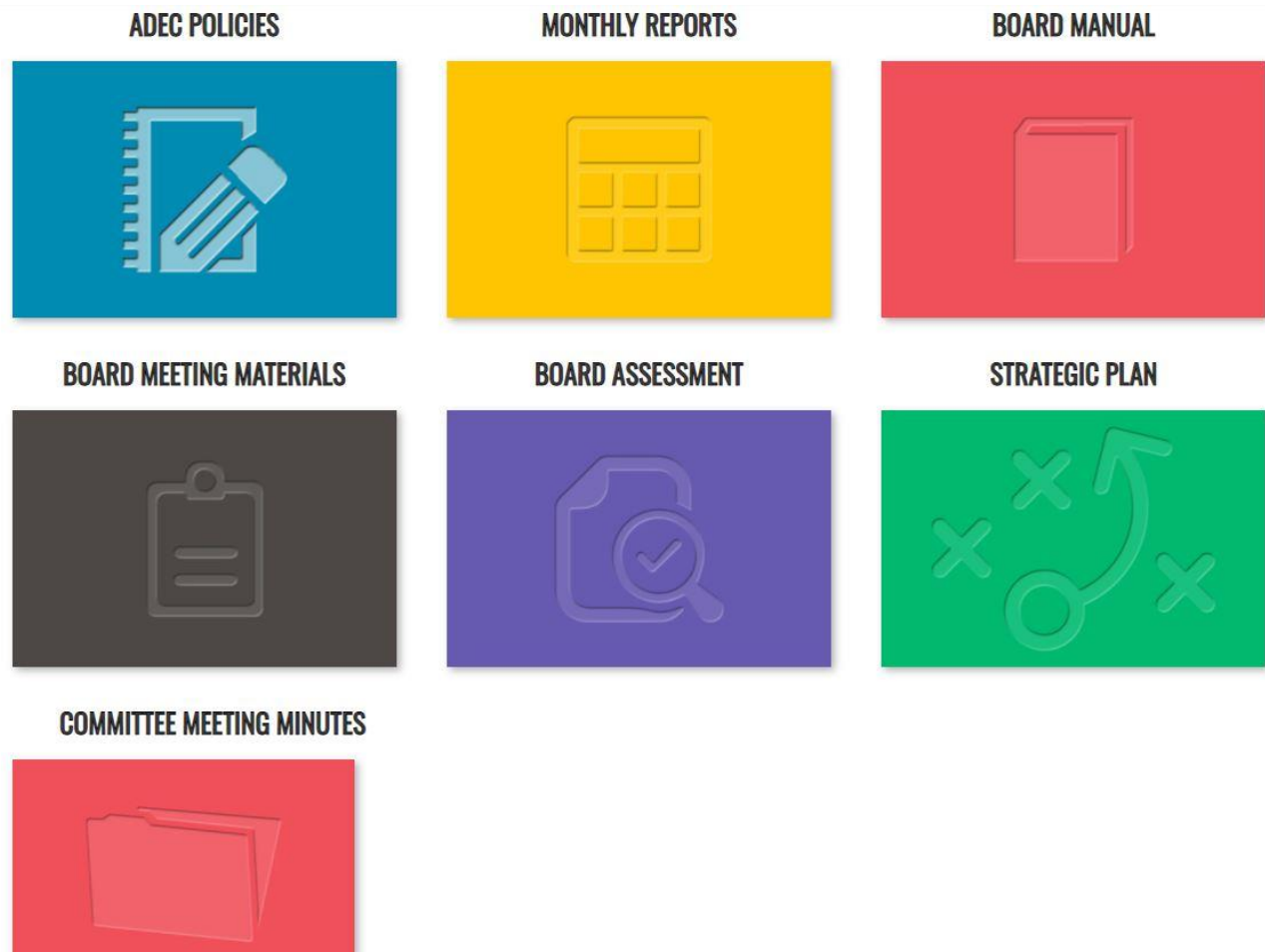
Ms. Belusar participates in the several Board committee meetings such as Human Rights, Guardianship, Finance, Executive, Quality Assurance and Facilities as needed.

Externally, Ms. Belusar participates in many community meetings that allow for greater awareness of community and public issues or concerns, federal and state regulatory status, and overall community awareness. These include local Chamber of Commerce, Non-profit CEO roundtables, Elkhart Rotary, Vibrant Communities, both the Community CDBG Annual Action Plan and more.

In addition, Ms. Belusar keeps a strong pulse of this industry through active participation in the two trade associations ADEC is a member of – INARF and The Arc. She regularly attends monthly meetings held in the Indianapolis region with the associations, peer executives from other agencies and state bureau officials.

Board Information - Monthly:

Monthly, key performance and financial data is provided to the Board of Directors. Information is communicated through email as well as posted to the access only (sign on and password) ADEC Website: adecinc.com/board:



At the formal Board of Directors meetings, the newly refreshed agenda has Consensus items and well as other items.

Monthly information includes:

- Board of Directors Financial Update
- Detail Financial Monthly Report
- Overtime Report
- Program / Service Leadership Reports
- Monthly Investment Report {provided to Finance Committee}
- Committee Meeting Minutes

End of Document