

## Exhibit A. Operational Snapshot



### ADEC Data Sheet

As of June 2021, Fiscal Year

Financial Summary	FY '21	FY '20	FY '19	FY '18	FY '17	FY '16	FY '15
Program Revenue	\$ 18,331	\$ 18,192	\$ 18,268	\$ 17,557	\$ 16,866	\$ 16,845	\$ 16,562
Total Expenses	\$ 18,110	\$ 18,872	\$ 17,977	\$ 17,554	\$ 16,543	\$ 16,973	\$ 16,365
Operating Surplus (Deficit)	\$ 221	\$ (680)	\$ 291	\$ 12	\$ 330	\$ (121)	\$ 220
Local Funding	\$ 3,391	\$ 904	\$ 967	\$ 1,035	\$ 1,132	\$ 1,143	\$ 816
<b>ADEC Agency Results</b>	<b>\$ 3,612</b>	<b>\$ 224</b>	<b>\$ 1,258</b>	<b>\$ 1,047</b>	<b>\$ 1,462</b>	<b>\$ 1,022</b>	<b>\$ 1,036</b>
Investment Return	\$ 4,344	\$ 953	\$ 1,240	\$ 951	\$ 1,274	\$ 124	\$ 319
<b>Total Surplus (Deficit)</b>	<b>\$ 7,955</b>	<b>\$ 1,177</b>	<b>\$ 2,498</b>	<b>\$ 1,998</b>	<b>\$ 2,736</b>	<b>\$ 1,146</b>	<b>\$ 1,355</b>
<b>Key Revenue Sources</b>							
Residential Services	\$ 14,063	\$ 14,366	\$ 14,070	\$ 13,210	\$ 12,978	\$ 13,154	\$ 12,640
% Total Revenue	77%	79%	77%	75%	77%	78%	76%
Non-Residential	\$ 2,515	\$ 2,623	\$ 3,017	\$ 2,874	\$ 2,586	\$ 2,565	\$ 2,834
% Total Revenue	14%	14%	17%	16%	15%	15%	17%
Industrial	\$ 754	\$ 902	\$ 979	\$ 1,191	\$ 1,203	\$ 1,050	\$ 1,005
% Total Revenue	4%	5%	5%	7%	7%	6%	6%
Other	\$ 1,000	\$ 300	\$ 202	\$ 282	\$ 99	\$ 77	\$ 83
% Total Revenue	5%	2%	1%	2%	1%	0%	1%
<b>Local Funding</b>							
Grants	\$ 2,286	\$ 49	\$ 116	\$ 33	\$ 175	\$ 321	\$ 20
United Way	\$ 60	\$ 93	\$ 136	\$ 173	\$ 183	\$ 183	\$ 183
County	\$ 650	\$ 550	\$ 451	\$ 451	\$ 451	\$ 451	\$ 451
Contributions	\$ 395	\$ 212	\$ 265	\$ 379	\$ 324	\$ 188	\$ 163
<b>Total Expenses</b>							
Salaries/Wages/Benefits	\$ 13,352	\$ 14,010	\$ 13,149	\$ 12,733	\$ 12,070	\$ 12,445	\$ 11,886
% Total Expenses	74%	74%	73%	73%	73%	73%	73%
Outside Services	\$ 430	\$ 347	\$ 394	\$ 331	\$ 304	\$ 325	\$ 505
Supplies	\$ 969	\$ 1,121	\$ 1,142	\$ 1,130	\$ 1,071	\$ 1,187	\$ 1,134
Occupancy	\$ 1,224	\$ 1,258	\$ 1,127	\$ 1,051	\$ 1,006	\$ 983	\$ 1,128
Equipment	\$ 207	\$ 235	\$ 213	\$ 207	\$ 198	\$ 256	\$ 286
Travel	\$ 613	\$ 617	\$ 621	\$ 629	\$ 599	\$ 610	\$ 630
Technology	\$ 516	\$ 424	\$ 475	\$ 445	\$ 378	\$ 340	
In-Kind Donations	\$ 17	\$ 15	\$ 8	\$ 97	\$ 60	\$ 10	
Other	\$ 782	\$ 845	\$ 847	\$ 931	\$ 858	\$ 818	\$ 795
<b>Insurance</b>							
Group Health Insurance	\$ 813	\$ 851	\$ 894	\$ 1,459	\$ 870	\$ 975	\$ 537
Workers Compensation	\$ 101	\$ 89	\$ 62	\$ 85	\$ 124	\$ 226	\$ 295
Property	\$ 48	\$ 44	\$ 27	\$ 33	\$ 38	\$ 31	\$ 35
Fleet	\$ 89	\$ 68	\$ 40	\$ 46	\$ 44	\$ 55	\$ 42
Liability	\$ 38	\$ 37	\$ 29	\$ 13	\$ 11	\$ 18	\$ 17

Demographics of Employees	FY'21	FY'20	FY'19	FY'18	FY'17	FY '16	FY '15
<b>Total Employees (On-Board)</b>	<b>327</b>	<b>355</b>	<b>393</b>	<b>334</b>	<b>359</b>	<b>363</b>	<b>378</b>
Salaried	14	13	13	14	13	56	53
Hourly	313	342	380	320	346	307	325
DSP Avg. \$ / Hour	\$ 15.64	\$ 12.15	\$ 11.51	\$ 11.29	\$ 10.68	\$ 10.18	\$ 10.21
<i>(Starting Wage)</i>	\$15.00	\$11.00/11.50	\$10.25/10.75				

Services Overview	FY '21	FY '20	FY '19	FY '18	FY '17	FY '16	FY '15
<b>Community Living Services</b>							
<b>Supervised Group Living</b>							
Revenue	\$ 10,722	\$ 10,713	\$ 10,807	\$ 10,398	\$ 10,240	\$ 10,455	\$ 10,175
Expenses	\$ 9,515	\$ 9,789	\$ 9,423	\$ 9,445	\$ 9,238	\$ 9,775	\$ 9,320
Operating S / (D)	\$ 1,207	\$ 925	\$ 1,385	\$ 953	\$ 1,002	\$ 679	\$ 855
<b>Supportive Living</b>							
Revenue	\$ 3,918	\$ 3,918	\$ 3,420	\$ 2,883	\$ 2,841	\$ 2,835	\$ 2,516
Expenses	\$ 3,986	\$ 3,983	\$ 3,049	\$ 2,670	\$ 2,521	\$ 2,616	\$ 2,505
Operating S / (D)	\$ (68)	\$ (65)	\$ 371	\$ 213	\$ 320	\$ 219	\$ 12
<b>Adult Training &amp; Vocational Support</b>							
<b>Adult Habilitation</b>							
Revenue	\$ 2,555	\$ 2,109	\$ 2,431	\$ 2,381	\$ 2,668	\$ 2,561	\$ 2,683
Expenses	\$ 2,380	\$ 2,529	\$ 2,768	\$ 2,745	\$ 2,549	\$ 2,598	\$ 2,622
Operating S / (D)	\$ 175	\$ (420)	\$ (338)	\$ (364)	\$ 119	\$ (36)	\$ 61
<b>Transportation Services</b>							
Revenue	\$ 166	\$ 144	\$ 219	\$ 177	\$ 254	\$ 413	\$ 139
Expenses	\$ 733	\$ 671	\$ 603	\$ 477	\$ 439	\$ 424	\$ 373
Operating S / (D)	\$ (568)	\$ (526)	\$ (384)	\$ (299)	\$ (186)	\$ (11)	\$ (233)
<b>Family Services</b>							
Revenue	\$ 566	\$ 539	\$ 439	\$ 381	\$ 307	\$ 277	\$ 286
Expenses	\$ 624	\$ 673	\$ 583	\$ 530	\$ 485	\$ 519	\$ 521
Operating S / (D)	\$ (58)	\$ (134)	\$ (143)	\$ (149)	\$ (178)	\$ (242)	\$ (235)
<b>Employment</b>							
<b>Community Employment</b>							
Revenue	\$ 812	\$ 763	\$ 907	\$ 889	\$ 580	\$ 581	\$ 713
Expenses	\$ 696	\$ 717	\$ 819	\$ 742	\$ 617	\$ 684	\$ 741
Operating S / (D)	\$ 116	\$ 46	\$ 88	\$ 147	\$ (38)	\$ (103)	\$ (28)
<b>ADEC Industries</b>							
Revenue	\$ 792	\$ 1,114	\$ 1,364	\$ 1,645	\$ 1,639	\$ 1,526	\$ 2,683
Expenses	\$ 932	\$ 1,268	\$ 1,569	\$ 1,676	\$ 1,627	\$ 1,640	\$ 1,500
Operating S / (D)	\$ (139)	\$ (154)	\$ (205)	\$ (31)	\$ 12	\$ (114)	\$ (19)
<b>Advocacy &amp; Agency Support</b>							
<b>Protective Services</b>							
Revenue	\$ 99	\$ 108	\$ 113	\$ 108	\$ 6	\$ 10	\$ 22
Expenses	\$ 201	\$ 191	\$ 184	\$ 159	\$ 208	\$ 226	\$ 208
Operating S / (D)	\$ (102)	\$ (83)	\$ (71)	\$ (51)	\$ (202)	\$ (216)	\$ (187)
<b>Expenses</b>							
<b>Community Outreach</b>	\$ 364	\$ 299	\$ 308	\$ 461	\$ 358	<i>(Included in Admin Expense)</i>	
<b>Administration</b>	\$ 2,168	\$ 1,962	\$ 1,741	\$ 1,767	\$ 1,614	\$ 1,949	\$ 1,970
<b>Eliminations</b>	\$ (1,322)	\$ (1,248)	\$ (1,329)	\$ (1,350)	\$ (1,499)	\$ (1,509)	\$ (1,428)

**Exhibit B. Strategic Plan 2019 - 2021**



**ADEC Data Sheet**

*As of June 2021, Fiscal Year*

<b>Demographics of Clients Served</b>		<i>(Calendar Year)</i>		<i>Unduplicated</i>			
AGES		<b>2020</b>	<b>2019</b>	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>
0-2		3	1	1	0	1	0
3-17		112	120	110	98	73	66
18-21		118	136	149	108	79	70
22-45		418	399	385	362	363	400
46-65		191	198	193	187	173	196
66-80		46	45	45	37	37	40
80+		6	8	5	5	4	5
<b>TOTAL</b>		<b>894</b>	<b>907</b>	<b>888</b>	<b>797</b>	<b>730</b>	<b>777</b>
Male	61%	549	547	540	477	426	446
Female	39%	345	360	348	320	304	331

<b>Ethnic Group</b>							
Caucasian	78%	693	716	686	614	589	638
Hispanic/Latino	5%	46	47	53	49	28	21
African-American	11%	102	108	119	104	91	97
Other	6%	53	36	30	30	20	21

<b>Primary Disability</b>							
01-Alcoholism	0%	0	0	0	0	0	1
02-Autism	22%	199	204	188	150	110	114
03-Cerebral Palsy	5%	42	40	41	36	33	32
04-Chemical Dependency	0%	0	0	0	0	0	0
05-Dyslexia	0%	0	0	0	0	0	0
06-Epilepsy	1%	7	9	8	8	10	6
07-Impairments of Aging	0%	0	0	0	0	0	0
08- Intellectual Disability	52%	466	478	478	476	486	477
09-Neurological	4%	32	30	26	18	11	12
10-Physical/Medical	3%	26	36	41	32	23	10
11-Psychiatric	7%	61	71	71	46	27	11
12-Infant at Risk	0%	1	1	0	0	0	0
13-Other (at Risk)	4%	36	20	11	6	9	36
14-Visually Impaired*	1%	13	11	17	18	11	9
15-Deaf/Hearing Loss	1%	11	7	7	6	7	7
16-Learning Disability	0%	0	0	0	1	1	2

<b>Clients Served - By Program</b>		<i>Covid Impact in 2020 and recovery into 2021</i>					
	<b>Jun-21</b>	<b>2020</b>	<b>2019</b>	<b>2018</b>	<b>2017</b>	<b>2016</b>	<b>2015</b>
<b>Total Served across programs</b>	<b>1101</b>	<b>1020</b>	<b>1342</b>	<b>1236</b>	<b>1286</b>	<b>1102</b>	<b>1103</b>
Residential Services							
Supervised Group Living	109	105	111	112	112	112	112
Supported Living	80	83	77	80	51	53	54
Day Services	259	244	274	266	266	255	243
Family Services							
Children Services	34	19	169	119	144	112	55
Therapies	197	159	197	169	159	129	165
Employment Services							
ADEC Industries	0	0	56	62	67	66	65
Community	277	286	295	298	303	207	244
Guardianship	57	58	58	61	61	61	60
Transportation	88	51	105	99	113	107	105

<b>Key Balance Sheet</b>	<b>FY'21</b>	<b>FY '20</b>	<b>FY '19</b>	<b>FY '18</b>	<b>FY '17</b>	<b>FY '16</b>	<b>FY '15</b>
Current Assets	\$ 30,660	\$ 24,771	\$ 21,214	\$ 20,508	\$ 18,889	\$ 16,814	\$ 15,870
Other Assets	\$ 6,209	\$ 6,056	\$ 6,296	\$ 5,030	\$ 4,326	\$ 4,080	\$ 3,662
<b>Total Assets</b>	<b>\$ 36,869</b>	<b>\$ 30,827</b>	<b>\$ 27,510</b>	<b>\$ 25,538</b>	<b>\$ 23,216</b>	<b>\$ 20,894</b>	<b>\$ 19,532</b>
Liabilities	\$ 1,210	\$ 3,123	\$ 983	\$ 1,510	\$ 1,186	\$ 1,600	\$ 1,385
Net Assets	\$ 35,659	\$ 27,704	\$ 26,526	\$ 24,028	\$ 22,030	\$ 19,294	\$ 18,148
<b>Total Liabilities / Assets</b>	<b>\$ 36,869</b>	<b>\$ 30,827</b>	<b>\$ 27,510</b>	<b>\$ 25,538</b>	<b>\$ 23,216</b>	<b>\$ 20,894</b>	<b>\$ 19,532</b>

<b>Key Assets</b>							
Investments	\$ 28,570	\$ 22,795	\$ 19,331	\$ 18,471	\$ 17,184	\$ 14,545	\$ 13,708
% Total Assets	77%	74%	70%	72%	74%	70%	70%
Net Accounts Receivable	\$ 1,538	\$ 1,458	\$ 1,520	\$ 1,410	\$ 1,392	\$ 1,364	\$ 1,314
% Total Assets	4%	5%	6%	6%	6%	7%	7%
Land	\$ 1,060	\$ 954	\$ 934	\$ 811	\$ 771	\$ 429	\$ 410
% Total Assets	3%	3%	3%	3%	3%	2%	2%
Net Buildings	\$ 4,343	\$ 4,313	\$ 4,427	\$ 3,755	\$ 2,570	\$ 2,773	\$ 2,788
% Total Assets	12%	14%	16%	15%	11%	13%	14%
Net Equipment/Vehicles	\$ 893	\$ 834	\$ 979	\$ 914	\$ 990	\$ 877	\$ 464
	2%	3%	4%	4%	4%	4%	2%

<b>Net Assets</b>							
Permanently/Temporarily	\$ 1,994	\$ 1,954	\$ 2,044	\$ 2,033	\$ 2,133	\$ 2,077	\$ 1,808
% Total Net	6%	7%	8%	8%	10%	11%	10%
Unrestricted	\$ 33,666	\$ 25,750	\$ 24,483	\$ 21,995	\$ 19,897	\$ 17,216	\$ 16,340
% Total Assets	94%	93%	92%	92%	90%	89%	90%

<b>Residential - Owned</b>		<b>Capacity</b>	<b>M / F</b>	<b>Year Occupied</b>	<b>Year Occupied</b>	
<b>ICF / Supervised Group Living</b>		<b>112 = F(8 Bed Homes)</b>			<b>Day Service / Therapy Facilities</b>	
ASHLEY COURT	Developmental Train	M	1986	Bristol Campus	Own	1975
BRIDLEWOOD	Basic Developmental	F	2005	Shoots - Goshen	Lease	2008
FOSTER AVE.	Basic Developmental	M	1989	Middlebury	Lease	2010
GOSHEN MEN	Basic Developmental	M	2005	Mishawaka	Lease	2010
HAWTHORNE	Basic Developmental	F	1988	The Plaza	Lease	2012
MIDDELBURY	Developmental Train	M	2005	Goshen - Church	Lease	2018
PARK SIDE	Developmental Train	F	2007	The Hub	Owned	2020
TERRACE PARK	Developmental Train	M	1990	<b>Other Facilities</b>		
VILLAGE MEN	Basic Developmental	M	1988	Bristol Main	Own	1974
VILLAGE WOMEN	Basic Developmental	F	1987	ADEC Industries	Own	1967
TARA DRIVE	Basic Developmental	M	2010			
HEATHER LAKE	Basic Developmental	F	2010			
LUTZ	Basic Developmental	M	2011			
MACKEY COURT	Basic Developmental	M	2011			
<b>HCBS / Supportive Living</b>						
Bristol Duplex	8	M	2010	Note: Basic Developmental ICF Home require more complex needs and staffing home than Developmental Training home.		
Kauffman	4	M	2019	ADEC: 4 Developmental Training		
Harmony / Harmony	6	M	2019	8 Basic Developmental		
Faith	4	M	2019			
Omega	4	F	2019			
Cornerstone E/W	6	F	2019			
College	4	M	2020			

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# **ADEC, Inc.**

## **Strategic Plan for Fiscal Years 2019 – 2021**

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## Introduction

In 2018, the ADEC Board of Directors, ADEC Executive leadership team and the staff leadership worked together to refresh ADEC's 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.

With the goal of increasing participating engagement, ADEC carried out an expansive approach to planning for 2019 – 2021. ADEC enlisted the assistance of a facilitator and gathered extensive information from constituents, including staff, community, case managers and families. A strategic planning retreat provided time for reflections and discussion and the development of broad strategic initiatives.

Components of the plan include:

- **Mission – Vision – Values** In 2013, ADEC completed a three-year process that resulted in the development of a refreshed comprehensive statement of mission, vision and values. These stand the test of time and remain unchanged.
- **Strategic Initiatives** ADEC Board of Directors established five broad strategic initiatives to guide ADEC's path over the next three years in achieving ADEC's mission to provide 'choice and possibility'.
- **Strategic Goals** Five strategic goals were developed that align the day to day decisions with the strategic initiatives to deliver services that are consistent with our Mission. These goals are supported by Goal Description – Vision of Success and Actions Items – Expected Outcomes.

- **Annual Plan** Each year, budgetary commitments are identified for every program and administrative area. Results are regularly reviewed by management and reported to the Board. Adjustments to the longer-term strategy will be implemented in response to better or worse than expected performance. Goals and action items will be prioritized annually during the budgetary process.
- **Client Outcomes** 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** In addition to annual budgetary goals and client outcomes, ADEC will also continue to collect and report on monthly program and service indicators such as recruitments, retention of staff, financial measures, health and safety.

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 state or federal changes come about.

Submitted on behalf of the ADEC,



*Donna L. Belusar, Ph.D.*

President / Chief Executive Officer

Leadership.Passion.Integrity.Excellence.Quality

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**Mission Statement:** Our Reason for Being.

ADEC proudly advocates for and serves people with developmental and intellectual disabilities so they live lives full of 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 individual 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.

### **Strategic Initiatives: Our Guidance.**

- I. Targeted, Smart Growth.
- II. Great Workforce. Great Workplace.
- III. Outstanding Client Satisfaction and Excellence in Service.
- IV. Highest Quality Standards.
- V. Financial Sustainability and Stewardship.

**Strategic Goals: Our Commitment.**

1. Complete a comprehensive feasibility needs assessment of the population we serve to solidify emerging trends.
2. Cultivate an engaging workplace environment and culture to improve employee satisfaction incrementally each year.
3. Achieve outstanding client person-centered excellence for informed choice in decision making and services provided.
4. Deliver continuous improvement to exceed quality standards.
5. Maintain strong fiscal management and stewardship of resources.

## Strategic Goal 1.

**Strategic Initiative:** Targeted, Smart Growth

### Strategic Goal:

1. Complete a comprehensive feasibility needs assessment of the population we serve to solidify emerging trends.

### Goal Description - Vision of Success:

ADEC will use all readily available data such as *special education numbers, housing availability, regional growth*, to project the needs of the intellectual and developmental disability population and compare to the areas available broad range services. ADEC would generate a Gap Analysis of the agency's capabilities in the next three years and move in those directions in line with our Mission.

### Action Items - Expected Outcomes:

1. Host annual Stakeholder Town-halls to gain direct feedback and input from individuals served, families, constituents and the community.
2. Work with external organizations to complete specific housing needs assessment in St. Joseph County and Elkhart County.
3. Evaluate capability and opportunity of existing programs to determine if on-board staffing needs were met "What more could we do?" (*What non-staff investments would we need? What facility enhancements need to be addressed?*).

**Strategic Goal 2.**

**Strategic Initiative:** Great Workforce. Great Workplace.

**Strategic Goal:**

- 2. Cultivate an engaging workplace environment and culture to improve employee satisfaction incrementally each year.

**Goal Description - Vision of Success:**

ADEC will build the capacity of the staff to recognize (*hear and see*), understand (*develop*) and take appropriate actions (*respond*) to positively advance the workplace to attract and retain employees.

**Action Items - Expected Outcomes:**

- 1. Provide agency retention tools, such as the #teamadec manager’s tool kit, and other on-going employee recognition activities, including clothing, contests, appreciation event, and increase visibility and awareness of internal promotional and lateral opportunities.
- 2. Solicit open feedback and conduct research by continuing small group manager roundtables, stay interviews, All-Manager Development Sessions to include external speakers and resources, and utilize survey tools, such as a climate survey, survey monkey.
- 3. Increase employee awareness and utilization of existing benefit offerings and implement wellness program initiatives.

### Strategic Goal 3.

**Strategic Initiative:** Outstanding Client Satisfaction and Excellent in Service.

**Strategic Goal:**

3. Achieve outstanding client person-centered excellence for informed choice in decision making and services provided.

**Goal Description - Vision of Success:**

ADEC will be viewed as the provider of informed choice in the region we serve, and the individuals served and their families will be viewed as valuable contributors to the community. The intent is to achieve 100% client informed choice and 100% client satisfaction in the commitment to provide community inclusive opportunities and services.

**Action Items - Expected Outcomes:**

1. Facilitate client councils or appreciative inquiries to get direct feedback and input on services, *such as a stakeholder's survey or town-hall*, to achieve empowerment, inclusion, self-determination and self-advocacy.
2. Advocate for those we serve to maximize funding options, timely access and the choice to select a full range of high quality services and supports.
3. Enhance quality assurance across agency to reflect 'Person – first' approach in decision making, actions and have these reflected in their individualized PCISP.



**Strategic Goal 4.**

**Strategic Initiative:** Highest Quality Standards.

**Strategic Goal:**

- 4. Deliver continuous improvement to exceed quality standards.

**Goal Description - Vision of Success:**

ADEC will strive to deliver and achieve the highest standards for accreditations, certifications, licensures for services provided and the highest standards for professional development of ADEC personnel.

**Action Items - Expected Outcomes:**

- 1. Seek efficiencies in processes and ensure required documentation or evidence of compliance while improving overall job training on every position.
- 2. Active awareness of best practices, participate in trade association work groups to influence and define proposed regulatory changes across all functions and programs.
- 3. Acknowledge and reward achievement in professional development on an individual level and encourage formal training for every position.

## Strategic Goal 5.

**Strategic Initiative:** Financial Sustainability and Stewardship.

### Strategic Goal:

5. Maintain strong fiscal management and stewardship of resources.

#### Goal Description - Vision of Success:

ADEC will use current financial strength to capitalize on enterprising, revenue-generating opportunities while ensuring that we protect the assets and resources to adapt to meet the challenges and opportunities beyond the annual operating budget cycle.

#### Action Items - Expected Outcomes:

1. Complete three-year dynamic strategic financial plan, beyond following year budget cycle on identified key metrics such as expected wages (*DSP Wage Initiative*), new technology costs, potential fee reimbursement changes, and client growth.
2. Regularly report average age of property, building, equipment and furnishings to proactively assess needed improvements and growth to ensure available funding.
3. Targeted improvements for upgrade and/or replacement requirements for one or two major facilities and identified plan from beginning to end.

*Necessary resources are allocated in the agency's annual budgeting process to support the accomplishment of these strategic goals and objectives.*

**End of Document**



Effective March 26, 2021

BY-LAWS, ARTICLE III, A: MAXIMUM OF 17, MINIMUM OF 9, MAJORITY VOTE  
POLICY – GOVERNING BODY: NUMBERS 1.2.1 -1.2.10

**Board of Directors**

{Meeting – 6 Times a Year, 4<sup>th</sup> Thursday}

**Board Terms October 1 – September 30**

	First Name	Last Name	Email address	Professional Role	Officer Role	Current Term
1	Donald	Anderson	donaldranderson@comcast.net	USI Insurance, Retired	Past Chair 2020 - 2021	2018 - 2021
2	Kevin	Boyer	kboyer@elkhartclinic.com	Elkhart Clinic	Treasurer 2020 - 2023	2020 - 2023
3	Larry	Gautsche	lgautsche7@gmail.com	LaCasa, Inc., Retired	Vice Chair 2020 - 2021	2020 - 2023
4	Jeremy	Gillespie	jtgillespie@beaconhealthsystem.org	Beacon Health System		2020 - 2023
5	Cary	Kelsey	carydkelsey@gmail.com	ADEC, Inc., Retired		2019-2022
6	Thomas	Kroll	tom.kroll@att.net	CTS Corp, Retired	Chair 2020 - 2021	2018 - 2021
7	Lauren	Maxson	lmaxson@yaub.com	Yoder Ainlay Ulmer & Buckingham		2018 - 2021
8	Thomas	Nickel	tomnickel@msn.com	Marv & Tom's Truck Service	Secretary 2020 - 2023	2018 - 2021
9	Kristine	Osterday	kristi.osterday@gmail.com	Elkhart County, Judge		2020 - 2023
10	Jason	Pippenger	jason@djconstruction.com	DJ Construction Company		2020 - 2023

The President/Chief Executive Officer is a non-voting ex-officio member of the Board of Directors and voting ex-officio of all standing or special committees.

**Executive Committee** {Meeting – as needed, Executive Session at end of Full Board Meeting}

Thomas Kroll, Chair  
 Larry Gautsche, Vice Chair  
 Thomas Nickel, Secretary  
 Kevin Boyer, Treasurer  
 Don Anderson, Past Chair  
 Ex-Officio: President/CEO – Donna L. Belusar

**Standing Committee(s)**

\* Denotes Non-Board of Directors member with voting authorization

**Finance Committee {Meeting – Quarterly}**

Ex-Officio: President/CEO – Donna L. Belusar  
 Debra Hogan \*  
 Jeane Metcalfe \*  
 Dick Peterson \*

Tim Donlin – VP Finance/CFO  
 Larry Gautsche, Chair  
 Gary Boyn \*  
 Staff Liaison: Victoria Finlay – Executive Admin.

**Nominating/Governance Committee {Meeting – as needed}**

Ex-Officio: President/CEO – Donna L. Belusar  
 Don Anderson, Chair  
 Kevin Boyer  
 Staff Liaison: Lisa Kendall – VP, Human Resources

**Human Rights Committee {Meeting – Monthly}**

Ex-Officio: President/CEO – Donna L. Belusar  
 Kristine Osterday, Co-Chair  
 Clark Widmoyer, Chair \*  
 Dean Redden - Person Served \*  
 Sara Howard – Community Employment

Tobi Weirich – VP, Protective Services  
 Lauren Maxson, Co-Chair  
 Evan Hoover – Family Advocate  
 Staff Liaison: Victoria Finlay – Executive Admin.

**Guardianship Committee {Meeting – Every Other Month, 3<sup>rd</sup> Thursday}**

Ex-Officio: President/CEO – Donna L. Belusar  
 Thomas Kroll, Chair  
 Leslie Mayfield \*  
 Pam Kling \*  
 Gail Weybright \*  
 Staff Liaison: Tobi Weirich –VP, Protective Services

Douglas Kline \*  
 Jeane Metcalfe \*  
 Sharon Kroll \*

**Established Committee(s)**

\* Denotes Non-Board of Directors member with voting authorization

**Facilities Committee {Meeting – 6 Times Per Year, 3<sup>rd</sup> Friday}**

Ex-Officio: President/CEO – Donna L. Belusar  
 Jason Pippenger, Chair  
 Jeff Schrock – VP, Maintenance/Trans

Presented to Nominating/Governance Committee 07.25.2019

## **ADEC INC.**

### **BY-LAWS**

#### **ARTICLE I - IDENTIFICATION**

Section 1. The name of the Corporation shall be ADEC, Inc., hereinafter referred to as the Corporation.

Section 2. The principal office of the Corporation is 19670 State Road 120, Bristol, Indiana 46507. The primary area, which the Corporation intends to serve, lies within Northern Indiana with most services operated for residents of Elkhart County, Indiana, with expansion of services into St. Joseph County, Indiana. The resident agent of the Corporation for service of process is the President/Chief Executive Officer.

Section 3. The Mission of the Organization is:

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

#### **Core Values**

**A** *Life of their Own:* ADEC Clients deserve a change to...

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

**D** *ignity:* ADEC clients are entitled to ...

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

**E** *mployment:* ADEC clients 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

**C** *ommunity:* As an active part of the community, ADEC ...

- Connects clients with local opportunities when possible
- Is a catalyst for new client opportunities if they don't exist.

## **Exhibit D. Board By-Laws**

Presented to Nominating/Governance Committee 07.25.2019

Section 4. The fiscal year of the Corporation shall begin on the first day of July in each year and end on the last day of June, the succeeding year.

### **ARTICLE II - PURPOSES**

Section 1. The purposes for which the Corporation is formed are as follows:

- A. To work in partnership with persons experiencing disabilities or those in need of similar services as they attain an optimal level of self-reliance and inclusion in their communities by obtaining, coordinating, or providing services which are based upon each individual's needs and are least restrictive of each person's personal freedom. ADEC will actively encourage financial support by individuals, businesses, and others to facilitate the implementation of its mission.
- B. To provide training, educational, therapeutic community living, transportation and/or other supportive services to persons with disabilities or those in need of similar services and to families in line with existing admission and eligibility criteria.
- C. To provide services to persons with disabilities or those in need of similar service and to families by staff personnel or by contractual agreement that meet or exceed standards as set forth by state and national certifying and accrediting organizations.
- D. To provide training in a wide variety of life skills, including vocational training and placement in community jobs, community living supports/options, and other opportunities for personal growth, which assist persons with disabilities to live and to work in their own communities. ADEC will participate in manufacturing and other work with area businesses in order to provide realistic work environments, which enhance work adjustment and vocational training opportunities.
- E. To promote an organized program of public information and education which will increase the awareness in the community of the contributions made by persons with disabilities or those in need of similar services, as well as of the Corporation and its affiliate services generally. ADEC shall promote positive attitudes about people with disabilities or those in need of similar services, which will result in increased opportunities and greater inclusion in the community.
- F. ADEC will promote the interests of persons with disabilities or those in need of similar services (accessibility, health care, etc.) through education of legislators and the general public.

### **ARTICLE III - DIRECTORS**

Section 1. The board of directors of the Corporation shall be volunteer representatives of the geographic area served by the Corporation. The board of directors shall include consumer representation, and shall seek diversity in other factors considered important by the board of directors. The Board of Directors shall be established in the following manner:

## **Exhibit D. Board By-Laws**

Presented to Nominating/Governance Committee 07.25.2019

- A. The board of directors shall consist of a maximum of seventeen (17) and a minimum of nine (9) members, as the board of directors shall determine by majority vote.
- B. Persons employed by the Corporation and their immediate relatives shall not be members of the Board.
- C. Any possibility of a conflict of interest between the business or professional interests of any board member or prospective member of the board of directors and his/her interests as a director shall be openly discussed and a determination of such person's qualification to serve shall be made by a majority of the board members and noted in the minutes of the meeting. The Board shall also establish and maintain a policy in regard to the management of potential conflicts of interest and specific voting or other actions of the Board. The decision of the board shall determine eligibility of any member to serve on the board and/or to participate in any discussion or vote relative to matters before the Corporation.
- D. Board members shall not receive compensation for work done on behalf of the corporation. Expenses incurred at the request of the corporation may be reimbursed.
- E. The Corporation will not make loans to board members.

### Section 2. Permitted and Prohibited Activity.

- A. No part of the net earnings of the Corporation shall inure to the benefit of any Director or Officer of the Corporation, but the Corporation shall be authorized and empowered to pay reasonable compensation for services rendered and to make payments and distributions in furtherance of the purposes as set forth in Article II.
- B. No part of the direct or indirect activities of the Corporation shall consist of carrying on propaganda, or otherwise attempting to influence legislation, or of participating in, or intervening in (including the publication or distribution of statements) any political campaign on behalf of any candidate for public office.
- C. Notwithstanding any other provision of these Articles, the Corporation shall not carry on any other activities not permitted to be carried on (a) by a Corporation exempt from federal income tax under section 501(c)(3) of the Internal Revenue Code, (b) by a Corporation, contributions to which are deductible under section 170(c)(2) of the Internal Revenue Code, or (c) by a nonprofit Corporation organized under the laws of the State of Indiana pursuant to the provisions of Act 23-17-1-1-et. seq.

Section 3. Vacancies in the board of directors caused by death, resignation, or otherwise, shall be filled for the un-expired term by the remaining directors by a majority vote.

Section 4. A Director's tenure on the board shall be limited to three (3) consecutive full terms of three (3) years each plus any un-expired term to which that director was elected or appointed originally. He or she may, however, be re-elected to the Board after an absence of one (1) year. This requirement may be waived, however, by two thirds (2/3) vote of the Board, if it is felt that such a waiver is in the best interest of the Corporation. In the event that a chairperson's term on the board of directors expires with his term as

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chairperson, such chairperson's term on the Board shall be extended one (1) year so that such chairperson may serve as past chairperson.

Section 5. A director may be removed by action of the board for poor attendance, or other reasons determined appropriate and necessary by the board of directors.

Section 6. Removal. A removal for cause shall require a vote of two-thirds (2/3) of all Directors then in office. Such action shall be taken at a regular meeting of the Board of Directors or at a special meeting called for such purpose, and the proposed removal shall be set forth in the notice of any such regular or special meeting, in accordance with the Notice requirement in Article V.

Section 7. There shall be an annual meeting of the board of directors, which will be held at a place and time designated by the board chair, for the purpose of election of officers and any other business that may properly be brought before the meeting.

#### **ARTICLE IV - COMMITTEES**

Section 1. The executive committee shall consist of the chairperson, vice chairperson, secretary, treasurer, and immediate past chairperson.

Section 2 The executive committee shall have the authority to conduct the affairs of the Corporation in the interim between meetings of the board of directors, subject to policy established and regulated by the board of directors.

The executive committee shall formulate and propose policy statements to the board of directors relative to governance and the use and protection of the Corporation's assets, and shall formulate policy with respect to matters of finance. The governance committee and finance committee shall serve as a resource to the executive committee on these matters. The executive committee will also provide oversight to the president/chief executive officer of the Corporation in the performance of his/her duties.

Section 3. At least three officers shall constitute a quorum of the executive committee for the transaction of any business in person or by proxy.

Section 4. Regular meetings of executive committee shall be held at a place and time designated by the chairperson, but not less than the number of times the full board meetings, at least six (6) times each year.

Section 5. The following standing committees shall be appointed by the chairperson at or immediately following each annual meeting of the directors to serve until the next annual meeting of the directors or until respective successors are appointed.



A. Finance Committee

This committee shall regularly review ADEC's financial management polices, procedures and reports in order to assure that ADEC's assets are used in the most effective and efficient manner in order to provide services in line with the agency's mission.

This committee shall also regularly review investment and financial polices of ADEC, as well as to regularly review and monitor the results of the agency's investments.

This committee may appoint an ad hoc audit task force to review the audit process of the Corporation.

B. Nominating/Governance Committee

This committee facilitates the continuity of an effective, efficient and stable function board of directors. The nominating/governance committee does not usurp board or board chair functions but serves as a resource. The nominating/governance committee shall establish and guide the process of recruitment and orientation for new board members.

C. Human Rights Committee.

This committee shall serve as an advocate on behalf of persons with disabilities relating to the definition and protection of human rights. This committee shall review and approve policies related to human rights of clients served, shall monitor policy implementation, and shall review and approve the use of restrictive behavior management techniques, when necessary, for those served.

D. Guardianship Committee

This committee shall represent the Corporation to ensure that staff decisions on behalf of persons under guardianship of agency's corporate guardianship program are consistent with polices and operational guidelines set forth by the board of directors.

Section 6. The chairperson of the board shall establish the makeup of each committee, may enlarge any committee, may appoint any persons to any committee, and may create any new committee for any purpose at his or her discretion, subject only to any contrary expressed provisions in these bylaws. The chairperson shall serve as a member of all committees.

**ARTICLE V - MEETINGS OF THE DIRECTORS**

Section 1. Regular meetings of the board of directors shall be held at a time and place designated by the board, but not less than six (6) times a year. Meetings may be held more frequently as the need dictates, with frequency to be determined by the board of directors.

Section 2. Special meetings of the board of directors may be called by the chairperson on twenty-four (24) hours' notice by telephone to each director, or by three (3) days' notice in writing to each director, addressed to

the last known place of residence of each director, and said special meeting may be held at the place designated in the notice.

**Section 3. Notice.** Notice of the annual and regular meetings of the Board of Directors shall be given at least ten (10) days previously thereto by written notice to each Director at his/her designated mailing or emailing address as shown by the records of the Corporation. If mailed, such notice shall be deemed to be delivered when deposited in the United States mail in a sealed envelope so addressed, with postage thereon prepaid. Notice of the annual and regular meetings or any special meeting of the Board of Directors may be waived in writing signed by the person or persons entitled to the notice either before or after the time of the meeting. The attendance of a Director at any meeting shall constitute a waiver of notice of such meeting, except where a Director attends a meeting for the express purpose of objecting to the transaction of any business because the meeting is not lawfully called or convened. Neither the business to be transacted at, nor the purpose of, any regular or special meeting of the Board need be specified in the notice or waiver of notice of such meeting, unless specifically required by law or by these Bylaws.

**Section 4.** One third (1/3) of the total number of directors shall constitute a quorum for the transaction of all proper business and the action of a majority of the Directors present at a meeting at which a quorum is present shall be the action of the Board of Directors.

**Section 5. Participation by Communication Equipment.** A member of the Board of Directors or of a committee designated by the Board may participate in a meeting by means of conference telephone or similar communications equipment by means of which all persons participating in the meeting can hear each other. Participation in a meeting pursuant to this provision constitutes presence in person at the meeting.

**Section 6. Informal Action by Board of Directors.** Action required or permitted to be taken pursuant to authorization voted at a meeting of the Board of Directors or of a committee thereof may be taken without a meeting if, before or after the action, all members of the Board or of the committee consent thereto in writing. The written consent shall be filed with the minutes of the proceedings of the Board or committee. The consent has the same effect as a vote of the Board or committee of the Board for all purposes.

**Section 7.** Members of the board of directors of the Corporation shall be selected on the basis of their interest in the Corporation and their willingness to contribute their time and energy on behalf of the Corporation. Therefore, it is expected that directors will make serious efforts to so contribute, including attendance at board and committee meetings, in line with guidelines and policies established by the governing body.

**Section 8.** Meetings of the board of directors shall be conducted according to Robert's Rules of Order.

**Section 9.** Members of ADEC's Board of Directors may participate and vote in meetings at which they are present in person, by webinar, teleconference, conference call or any other means of communication by which all the directors participating may simultaneously hear each other during the meeting. In addition, the Board of Directors may act by Unanimous Written Consent without holding a meeting as provided in I.C. 23-17-15.2.

## **ARTICLE VI - POWER OF DIRECTORS**

Section 1. The corporate duties and powers of this Corporation shall be vested in, exercised and directed by the board of directors who shall have general charge of the affairs, property and assets of the Corporation, including such powers as are hereinafter expressly conferred upon it. All such powers as may be exercised by the Corporation are subject to the provisions of the statutes of the state of Indiana, the Articles of Incorporation, and these bylaws, and subject to any further regulations as may be, from time to time, made by the members.

Section 2. The board of directors shall have express power:

- A. To establish and prescribe the duties of all committees. The chairperson of the board shall appoint all members of all committees.
- B. To employ a president/chief executive officer, establish his/her duties and fix compensation. The president/chief executive officer shall serve under the direction of the board of directors and shall have the power to conduct the routine business of the Corporation to recommend and implement policies of the board, and to assure the implementation and development of programs in line with the board approved Corporate Plan. He/she shall have the power, subject to the rules and regulations of the board, to employ, terminate, and fix the duties and compensation of other employees of the Corporation. The president/chief executive officer is a non-voting ex-officio member of the board of directors and all standing or special committees.
- C. To purchase, or otherwise acquire, or to sell, exchange, or transfer property rights and privileges, investments, and other assets of the Corporation, within the established policies of the Corporation.
- D. The board of directors shall annually approve the Corporation's long-range plan as well as its annual operating and capital budgets.
- E. The board of directors shall review written reports, evaluating the effectiveness and outcomes of programs provided persons with disabilities and families at least annually.
- F. Personnel policy shall be established by the executive committee of the board, and approved by the board of directors through reports submitted by the committee. The board of directors, through its chairperson shall annually evaluate the president/chief executive officer in line with stated performance criteria and objectives of the Corporation.

## **ARTICLE VII - OFFICERS**

The officers of the Corporation shall be chairperson, first vice chairperson, secretary, treasurer, and past chairperson. The secretary and treasurer positions shall be elected for a term of three years. All other officers shall be elected for a term of one year. All officers shall hold office until their successors are elected and qualified. All officers will be elected by the board of directors. No officer may be elected to the same position for more than two (2) consecutive terms. Other members of the board may be appointed to serve in ex-officio capacities to assist officers in the performance of their duties.

Section 1. Chairperson. The chairperson shall preside at all meetings of the members and the board of directors, discharge all duties as these bylaws provide or the board of directors may prescribe.

Section 2. Vice Chairpersons. The vice chairperson shall perform all duties that come upon the chairperson during the absence, death or disability of the chairperson, and shall perform such other duties as the board of directors may prescribe.

Section 3. Secretary The secretary of the Corporation shall act as secretary for both the board of directors and of the Corporation. The secretary shall be responsible to assure the keeping and reporting of adequate records of all transactions and minutes of all meetings of the Corporation and the board of directors. The secretary shall accept other duties as assigned by the board of directors. The secretary shall serve in the absence of the chair, and vice chair.

Section 4. Treasurer The treasurer of the Corporation shall act as treasurer for the board of directors and of the Corporation. The treasurer shall be responsible to see that a true and accurate accounting of the financial position of the Corporation is made regularly to the board of directors. The treasurer shall accept other duties as assigned by the board of directors. The treasurer shall likewise serve in the absence of the chairperson, vice chairperson, and secretary.

Section 5. Past Chairperson. The past chairperson shall be an officer of the board of directors and serve on the executive committee.

Section 6. Removal. Any Officer elected by the Board of Directors may be removed by the directors at any regular or special meeting called for that purpose, with or without cause, whenever in its judgment the best interests of the Corporation would be served thereby.

Section 7. Vacancies. A vacancy in any office because of death, resignation, removal, disqualification, or otherwise, may be filled at any meeting of the Board of Directors for the unexpired portion of the term of such office.

Section 8. Other Offices. If the Board of Directors establishes other offices; it shall designate the duties thereof.

## **ARTICLE VIII**

### Agents and Representatives

Section 1. Appointment of Agents and Representatives. The Board of Directors may appoint such agents and representatives with authority to perform such acts or duties on behalf of the Corporation as the Board may from time to time delegate, so far as may be consistent with the Articles of Incorporation, Bylaws and permitted by law.

Fiscal Agents.

A. The Corporation may enter into agreements with fiscal agents for custody and investment of the funds of the Corporation.

B. The Corporation shall commit itself to obtain information and take other appropriate steps with the view to seeing that each fiscal agent administers the funds in its keeping in accordance with the terms of the governing instrument and accepted standards of fiduciary conduct to produce reasonable rates of return and/or appreciation in furtherance of the exempt purposes of the Corporation. The Corporation shall replace any fiscal agent for failure to produce a reasonable return and/or appreciation in accordance with the Corporation's investment policy.

**ARTICLE IX**

Contracts, Loans, Checks, and Deposits

Section 1. Contracts. The Board of Directors may authorize any Officer or Officers, agent or agents, to enter into any contract or execute and deliver any instrument in the name of and on behalf of the Corporation, and such authority may be general or confined to specific instances.

Section 2. Loans. No loan shall be contracted on behalf of the Corporation and no evidences of indebtedness shall be issued in its name unless authorized by a resolution of the Board of Directors. Such authority may be general or confined to specific instances.

Section 2. Checks, Drafts, etc. All checks, drafts, or other orders for the payment of money, notes, or other evidences of indebtedness issued in the name of the Corporation, shall be signed by such Officer or Officers, agent or agents of the Corporation and in such manner as shall from time to time be determined by resolution of the Board of Directors.

**ARTICLE X**

Investments

The Corporation shall have the right to retain all or any part of the securities or property acquired by it, and to invest and reinvest any funds held by it, according to the judgment of the Board of Directors, without being restricted to the class of investments which a Trustee is or may hereafter be permitted by law to make or any similar restriction; provided, however, that no action shall be taken by or on behalf of the Corporation which will impair the Corporation's status as a non-profit organization or its tax exemption under section 501(c)(3) of the Internal Revenue Code and the Regulations as they now exist or as they may hereafter be amended.

## **ARTICLE XI**

### Prohibition Against Sharing in Corporate Earnings

No Director, Officer, or employee of, or member of a committee of the Corporation, or any other private individual shall receive at any time any of the net earnings or pecuniary profit from the operations of the Corporation, provided that this shall not prevent the payment to any such person of such reasonable compensation for services rendered to or for the Corporation in effecting any of its purposes as shall be fixed by the Board of Directors; and no such person or persons shall be entitled to share in the distribution of any of the corporate assets upon the dissolution of the Corporation.

## **ARTICLE XII**

### Exempt Activities

Section 1. Not Permitted Activities. Notwithstanding any other provision of these Bylaws, no Director, Officer, employee, or representative of this Corporation shall take any action or carry on any activity by or on behalf of the Corporation not permitted to be taken or carried on or by an organization exempt under Section 501(c)(3) of the Internal Revenue Code, or by an organization contributions to which are deductible under Section 170(c)(2) of the Code.

## **ARTICLE XIII**

### AMENDMENTS

Section 1. These bylaws may be amended, altered, repealed or added to, at any regular meeting of the board of directors, or at any special meeting thereof.

Section 2. No amendment, alteration or addition to these bylaws shall become effective unless the same is adopted by the affirmative vote of the majority of those present at any meeting of the directors.

## **ARTICLE XIV**

### LIMITATION OF LIABILITY, RELIANCE ON CORPORATE RECORDS AND INDEMNIFICATION

Section 1. General Limitation of Liability. No director, member of any committee of the board of directors, or of another committee appointed by the board, officer, employee or agent of the Corporation ("Corporate Person") shall be liable for any loss or damage if, in taking or omitting to take any action causing such loss or damage, either (1) such corporate person acted (A) in good faith, (B) with the care an ordinarily prudent person in a like position would have exercised under similar circumstances, and (C) in a manner such corporate person reasonably believed was in the best interests of the Corporation, or (2) such corporate person's breach of or

failure to act in accordance with the standards of conduct set forth in this section above (the "Standards of Conduct") did not constitute willful misconduct or recklessness.

Section 2. Reliance on Corporate Records and Other Information. Any corporate person shall be fully protected, and shall be deemed to have complied with the standards of conduct, in relying in good faith, with respect to any information contained therein, upon (1) the corporate records, or (2) information, opinions, reports or statements (including financial statements and other financial data) prepared or presented by (A) one or more other corporate persons whom such corporate person reasonably believes to be competent in the matters presented, (B) legal counsel, public accountants or other persons as to matters that such corporate person reasonably believes are within such person's professional or expert competence, (C) a committee of the board of directors or other committee appointed by the board of directors, of which such corporate person is not a member if such corporate person reasonably believes such committee of the board of directors or such appointed committee merits confidence, or (D) the board of directors, if such corporate person is not a director and reasonably believes that the board merits confidence.

Section 3. Indemnification. The Corporation shall, to the fullest extent to which it is empowered to do so by the Indiana Non Profit Corporation Act, or any another applicable laws, as are from time to time in effect, indemnify any person who was or is a party, or is threatened to be made a party, to any threatened, pending or completed action, suit or proceedings, whether civil, criminal, administrative or investigative and whether formal or informal, by reason of the fact that he is or was a director, officer, employee or agent of the Corporation, or who, while serving as such director, officer, employee or agent of the Corporation, is or was serving at the request of the Corporation as a director, officer, partner, trustee, employee or agent of another corporation, partnership, joint venture, trust, employee benefit plan or other enterprise, whether for profit or not, against expenses (including excise taxes assessed with respect to employee benefit plans) actually or reasonably incurred by him in accordance with such action, suit or proceeding, if he acted in good faith and in a manner he reasonably believed, in the case of conduct in his official capacity, was in the best interest of the Corporation, and in all other cases, was not opposed to the best interest of the Corporation, and, with respect to any criminal action or proceeding, he either had reasonable cause to believe his conduct was lawful or no reasonable cause to believe his conduct was unlawful. The termination of any action, suit or proceeding by judgment, order, settlement or conviction, or upon a plea of nolo contendere or its equivalent, shall not, of itself, create a presumption that the person did not meet the prescribed standard of conduct.

Section 4. Authorization of Indemnification. To the extent that a Director, Officer, employee or agent of the Corporation has been successful, on the merits or otherwise, in the defense of any action, suit or proceeding referred to in Section 3 of this Article, or in the defense of any claim, issue or matter therein, the Corporation shall indemnify such person against expenses (including counsel fees) actually and reasonably incurred by such person in connection therewith. Any other indemnification under Section 3 of this Article (unless ordered by a court) shall be made by the Corporation only as authorized in the specific case, upon a determination that indemnification of the director, officer, employee or agent is permissible in the circumstances because he has met the applicable standard of conduct. Such determination shall be made (1) by the board of directors by a majority vote of a quorum consisting of directors who were not at the time parties to such action, suit or proceeding; or (2) if a quorum cannot be obtained under subdivision (1), by a majority vote of a committee duly designated by the board of directors (in which designation Directors who are parties may participate), consisting solely of two or more directors not at the time parties to such action, suit or proceeding; or (3) by special legal counsel; (A) selected by the board of directors or its committee in the manner prescribed in subdivision (1) or (2), or (B) if a quorum of the board of directors cannot be obtained under subdivision (1) and a committee



cannot be designated under subdivision (2), selected by a majority vote of the full board of directors (in which selection directors who are parties may participate); or (4) by the shareholders, but shares owned by or voted under the control directors who are at the time parties to such action, suit or proceeding may not be voted on the determination. Authorization or indemnification and evaluation as to reasonableness of expenses shall be made in the same manner as the determination that indemnification is permissible, except that if the determination is made by special legal counsel, authorization of indemnification and evaluation as to reasonableness of expenses shall be made by those entitled under subsection (3) to select counsel.

Section 5. Good Faith Defined. For purposes of any determination under Section 3 of this Article X, a person shall be deemed to have acted in good faith and to have otherwise met the applicable standard of conduct set forth in Section 3 if his action is based on information, opinions, reports, or statements, including financial statements and other financial data, if prepared or presented by (1) one or more Officers or employees of the Corporation or another enterprise whom he reasonably believes to be reliable and competent in the matters presented; (2) legal counsel, public accountants, appraisers or other persons as to matters he reasonably believes are within the person's professional or expert competence; or (3) a committee of the board of directors of the Corporation or another enterprise of which the person is not a member, if he reasonably believes the committee merits confidence. The term "another enterprise" as used in this Section 5 shall mean any other Corporation or any partnership, joint venture, trust, employee benefit plan or other enterprise of which such person is or was serving at the request of the Corporation as a director, officer, partner, trustee, employee or agent. The provisions of this Section 5 shall not be deemed to be exclusive or to limit in any way the circumstances in which a person may be deemed to have met the applicable standards of conduct set forth in Section 3 of this Article X.

Section 6. Payment of Expenses in Advance. Expenses incurred in connection with any civil or criminal action, suit or proceeding shall be paid for or reimbursed by the Corporation in advance of the final disposition of such action, suit or proceeding, as authorized in the specific case in the same manner described in Section 4 of this Article, upon receipt of a written affirmation of the director, officer, employee or agent's good faith belief that he has met the standard of conduct described in Section 3 of this Article and upon receipt of a written undertaking by or on behalf of the director, officer, employee or agent to repay such amount if it shall ultimately be determined that he did not meet the standard of conduct set forth in this Article IX, and a determination is made that the facts then known to those making the determination would not preclude indemnification under this Article X.

Section 7. Provisions Not Exclusive. The indemnification provided by this Article IX shall not be deemed exclusive of any other rights to which a person seeking indemnification may be entitled under the Articles of Incorporation, the Corporation's By-Laws, any resolution of the board of directors or shareholders, any other authorization, whenever adopted, after notice, by a majority vote of all voting stock then outstanding, or any contract, both as to action in his official capacity and as to action in another capacity while holding such office, and shall continue as to a person who has ceased to be a director, officer, employee or agent, and shall inure to the benefit of the heirs, executors and administrators of such a person.

Section 8. Vested Right to Indemnification. The right of any individual to indemnification under this Article shall vest at the time of occurrence or performance of any event, act or omission giving rise to any action, suit or proceeding of the nature referred to in Section 3 of this Article IX and, once vested, shall not later be impaired as a result of any amendment, repeal, alteration or other modification of any or all of these provisions. Notwithstanding the foregoing, the indemnification afforded under this Article shall be applicable to all alleged



prior acts or omissions of any individual seeking indemnification hereunder, regardless of the fact that such alleged acts or omissions may have occurred prior to the adoption of this Article. To the extent such prior acts or omissions cannot be deemed to be covered by this Article IX, the right of any individual to indemnification shall be governed by the indemnification provisions in effect at the time of such prior acts or omissions.

Section 9. Insurance. The Corporation may purchase and maintain insurance on behalf of any person who is or was a director, officer, employee or agent of the Corporation, or who is or was serving at the request of the Corporation as a director, officer, partner, trustee, employee benefit plan or other enterprise, against any liability asserted against or incurred by the individual in that capacity or arising from the individual's status as a director, officer, employee or agent, whether or not the Corporation would have power to indemnify the individual against the same liability under this Article.

Section 10. Additional Definitions. For purposes of this Article X, references to the "Corporation" shall include any predecessor entity of the Corporation in a merger or other transaction in which the predecessor's existence ceased upon consummation of the transaction. For purposes of this Article X, "serving an employee benefit plan at the request of the Corporation" shall include any service as a director, officer, employee or agent of the Corporation which imposes duties on, or involves services by such director, officer, employee, or agent with respect to an employee benefit plan, its participants, or beneficiaries. A person who acted in good faith and in a manner he reasonably believed to be in the best interests of the participants and beneficiaries of an employee benefit plan shall be deemed to have acted in a manner "not opposed to the best interest of the Corporation" referred to in this Article.

For purposes of this Article X, "party" includes any individual who is or was a plaintiff, defendant or respondent in any action, suit or proceeding, or who is threatened to be made a named defendant or respondent in any action, suit or proceeding.

For purposes of this Article X, "official capacity", when used with respect to a director, shall mean the office of director of the Corporation; and when used with respect to an individual other than a director, shall mean the office in the Corporation held by the Officer or the employment or agency relationship undertaken by the employee or agent on behalf of the Corporation. "Official capacity" does not include service for any other foreign or domestic corporation or any partnership, joint venture, trust, employee benefit plan, or other enterprise, whether for profit or not.

Section 11. Payments a Business Expense. Any payments made to any indemnified party under this Article or under any other right to indemnification shall be deemed to be an ordinary and necessary business expense of the Corporation, and payment thereof shall not subject any person responsible for the payment, or the board of directors, to any action for corporate waste or to any similar action.

Section 12. Audit. The financial records of the Corporation shall, each year, be audited by a certified public accountant designated and employed for such purpose by the board of directors.

Section 13. Bonding. All directors or employees of the Corporation empowered to handle funds of the Corporation shall be bonded in an amount set by the board.

Section 14. Gifts and Endowments. Funds, gifts and contributions of real estate, cash, or other property, whether solicited or unsolicited, may be received by the Corporation.

Section 15. Legislative Activity and Non-Profit Status. This Corporation is organized and will be operated exclusively for charitable, rehabilitation, and educational purposes. It is not organized for profit, and any of its earnings shall not inure, in whole, or in part, to the benefit of private members, directors, officers, or staff. No substantial part of the activities of the Corporation is utilized to influence legislation by propaganda or otherwise, nor to participate in any political campaign on behalf of any candidate for public office.

**ARTICLE XV - DISSOLUTION**

Section 1. Voting: After giving written notice to all members of the board of directors ten (10) days prior to a special meeting called for that purpose, the corporation may be voluntarily dissolved upon a two-thirds vote of members present.

**ARTICLE XVI.**

Liquidation of Corporation

Upon the termination, dissolution, or winding up of the Corporation, the Board of Directors shall, after paying or making provision for the payment of all liabilities of the Corporation, distribute all assets of the Corporation to such organization or organizations organized and operated exclusively for charitable, educational, or scientific purposes as shall at the time qualify as an exempt organization or organizations under Section 501(c)(3) of the Internal Revenue Code. Any such assets not so disposed of shall be disposed of by a court of competent jurisdiction in the County in which the principal office of the Corporation is then located, exclusively for such purposes or to such organization or organizations as said Court shall determine which are organized and operated exclusively for such purposes.

**ARTICLE XVII**

Amendment. I hereby certify that these Bylaws of ADEC, Inc. as amended were duly adopted by majority vote of the ADEC Board of Directors on the 26<sup>th</sup> day of September, 2019



Sheila Sieradzki  
Secretary



## **ADEC PHILOSOPHY**

### **MISSION, VISION, VALUES**

#### **POLICY:**

ADEC has the overarching responsibility to advocate for and serve people with developmental and intellectual disabilities so they live lives full of informed choice and possibility. Our mission, vision and values guide the agency in providing continuous, life-long support and services through a person-centered philosophy, client-specific approach to services.

ADEC is committed to maintaining open dialogue with all stakeholders on the need for services and support of those individuals and families with intellectual and developmental disabilities. We work with self-advocates, families, case managers, other providers, staff and leaders of Family and Social Services Administration and DDERS to better understand the collective vision for services and support.

Our mission, vision and values operate under the guiding principles of person-centered planning and incorporation of the goals and outcomes of Life Course, as guided by the Division of Disability and Rehabilitative Services.

The following policy identifies ADEC's philosophy and further adds context to our purpose and services:

- Our mission,
- Our vision, and
- Our values.

Responsible: President / CEO  
Latest Rev: 07/02/2020

Approved:

**OUR MISSION:**

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

**OUR VISION:**

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.

**OUR VALUES:**

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 individual 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.

*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.

## **I. STATEMENT OF PURPOSE AND GOALS OF ADEC:**

ADEC shall work in partnership with persons experiencing special needs specific to intellectual and developmental disabilities, and with their family members, guardians and others who together participate in making decisions that affect the lives of the special needs persons through a person-centered philosophy. ADEC shall also advocate for programs, services, and activities that will enable those with intellectual and developmental disabilities, to enjoy an abundance of opportunities in the community and to obtain an optimal level of self-reliance and independence through informed choice.

While maintaining this strong commitment to empowering persons with disabilities and special needs to shape their own future, ADEC recognizes the ongoing need to review its services and to plan for "opening new doors" of opportunity and presenting informed choices and possibilities.

While remaining committed to its mission of working as a partner with individuals and families with intellectual and developmental disabilities, ADEC will meet its organizational needs, including greater financial self-sufficiency, and service expansion where appropriate and necessary geographically and to additional persons to whom ADEC can be a resource. ADEC, therefore, will actively encourage financial and other support by individuals, businesses, and others, to facilitate the implementation of this mission.

ADEC will adhere to an attitude of openness to ideas, to needed initiatives, and to new enterprises, to assure the individual support required of those with intellectual and developmental disabilities meet the needs of the organization through organizational additions and changes as appropriate and as necessary.

In summary, ADEC's mission will remain that of being a partner with those with disabilities and other special needs and to others who can utilize the resources of ADEC to accomplish their own personal goals, their own client specific needs, for greater independence, personal choice, and personal success while always striving for person-center approaches with informed choice and possibility.

### **Guidelines Clarifying Program and Service Priorities:**

1. The President/CEO will adhere to budgetary provisions when making available any programs and service to people with special needs.
2. Management will reasonably balance administrative and overhead costs for programs and services provided by ADEC.
3. Whenever possible, people with intellectual and development disabilities and other special needs will be referred to other services in the community when both the individual served, and appropriate

- staff feel that the other service can meet the needs of the individual served.
4. The quality of programs and services offered individuals will be maintained over quantity of programs and services offered.
  5. The President/CEO shall be responsible for defining and maintaining these levels of quality, based upon regulatory standards and criteria and identified habilitation needs of individual served.
  6. The President/CEO shall have the latitude to augment these general guidelines with administrative decisions consistent with characteristics of current staffing, voluntary donations, and other financial and social realities which affect strategic planning.
  7. The President/CEO shall assume implementation of these guidelines in planning for and managing for each fiscal year.
  8. The Executive Committee of the Board of Directors of ADEC shall monitor executive performance by reviewing deployment of resources and individual served, compared with ADEC's budgetary process and strategic plan.
  9. Questions of interpretation, or proposals to revise and amend these guidelines, shall be directed to the Executive Committee and after due deliberation the committee will present such alternative statements to the full Board for decision.
  10. ADEC management utilizes an internal Quality Assurance Committee to actively analyze and evaluate its services and organizational systems.

## **II. RIGHTS OF PEOPLE WITH INTELLECTUAL AND DEVELOPMENTAL DISABILITIES AND OTHER SPECIAL NEEDS TO PROGRAM AND SERVICES:**

ADEC will seek to maximize the benefit derived by people with intellectual and developmental disabilities and other special needs from financial resources available for programs and services.

ADEC, its board and staff, will attempt to provide services and programs necessary for each individual person, in a person-center approach, to assist them to obtain an optimal level of self-reliance and independence. ADEC will remain cost conscious, and will continually evaluate both the true cost and benefits of the programs necessary for each individual person with special needs to assist them to obtain an optimal level of self-reliance and independence.

## **II. INTEGRATION OF INDIVIDUALS SERVED INTO THE COMMUNITY:**

ADEC believes that parents of minors with intellectual and development disabilities and other special needs shall be treated like any other parent. They have the right to make decisions regarding their child's future until this right is removed or modified for cause by the courts.

Regarding adults with intellectual and developmental disabilities and special needs, ADEC recognizes the importance of positive family contact and involvement. Families will be encouraged to be involved in decisions relative to adults' person-center needs and plans. Staff will assume an advocacy role on behalf of persons with disabilities when family contact and involvement is contraindicated or when the rights of those served are being jeopardized. In the absence of family, staff will, whenever possible, attempt to identify persons who through the development of a relationship with the individual served, can make a positive contribution to that person's life.

ADEC staff will comply with all child and adult protective service laws and regulations.

### **III. EMPOWERMENT OF PERSONS WITH INTELLECTUAL AND DEVELOPMENTAL DISABILITIES:**

ADEC believes in promoting the concept of individual empowerment and person-centered planning. Individual empowerment is encouraging persons with intellectual and developmental disabilities and other special needs to take responsibility and assume the power to own, manage, and direct their own lives and contribute to their community. It also includes the right and opportunity to make informed choices. Family members and other significant persons encourage and provide support in making self-direction and empowerment a reality in the lives of adults experiencing special needs. For minors and adults with legal guardians, the parents or guardians are the legal representative and will be supported in their efforts to advocate on behalf of the person served.

All programs and practices of the agency will encourage, and support individual served in expressing their desires and interests when making individual informed choices and exercising self-advocacy. We believe in providing informed choice in living a life full of choice and possibility.

This policy shall serve as a guideline for all staff to incorporate into their specific job responsibilities in an endeavor to work in partnership with persons experiencing intellectual and developmental disability and other special needs.

## **INFORMATION MEASUREMENT AND MANAGEMENT SYSTEM**

### **POLICY:**

ADEC proudly advocates for and serves people with developmental disabilities and intellectual disabilities so they live lives full of informed choice and possibility. To support this mission, it is ADEC's policy to collect data and information which are reliable, valid, complete and accurate to manage and improve the organization and service delivery.

Includes the annual analysis and reporting of Performance Measurements (*Formerly known as Outcome Measurements, Effective July 1, 2020 as outlined in the new 2020 CARF Standards*).

Responsible: President / CEO  
Latest Revision: 5/18/2020

Approved:



**SCOPE:**

Annually, ADEC reports to the Board of Directors a comprehensive review of program Performance Measurements (*formerly known as Outcome Measurements, effective July 1, 2020*). To be the provider of informed choice for the clients and families we serve, ADEC continues to monitor and assess its performance against a series of service indicators and targets. These indicators – actions and goals – are measured and tracked to determine the degree to which we are achieving the desired services and client outcomes.

A critical component of quality, the implementation of performance measurements and management systems allows ADEC to look objectively at how well we are accomplishing our mission to “proudly advocate for and serve people with developmental and intellectual disabilities so they live lives full of informed choice and possibility.”

For each program, service delivery performance indicators include indicators for effectiveness of services, efficiency of services, service access, and satisfaction with service delivery from a variety of perspectives including the persons who received the services and other stakeholders.

**DEFINITIONS:**

Measurement Category	Definition
<b>Effectiveness</b>	Results of services. Results and achievements for persons receiving services.
<b>Efficiency</b>	Costs, responsiveness, timeliness, cost effectiveness, relationship between resource use and results. Cost to benefit ratios.
<b>Individual served Satisfaction</b>	Individuals served responses regarding how they feel about their individual service plans and outcomes (information secured during ISP meetings, exit meetings, special questionnaires mailed to Individual served, Appreciative Inquiry Interviews etc.)
<b>Other Stakeholder Satisfaction</b>	Stakeholder’s satisfaction with services
<b>Access</b>	Persons getting into service – serving target populations in need, timeliness of program entry, waiting time, address one of the barriers to getting services such as financial, accessibility, attitudinal etc.  ADEC is not the gatekeeper for entry to most of our services. We do need however to address access issues once clients are made eligible by the funding source and they have selected ADEC as a provider.

CARF standards require organizations to demonstrate how it addresses reliability, validity, completeness and accuracy in its Information Management and Performance Improvement System. Members of the Program / Service Leadership Team are expected to be able to explain how they achieve each of these expectations.

Term	Definition	Example
<b>Reliability</b>	Steps are taken to ensure that data are collected consistently in a way that could be reproduced at another time or by other data gatherers.	New and existing personnel are trained on recording each data element they are responsible for collecting; measures or codes are explained periodically.
<b>Validity</b>	Indicators, Measures, and data elements are selected that measure what we intend to measure.	Stakeholders express interest in returning to work and minimizing days lost due to incapacity for persons referred to the program. The organization chooses to collect employment status at follow-up and asks about the number of days' work lost due to activity limitations instead of just the diagnostic data it has always summarized.
<b>Completeness</b>	Steps are taken to ensure that the data used for decision making are as complete as possible; no accredited programs are omitted from the information and performance improvement effort; no groups of persons served are omitted from the data gathering or analysis no data elements or indicators are systematically missing; database is checked for completeness before final analysis and decision making.	Staff training for the data-recording activities includes attention to the importance of recoding each data field for every person served.
<b>Accuracy</b>	Steps are taken to ensure that data are recorded properly and that errors are caught and corrected.	Spot checks of the records are done to ensure accuracy.

## PROCEDURE:

1. All program and administrative areas of the organization shall collect data and information determined to be important to the operation.
2. Administrative and program directors will demonstrate the integrity of the data and information collected in the following ways:
  - a. **Reliability** – steps will be taken to ensure that data is collected consistently in a way that could be reproduced at another time or by other data gatherers.
  - b. **Validity** – indicators, measures, and data elements will be chosen that measure what they intend to measure.
  - c. **Completeness** – steps will be taken to ensure that the data used for decision making are as complete as possible.
  - d. **Accuracy** – steps will be taken to ensure that data is recorded properly and that errors are caught and corrected.

3. For service delivery improvement, the agency's data collection system will include the characteristics of those served, collect data on persons served at the beginning and end of services as well as at intervals in between.
4. Vice Presidents, directors and managers will set and measure selected performance indicators for business function and service deliver improvement in each of the following areas:
  - a. Effectiveness
  - b. Efficiency
  - c. Service access (for program services)
  - d. Satisfaction and other feedback from clients and other stakeholders.
5. And will address the following for each indicator:
  - a. To whom the indicator will be applied
  - b. Who will collect the data?
  - c. The source from which the data will be collected
  - d. A performance goal based on an industry benchmark or another target established by the director.
6. Analysis of measured indicators against performance goals for administrative areas and services delivery programs are completed at in summary at the end of each calendar year. This analysis will include:
  - a. Effectiveness of services
  - b. Efficiency of services
  - c. Service access (for program services)
  - d. Satisfaction and other feedback from stakeholders
  - e. Extenuating or influencing factors
  - f. Identifies areas needing performance improvement
  - g. Results in an action plan to address the improvements needed to reach established or revised performance targets.
  - h. Outlines actions taken, or changes made to improve performance
7. An annual summary analysis for business functions and service delivery programs, Performance Measurements (*Effective July 1, 2020*), will include management responses to these questions:
  - a. What were your accomplishments during this past year?
  - b. What did you learn?
  - c. What did you do about what you learned?
  - d. What specific actions are still needed?
8. The member of the leadership team facilitates the completion of these various annual reports which are shared with staff, board members and other stakeholders. This information is used to inform organizational decision making and the strategic planning process.

## **CORPORATE COMPLIANCE PROGRAM POLICY**

### **POLICY:**

It is ADEC's policy to deliver its services in an environment characterized by strict conformance with the highest standards of accountability for administration, clinical, business, marketing and financial management.

Non-conformance to the provisions of this policy and plan may lead to disciplinary action up to and including termination of employment for staff or removal from the board of directors for board members.

### **PROCEDURE:**

1. The President/CEO will name a Corporate Compliance Officer who will coordinate the development, implementation and monitoring of a Corporate Compliance Plan for the agency.

Responsible: VP Human Resources  
Latest Rev: 8/19/2019

Approved:

## ADEC INC. CORPORATE COMPLIANCE PLAN

### OVERVIEW

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

To preserve and enhance ADEC’s reputation, everyone associated with ADEC, including its Board of Directors, management and staff members, must share a commitment not only to ADEC ’s mission but also to compliance with the numerous laws, regulations, and policies that govern ADEC ’s conduct.

The Corporate Compliance Plan summarizes both the internal and external provisions that govern various legal and ethical requirements for community non-profit organizations. The compliance plan is composed of three basic elements:

- A. Code of Conduct for employees and Board of Directors members
- B. “Whistle-Blower” Policy
- C. Records Retention Policy

A failure to follow existing legislation and regulatory requirements can damage ADEC ’s reputation and threaten its ability to carry out its mission. Unlawful behavior also may result in criminal liability and fines. Individuals who knowingly violate or recklessly disregard this Compliance Plan, or the laws, regulations and policies which govern ADEC, will face severe consequences, including termination of employment or removal from the board of directors.

ADEC ’s ability to achieve compliance with the law depends upon its ability to recognize, avoid, and remedy existing problems. ADEC ’s compliance, therefore, depends not only upon a choice to “follow the rules” but also an obligation to its mission, its institution, and all those who serve ADEC in any capacity.

### A. CODE OF CONDUCT

#### Introduction

ADEC recognizes that there may be instances where an employee or Board Member may learn of practices at ADEC that may be of concern. While there are many ways for an employee or Board Member to address those concerns, ADEC recognizes that the choice will likely depend upon relationships with the individuals involved in the conduct at issue; upon relationships with supervisors; or upon knowledge of the laws, regulations and policies governing the practice that is of concern. ADEC wants to assure employees and Board members that this Compliance Plan as well as the Compliance Officer exists to help them when they are unable, for any reason, to assure themselves that the conduct in question is in fact appropriate, or if an individual believes that the problem has not been effectively remedied. In those instances, ADEC fully expects that individuals will promptly inform their supervisor or the Compliance Officer of the issue. The Compliance Officer is committed to ensuring full compliance with all existing laws, rules, regulations, protocols and policies that govern ADEC.

## The Compliance Officer

The Vice President of Human Resources has been appointed by the President/CEO as the ADEC Compliance Officer to aid in identifying any potential areas of non-compliance through audits, to assist as appropriate in investigating areas of concern raised by employees, Board Members or by others, and to propose potential remedial actions.

The Compliance Officer is responsible for overseeing the development and implementation of policies and procedures that govern ADEC's compliance efforts, informing individuals of this Compliance Plan, and for providing any necessary training. These policies and procedures will be reviewed at least annually and revised if necessary. The Compliance Officer's work will be confidential and privileged to the extent permitted by law. If requested, the Compliance Officer also will make all reasonable efforts to protect the identity of the reporting individual. When the Compliance Officer completes any necessary investigation, or implements any necessary steps to address the problems detected, the Compliance Officer will, whenever appropriate, inform the reporting individual of the result of the investigation and of any action taken concerning the issue presented.

The Compliance Officer reports directly to the President and Chief Executive Officer.

## The Process

ADEC employees and Board of Directors members are strongly encouraged to bring any concerns regarding violations of this Code of Conduct to the attention of their supervisor or the Compliance Officer. Reports may be made in person, in writing, or over the telephone. Written communications should be marked "CONFIDENTIAL." Although reports may be made anonymously, for the supervisor or the Compliance Officer to obtain more information from or respond to the reporting individual, the reporting individual should provide his or her name when the report is made.

All reports and communications received will be confidential and privileged to the extent permitted by law. In general, reports of violations and investigations will be addressed by line supervision. The Compliance Officer will serve as a resource to management staff and will conduct investigations as determined by the CEO.

Upon conclusion of the investigation, involved management staff or board leadership and the Compliance Officer will determine if any follow-up action is to be taken.

An annual report will be provided to the board of directors indicating if there had been any investigations of corporate compliance violations or that there had been none.

## ELEMENTS OF ADEC'S CODE OF CONDUCT

The following summarizes the conduct expected from all our employees and individuals associated with ADEC, and highlights certain key areas where the potential for concerns may be significant. This Code does not replace ADEC's Policies and Procedures Manual or Personnel Policies Manual. See ADEC Policy [1.2.3 Ethics Adhered to at ADEC](#) for more details. It should provide additional guidance, make individuals sensitive to potential problems they may face, and help employees and board members to avoid pitfalls.

## Key Areas

ADEC is subject to state, federal and local compliance legislation and regulations, together with various internal policies and protocols, including ADEC 's Policies and Procedures Manual and Personnel Policies Manual.

Summarized below are the general obligations arising in other key areas of our operations which include:

1. Conflicts of Interest.
2. Discrimination and Employment.
3. Gifts and Gratuities
4. Immigration
5. Information System Issues
6. Prevention and training
7. Not-for-Profit and Tax Exemption Considerations
8. Political Activity
9. Wage and Hour Issues
10. Billing

### 1. Conflicts of Interest

*Conflicts of interest are defined as situations in which an individual may receive financial or material gain or business advantage from a decision made on behalf of another or from information gained through his/her responsibilities as an ADEC staff member or board member.*

Further, a conflict of interest may arise where an employee or board of director's member stands to benefit personally from his/her association with ADEC, or where an employee or Board of Directors member is able to put his or her personal interests above those of ADEC. All ADEC employees and Board of Directors members have a duty of loyalty to the organization and, therefore, should avoid any actual or apparent conflicts of interest. While conflicts can arise in many different contexts, in general ADEC expects that all employees and Board of Directors members will put the interests of ADEC ahead of their personal concerns and will not seek to benefit themselves at the expense of, or because of, ADEC or their affiliation with ADEC. ADEC expects all its employees and Board of Directors members to become familiar with and adhere to policies in this area. Suspected violations should be reported immediately to supervision or the Compliance Officer. In certain instances, conflicts of interest or potential conflicts of interest, when disclosed, may be upheld pursuant to ADEC 's administrative and governance policies. ADEC board members shall complete an annual *Conflict of Interest Declaration* form.

### 2. Discrimination and Employment

ADEC is committed to equal opportunity and to the respect for human dignity. Unequal treatment or discrimination based upon gender, race, color, national origin, age, religious affiliation or belief, disability, sexual orientation, gender identity, gender expression, genetics, protected veteran status, or other non-performance or ability-related grounds is unacceptable. ADEC will hire, promote and retain individuals based upon their ability to meet bona fide occupational qualifications, and to effectively and efficiently discharge the obligations of their job. Similarly, ADEC does not condone and will not tolerate conduct that demeans or undermines individuals



served or employees, or that creates or encourages a hostile or oppressive working environment. ADEC will not discriminate in the areas of employment, compensation, assignment of work or promotion practices.

ADEC has developed and maintains various employment-related policies as set forth in the ADEC Policies and Procedures Manual and Personnel Policies Manual. ADEC expects that all employees and Board of Directors members will be familiar with and will adhere to these policies. Questions or concerns should be directed to the Compliance Officer.

### 3. Gifts and Gratuities

Employees and Board of Directors members should be aware that the receipt or giving of gifts by ADEC personnel may raise questions about relationships with ADEC, vendors, governmental officials, or others with whom ADEC interacts. ADEC must always refrain from activities that could possibly be construed as an attempt to improperly influence these relationships. Employees and Board of Directors members should not offer or receive a gift in circumstances where it could appear that the purpose of the gift is to improperly influence ADEC's relationship with a vendor, regulator, or other person or entity.

It is ADEC's policy to reimburse its employees and agents for all reasonable expenses, including meals/travel, that are appropriately incurred while conducting ADEC's business. Rarely will justification exist for an individual to permit someone else to pay for such items.

Under certain conditions small gifts may be accepted by staff or board members. See ADEC Policy 2.1.15 Gratuities.

### 4. Immigration

ADEC is not permitted to employ anyone who is not a United States citizen, unless that person has an appropriate visa or other documentation that allows him or her to legally work at ADEC. If ADEC violates federal immigration laws, there could be significant civil or criminal liability. It is the policy of ADEC to fully comply with the immigration laws and, therefore, no person will be hired without presenting documentation of their citizenship or immigration status to our Human Resources Department. Any concerns regarding immigration issues should be brought to the attention of the Human Resources Department.

### 5. Information Systems Issues

ADEC employees and Board of Directors members are responsible for maintaining and protecting the information used by them in connection with their duties. For example, individuals must not make inappropriate or unauthorized modifications of information, or destroy or disclose information, except as authorized. Additionally, no individual may, without the prior written consent of ADEC, use for their benefit or disclose to others any confidential information obtained during employment or board tenure.

Documents containing sensitive data must not be left in public view or in an unsecured location. Individuals also must be careful when they enter, secure, and store computer data. If individuals whom they do not recognize are observed using terminals in their area, immediately report this to a supervisor. Any concerns regarding confidential information should be brought to the attention of the Compliance Officer or the HIPAA Privacy Officer.

Staff and Board of Directors members should be familiar with ADEC Policies 3.1.13 Electronic Data Security and 5.1.3 Confidentiality.

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



## 6. Prevention and Training

ADEC has established several internal controls which prevent or reduce the likelihood of fraud and misuse of agency assets and resources. ADEC Policies 3.1.6 Authorization, Incumbrance and Payment of Agency Financial Obligations, 3.1.8 Interim Financial Reporting Procedures, 3.1.12 Cash Management Policy and the *SAS 99 Interviews* conducted by independent auditor's detail many of the organization's internal controls.

All staff receive an annual training on the ADEC Code of Ethics, ADEC Corporate Compliance Policy and Plan, fraud prevention procedures. Board members receive copies of these policies and annually sign declaration forms for Confidentiality, Conflict of Interest and Ethics. Financial services staff conduct ongoing procedure reviews during team meetings and document reviews as a matter of daily operating procedures.

## 7. Not-for-Profit and Tax Exemption Considerations

ADEC is exempt from taxation as a not-for-profit entity accomplishing a charitable purpose. To maintain this exemption, ADEC cannot act for the benefit of an individual or entity. Such conduct, commonly referred to as "private inurement," is improper. ADEC cannot authorize or pay compensation and benefits more than the "fair market value." Similarly, ADEC must receive fair market value for things such as space rented by individuals, or services or materials purchased by individuals. If fair market value is not paid or received, it could be determined that ADEC has allowed its exempt assets to benefit a private individual, and a private inurement violation can be established. Sanctions can include civil liability, including personal liability for board members, officers, and the individual receiving the improper benefit. Additionally, ADEC could lose its tax-exempt status. It is therefore crucial that private inurement issues be avoided. Questions regarding these issues or potential problems in this area should be referred to the agency's Chief Financial Officer or Compliance Officer.

## 8. Political Activity

Federal and state laws limit the way in which ADEC as an institution may participate in the political process. For example, ADEC is expressly prohibited by legislation and regulations from contributing to political candidates or officeholders. Employees and Board of Directors members, of course, may personally participate in the political process if they desire to do so. Such participation, to the extent it includes campaigning or soliciting political support or contributions, must take place off ADEC premises or at an ADEC sponsored event. Neither can ADEC's assets be used to support political activity or political candidates. Unless authorized, employees and Board of Directors members should not use their affiliation with ADEC in such a way as to suggest or imply that ADEC, as opposed to the individual personally, supports a candidate, party, or issue. Questions regarding these issues or potential problems in this area should be referred to the Compliance Officer.

## 9. Wage and Hour Issues

As an employer, ADEC is required to comply with all applicable wage and hour laws, and other laws governing the employment relationship. Employees are entitled to receive fair and equitable wages and benefits in connection with services provided to ADEC, and employees may receive overtime pursuant to applicable ADEC policies and contracts. Employees should report any concern or dissatisfaction concerning wage and hour laws, or other related provisions, to their supervisor or the Vice President of Human Resources. Employees should not be subject to retaliation or adverse employment action for making such a report.

## 10. Billing

ADEC provides services for individuals served in our approved programs based on agreements with various funding sources such as Medicaid, Grants, Vocational Rehabilitation and Private Pay

ADEC program staff provide services and document following the requirements of each funding source. Upon receiving completed and approved documentation from the program staff, Financial Services bills for services based on procedures required, following the billing protocol for each funding source. Documentation is maintained electronically whenever possible; otherwise a copy of the paper documentation form is kept in the finance office. Program staff is responsible to review and approve documentation of services provided. Finance office staff review to see that statistical data such as dates, times, service codes and approvals are completed.

## B. “WHISTLE-BLOWER” POLICY

In keeping with the policy of maintaining the highest standards of conduct and ethics, ADEC will investigate any suspected fraudulent or dishonest use or misuse of ADEC ’s resources or property by staff, board members, consultants or vendors. ADEC is committed to maintaining the highest standards of conduct and ethical behavior and promotes a working environment that values respect, fairness and integrity. All staff, board members, consultants, and vendors shall act with honesty, integrity and openness in all their dealings as representatives for the organization. Failure to follow these standards will result in disciplinary action including possible termination of employment or business relationships, dismissal from one’s board duties, and possible civil or criminal prosecution if warranted.

Staff and board members are encouraged to report suspected fraudulent or dishonest conduct (to act as a “whistle-blower”), pursuant to the procedures set forth below.

### Reporting

A person’s concerns about possible fraudulent or dishonest use or misuse of resources or property should be reported to his or her supervisor or to the Compliance Officer immediately so a timely investigation can be conducted. If for any reason a person finds it difficult to report his or her concerns to a supervisor or to the Compliance Officer, the person may report the concerns directly to the President and Chief Executive Officer.

Alternately, to facilitate reporting of suspected violations where the reporter wishes to remain anonymous, a written statement may be submitted to Compliance Officer.

### Definitions

*Baseless Allegations:* Allegations made with reckless disregard for their truth or falsity. People making such allegations may be subject to disciplinary action by ADEC and/or legal claims by individuals accused of such conduct.

*Fraudulent or Dishonest Conduct:* A deliberate act or failure to act with the intention of obtaining an unauthorized benefit. Examples of such conduct include, but are not limited to:

- forgery or alteration of documents;
- unauthorized alteration or manipulation of computer files;
- fraudulent financial reporting;
- pursuit of a benefit or advantage in violation of ADEC 's Code of Conduct, including its Conflicts of Interest Policy;
- misappropriation or misuse of ADEC resources, such as funds, supplies, or other assets;
- authorizing or receiving compensation for goods not received or services not performed; and
- authorizing or receiving compensation for hours not worked.

*Whistle-Blower:* An employee or other individual who informs a supervisor, the Compliance Officer or other party about an activity relating to ADEC which that person believes to be fraudulent or dishonest.

### **Rights and Responsibilities**

Supervisors are required to report suspected fraudulent or dishonest conduct to their Vice President, Compliance Officer, or the President and Chief Executive Officer.

Reasonable care should be taken in dealing with suspected misconduct to avoid:

- baseless allegations
- premature notice to persons suspected of misconduct and /or disclosure of suspected misconduct to others not involved with the investigation; and
- violations of a person's rights under the law

### **Investigations**

All relevant matters, including suspected but unproved matters, will be reviewed and analyzed, with documentation of the receipt, retention, investigation and treatment of the complaint. Appropriate corrective action will be taken, if necessary, and to the extent it is appropriate to do so, findings will be communicated back to the reporting person and his or her supervisor. Investigations may warrant investigation by an independent person such as auditors and/or attorneys.

ADEC will give its best efforts to provide guidance to whistle-blowers against possible retaliation. Whistle-blowing complaints will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and the law. Generally, this means that whistle-blower complaints will only be shared with those who have a need to know so that ADEC can conduct an effective investigation, determine what action to take based on the results of any such investigation, and in appropriate cases, with law enforcement personnel.

Employees, consultants and Board of Directors members of ADEC may not retaliate against a whistle-blower for informing management about an activity which that person believes to be fraudulent or dishonest with the intent

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

or effect of adversely affecting the terms or conditions of the whistle-blower's employment, including but not limited to, threats of physical harm, loss of job, punitive work assignments, or impact on salary or fees. Whistle-blowers who believe that they have been retaliated against may file a written complaint with the Compliance Officer, Board Chair, or President and Chief Executive Officer. Any complaint of retaliation will be promptly investigated and appropriate corrective measures taken if allegations of retaliation are substantiated. This protection from retaliation is not intended to prohibit supervisors from acting, including disciplinary action, in the usual scope of their duties and based on valid performance-related factors. Whistle-blowers must be cautious to avoid baseless allegations as described earlier in the "definitions" section of this policy.

Investigations should be completed in a timely manner. Within 30 days or sooner if possible and longer should circumstances require.

### C. RECORDS RETENTION POLICY

The goals of this policy are:

- to ensure that all non-critical records are retained for no longer than the minimum period required by law;
- to eliminate accidental or innocent destruction of business records;
- to ensure that all critical records are retained for a sufficient period; and
- to ensure that records are destroyed only pursuant to a standard policy which has been developed for business reasons.

This policy shall apply to all records regardless of whether the records are stored on paper or on computer hard drives, disks or other electronic media. See ADEC Policies and Procedures Manual policy 6.2.1 Records Retention and Destruction.

The legally-required retention periods set forth in this policy presumes the operation of ADEC in the "ordinary course of service provision." Destruction of records relating to litigation or governmental investigations may constitute a criminal offense. The President/ CEO shall be responsible for suspending destruction of any records as soon as litigation, federal government investigation, civil action, audit by a governmental agency or enforcement proceeding is suspected, reasonably anticipated or is commenced against ADEC, its officers, board of directors or employees. The President/CEO shall be responsible for notifying individuals at ADEC responsible for record retention activities to ensure that destruction of records is suspended until the litigation, investigation or proceeding is complete.

The Sarbanes-Oxley Act of July 30, 2002, makes it a crime to alter, cover up, falsify, or destroy any document to prevent its use in an official proceeding. Failure on the part of employees or board members to follow this policy can result in possible civil and criminal sanctions against ADEC and its employees and possible disciplinary action against responsible individuals up to and including termination of employment or board membership. Each employee or board member has an obligation to contact their supervisor or Compliance Officer of a potential or actual litigation, external audit, investigation or similar ADEC proceeding involving ADEC that may have an impact as well on the approved records retention schedule.

## **RISK MANAGEMENT ASSESSMENT PLAN**

### **POLICY:**

The following policy identifies information on ADEC approach to overall Risk Management Assessment.

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.

Responsible: President / CEO

Latest Review: 03/30/2021

Approved:

**PURPOSE:**

Risk management is the identification, evaluation, and prioritization of risks followed by coordinated and economical application of resources to minimize, monitor, and control the probability or impact of unfortunate events or to maximize the realization of opportunities.

Every employee of ADEC is recognized as having a role in the risk management vigilance in the identification of risks to treatment and shall be invited and encouraged to participate in that 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

**COMPONENTS**

The Risk Management Assessment Plan contains elements of:

1. Enterprise Risk Management (ERM)
2. Program/Service Risk Management Assessment
3. Risk Management Risk Matrix
4. Statement of Assurance

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

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

## 2. 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 <i>(Likelihood)</i>	Level of Risk <i>(Impact)</i>	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>
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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.

### 3. Risk Assessment Risk Matrix

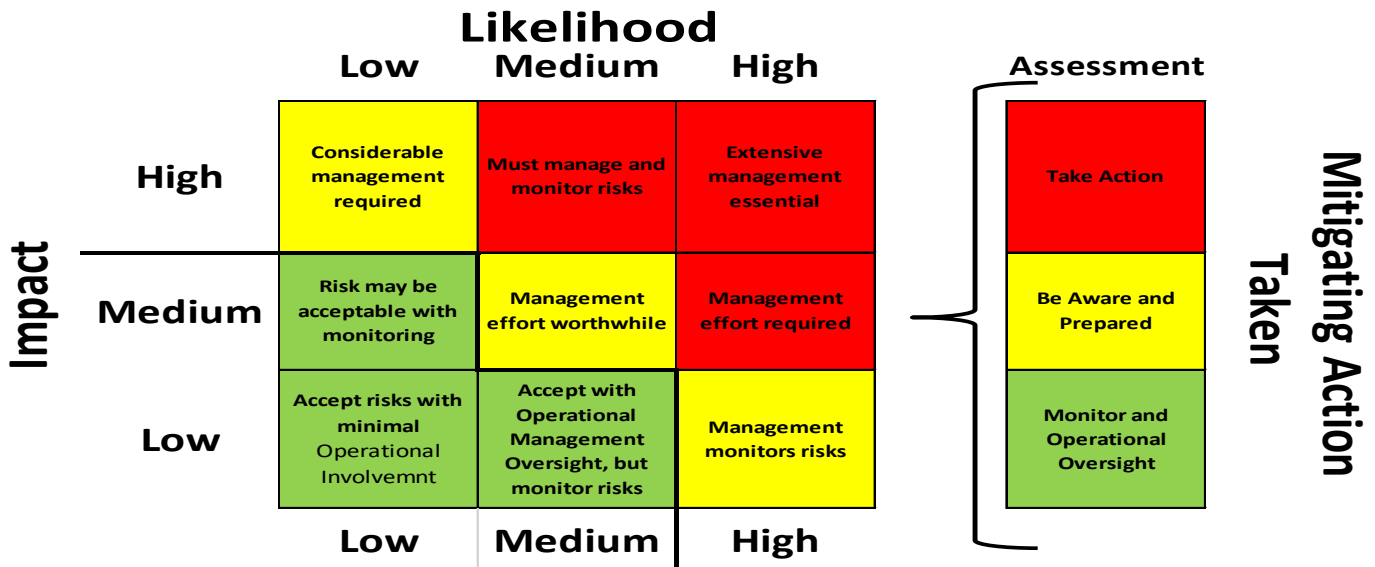
The comprehensive list of Areas of Risk is mapped to ERM to form the Risk Matrix. This combines to reflect:

- 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



### 4. 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.

## **BOARD OF DIRECTORS RESPONSIBILITIES**

### **POLICY:**

The ADEC By-Laws provides for the establishment of Board of Directors with the following identified executive officer roles:

- Chairperson
- Vice Chairperson
- Secretary
- Treasurer
- Past Chairperson

Responsible: President / Chief Executive Officer

Latest Revision: 7/23/2021

Approved:

**PURPOSE:**

To ensure the good health and success of the organization the ADEC Board of Directors have the following responsibilities:

- 1. Determine the organization's mission and purpose.** A statement of mission and purposes should articulate the organization's goals, means and primary constituents served. It is the board's responsibility to create the mission statement and review it periodically for accuracy and validity. Each individual board member should fully understand and support it.
- 2. Select the chief executive.** Boards must reach consensus on the chief executive's job description and undertake a careful search to find the most qualified individual for the position.
- 3. Support the chief executive and review his or her performance.** The board should ensure that the chief executive has the moral and professional support he or she needs to further the goals of the organization. The chief executive, in partnership with the entire board, should decide upon an annual evaluation of his or her performance.

CEO evaluations will include leadership performance in relation to overall corporate performance verses target, individual performance verses target, professional development, accomplishments and opportunities.

- 4. Ensure effective organizational planning.** As stewards of the organization, the board must actively participate with the staff in an overall planning process and assist in implementing the plan's goals.
- 5. Ensure adequate resources.** One of the board's foremost responsibilities is to provide adequate resources for the organization to fulfill its mission. The board should work in partnership with the chief executive and development staff to raise funds from the community.
- 6. Manage resources effectively.** The board, to remain accountable to its donors and the public, and to safeguard its tax-exempt status, must assist in developing the annual budget and ensuring proper financial controls are in place.
- 7. Determine, monitor and strengthen the organizations programs and services.** The board's role in this area is to determine which programs are the most consistent with ADEC's mission and to monitor their effectiveness.
- 8. Enhance the organization's public standing.** An organization's primary link to the community, including constituents, the public and the media is the board. Clearly articulating ADEC's mission, accomplishments and goals to the public, as well as garnering support from important members of the community, are important elements of a comprehensive public relations strategy.
- 9. Ensure legal and ethical integrity and maintain accountability.** The board is ultimately responsible for ensuring adherence to legal standards and ethical norms. Solid personnel policies, problem solving

procedures, and a clear delegation to the chief executive of hiring and managing employees will help ensure proper adherence to this responsibility.

- 10. Recruit and orient new board members and assess board performance.** The ADEC board has the responsibility to articulate and make known its needs in terms of member experience, skills and many other considerations that define a “balanced” board composition. The ADEC board must also orient new members to its responsibilities and the organization’s history, needs and challenges. By evaluating its performance in fulfilling its responsibilities, the board can recognize its achievements and reach consensus on which areas need to be improved.

In an effort to continuously assess their performance, the board may receive a self-assessment annually and through individual assessments to ensure that they are fulfilling their duties and governing the organization with effectiveness. These periodic self-assessments of the entire board and self-assessments of individual board members may be conducted to help the board understand their performance level and where improvements could be made.

The board will work with the President/CEO to address board education and development needs so that board members are equipped to fulfill their duties and responsibilities.

**11. Other responsibilities.**

- Annually review the agency’s written executive leadership succession plan.
- As necessary develop, review, modify and approve governance policies of the organization.
- Board members are encouraged to attend all board and committee meetings.
  - When unable to attend the President/CEO’s office should be contacted to excuse the absence.
- Appoint independent financial auditors and other professional advisors as necessary.
- Annually sign agency’s written conflict of interest declaration.
- Annually sign agency’s written ethical code of conduct declaration.
- Annually sign agency’s Confidentiality Agreement.

## **ADEC BOARD of DIRECTOR COMMITTEES**

### **POLICY:**

The ADEC By-Laws provides for the establishment of Board of Director appointed committees to assist the Board in conducting its work. A description of these committees and their duties are detailed in this policy. Committee members are to rely on good faith in the reports and statements of agency employees but are also to use the reasonable power of inquiry where justified to ensure that information presented to the board is accurate and truthful.

Responsible: President / Chief Executive Officer

Latest Revised: 5/13/2021

Approved:

**PURPOSE:** The following is the list of recognized Board of Directors Committees, as defined in Article IV – Committees, in By-Laws, as well as established by Board consent.

The President/CEO is non-voting Ex-Officio member of the Board of Directors and voting Ex-Officio member on all standing, program and ad-hoc committees.

**EXECUTIVE COMMITTEE:**

The executive committee shall formulate and propose policy statements to the board of directors' relative to governance and the use and protection of the Corporation's assets and shall formulate policy with respect to matters of finance. The governance committee and finance committee shall serve as a resource to the executive committee on these matters. The executive committee will also provide oversight to the president/chief executive officer of the Corporation in the performance of his/her duties.

Committee responsibilities:

- a. To annually evaluate the President/CEO, reviewing performance as it relates to the President/CEO's job description and other performance criteria agreed upon.
- c. Work through Chairperson and President/CEO to establish the agenda for board meetings, assuring that business of ADEC requiring board attention is appropriately managed.
- d. Through monthly consolidated management reports, by program, review in depth the performance of the agency in all areas as part of the ongoing evaluation of the President/CEO.
- e. To consider and present, when appropriate, to the entire board, alternative policy statements regarding board governance or the work and role of the President/CEO.
- f. To make necessary and appropriate assignments to other board committees and task forces as required, fixing responsibility for development of needed policy statements.
- g. To assure that the board is presented annually a report by the President/CEO summarizing the agency's performance, planning completed for the new program/fiscal year, and as appropriate the Strategic Plan of the agency.
- h. As required to provide the oversight of ADEC's Information Security Program relative to the federal Health Insurance Portability and Accountability Act/Health Information Technology and Economic and Clinical Health Act.

Members:     Chairperson  
                  Vice Chairperson  
                  Secretary  
                  Treasurer  
                  Past Chairperson  
                  Ex-Officio President/CEO

## **Standing Committees**

### **FINANCE COMMITTEE**

The Finance Committee provides oversight and policy direction for ADEC's financial and investment management so that ADEC's assets are used in the most effective and efficient manner to provide services in line with the agency's mission. Responsibilities include:

- a. Oversees ADEC's annual financial planning / budget process with recommendation to full board
  - a. Approve and present to the board an annual budget in line with ADEC's goals and objectives.
- b. Monitors that adequate funds are available for the plan
- c. Safeguards ADEC's assets by annual review of Enterprise Risk Management
- d. Drafts and reviews organizational fiscal policies and procedures
- e. Anticipates financial problems
- f. Ensures that the board received accurate and complete information
- g. Helps the rest of the board understand financial statements and the general financial condition of ADEC
- h. Ensures that federal, state and local reporting takes place
- i. Implements ADEC's Investment Policy, Reference Policy Number 3.1.1.
  - a. Monitor earnings and asset allocations of the investments by reviewing reports from and meeting with ADEC's outside investment managers.
- j. Regularly reviews investment and financing policies of ADEC, as well as regular reviews of the results of the agency's investment program.
- k. Monthly review the agency's financial position through financial reports provided including but not limited to current Income Statement and Balance Sheet.
- l. Review the current Fiscal Year Audit and Management Letter. Work with the President/CEO to implement any Management Letter recommendations.

Members: Chairperson - To be appointed by the Board of Directors Chairperson  
Ex-Officio, President/CEO, and Vice President of Finance/CFO

### **NOMINATING/GOVERNANCE COMMITTEE**

Committee responsibilities are to facilitate the continuity of an effective, efficient and stable functioning board of directors. The Governance Committee does not usurp board or board chair functions/authority but serves as a resource. Responsibilities include:

- a. Periodically review and revise as required agency by-laws and governance policies
- b. Design and monitor a system for board member orientation
- c. Design and monitor a system for continuing board member education
- d. Provide for regular/periodic board self-assessment
- e. Assist in the implementation of each of the above as required or needed
- f. Design and implement a process for board member recruitment and nomination.

Members: Chairperson - To be appointed by the Board of Directors Chairperson  
Ex-Officio, President/CEO  
Staff liaison: Vice President of Human Resources

### **HUMAN RIGHTS COMMITTEE**



It is the policy of ADEC to establish and operate a Human Rights Committee (HRC) under the authorization of the board of directors whose function is to serve as an advocate on behalf of persons with disabilities relating to the definition and protection of human rights. This committee shall review and approve policies related to human rights of individuals served, shall monitor policy implementation, and shall review and approve the use of restrictive behavior management techniques, when necessary, for those served. is to help protect the basic human, civil and legal rights of individuals served. Responsibilities include:

- 1.) Assures that there is a system in place for the protection of the basic human rights of individuals served
- 2.) Review of agency policy and procedures related to behavior change techniques
- 3.) Review approve and monitor behavior support plans and restrictions on individual's rights in accordance with ADEC's Behavior Support Techniques and Individuals Served Rights policies. Ensure that these plans are conducted only with the written informed consent of the individual or his or her legal representative
- 4.) Ensure required committee training as defined in:
  - a. Individuals served rights as defined in ADEC Policies 5.2.1 and 5.2.2
  - b. Behavior Support Plans as defined in ADEC Policy 5.3.1
  - c. Protected Health Information Confidentiality ADEC Policy 9.1
- 5.) Execute, as needed, Procedure for emergency approval(s):
  - a. Request is made from staff seeking approval and an email with request is sent to the Staff Liaison.
  - b. HRR shall insure document is secured with a password and distribute by email to all members of the HRC.
  - c. To demonstrate discussion HRC members will "Reply to All" when asking questions.
  - d. HRC members will also "Reply to All" when voicing their approval or denial of the request (de-identified per HIPAA rule).

Members: Chairperson - To be appointed by the Board of Directors  
 Chairperson  
 Ex-Officio, President/CEO; Director Protective Services  
 Staff liaison: Executive Administrative Specialist

In addition, the HRC is to consist of:

- 1.) include a chairperson who: is not an owner, director, officer, employee, contractor, subcontractor or agent of a BDDS approved Provider Entity authorizing the committee; and is responsible for coordinating the committee's functions;
- 2.) have a written policy defining the committee's functions, including review of the use of restrictive interventions with an individual; and other human rights issues for individuals.
- 3.) Consist of, in addition to the chairperson:
  - a. at least one person who meets Behavioral Support Services provider qualifications per 460 IAC 6-4.3-2;
  - b. at least one person with one or more years of work experience in the field of developmental disabilities who is:
    1. a physician;

- 2. a licensed nurse; or
- 3. a person who holds at minimum of a bachelor’s degree in any of the following: Occupational Therapy; Physical Therapy; Speech-Language Pathology; sociology; special education; rehabilitation; psychology, or another related human services field;
- c. at least one person with a developmental disability.
- 4.) require participation of a minimum of 3 members for any meeting during which decisions involving Individual entitlements or rights are made
- 5.) reach decisions based on a majority of the members present, and
- 6.) disallow participation in committee deliberation and decision making by members of the Individualized Support Team of the Individual whose entitlements or rights are being addressed.

**GUARDIANSHIP COMMITTEE**

This committee shall represent the Corporation to ensure that staff decisions on behalf of persons under guardianship of agency’s corporate guardianship program are consistent with polices and operational guidelines set forth by the board of directors. ADEC has adopted the National Guardianship Association’s *Standards of Practice* and *Model Codes of Ethics* as agency policy and operating guidelines for its corporate guardianship program.

The committee will be made up of between six and nine members from different disciplines to allow for a wide range of expertise. These shall include a member from the ADEC's Board of Directors, family member of a person served, other pertinent professionals such as a medical professional, pastor, counselor, special education personnel, an attorney, or a fiduciary expert the committee will meet monthly. Responsibilities include:

- a. To orient and educate itself on the National Guardianship Association’s *Standards of Practice* and *Codes of Ethics* and other relevant professional resources.
- b. To review staff reports and decisions made on behalf of corporate guardianship wards to insure consistency with agency policy and guidelines for the program.
- c. As requested, offer consultation in response to emergencies which, may arise regarding persons served by the guardianship program.

Members: Chairperson - To be appointed by the Board of Directors  
 Ex-Officio, President/CEO  
 Staff liaison: Director Protective Services

**Established Committees**

**FACILITIES COMMITTEE**

This committee is responsible to ensure that all ADEC facilities are safe, energy-efficient, suited for their intended purpose (program or administrative) and well maintained. Responsibilities include:

- a. Tour all ADEC facilities annually

- b. Review preventative maintenance schedules
- c. Review facilities Capital Investments Budget annually
- d. Review major remodeling/purchase projects for Board approval
- e. Review the agency’s Long-Range Accessibility Plan
- f. Make recommendations to staff and the Board as appropriate

Members: Chairperson - To be appointed by the Board of Directors  
Chairperson Ex-Officio, President/CEO; VP of Maintenance / Transportation

**QUALITY ASSURANCE COMMITTEE**

The Quality Assurance Committee provides oversight and policy direction for ADEC’s quality assurance framework in “Delivering Excellence in Mission-Driven Programs and Services”.

Responsibilities for governance and monitoring of quality as identified by the program and service organizations to include:

- a. 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 ADEC mission
- b. Oversees overall identified components of ADEC’s Quality Framework
- c. Monitoring aggregated agency performance data as provided by Program/Service Leadership program areas and services
- d. Monitoring performance improvement efforts for effectiveness, efficiency, access and satisfaction
- e. Ensures that federal, state, and local reporting takes place
- f. Implements ADEC’s Quality Assurance Policy, Reference Policy Number 1.1.11
- g. Reviewing recommendations to the agency for changes in operations or program offerings; and
- h. Ensures that the board receives accurate and complete information.

The members of the Quality Assurance Committee, with oversight by Board Quality Assurance Committee, 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.

Quality Assurance Committee meets six times a year.

Members: Chairperson - To be appointed by the Board of Directors  
Chairperson Ex-Officio, President/CEO  
Staff liaison: Director Quality Assurance  
VP Executive Leads

**AD HOC BUSINESS ADVISORY COMMITTEE**

When needed, this committee will be formed to assist staff in identifying and evaluating business ventures which have potential to enhance funding for ADEC and thereby gain greater control of our destiny as a corporation.

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

Committee responsibilities:

- a. To propose Board policy statements to serve as a guide to assure that business ventures initiated reflect the values and goals of ADEC.
- b. To provide review and advice regarding feasibility studies, business plans, marketing, funding, and other associated strategies.
- c. To make recommendations to the Board of Directors regarding policy or action requiring Board of Directors approval.

Members: Chairperson - To be appointed by the Board of Directors  
Chairperson  
Ex-Officio, President/CEO  
Staff liaison: as appointed by the President/CEO

#### **APPOINTMENT OF NON-BOARD MEMBERS TO BOARD COMMITTEES**

Per ADEC INC. By-Laws *the Chairperson of the Board of Directors shall establish the makeup of each Committee, may enlarge any Committee, may appoint any persons to any Committee, and may create any new Committee for any purpose at his or her discretion, subject only to any contrary expressed provision in the By-Laws.*

The staff liaison to each committee and the respective committee chair will identify the need for additional committee members and recommend appointments to the Chairperson of the Board of Directors in writing.

The staff liaison will prepare a copy of the form ***Recommendation for a Non-Board Person to be Appointed to an ADEC Board Committee***. This form will state the need for additional committee members, qualifications required, name of the person being recommended to fill the seat and a narrative explanation of how this candidate meets the qualifications. The Chairperson of the Board will approve or not approve the recommendation. This action can take place at any time during the month but will be entered Executive Committee meeting minutes at its next meeting. Appointments of non-board members to ADEC Committees will be for a three-year term.

Should a board member want to continue to serve on a committee at the end of their board term the above stated procedure will be followed. Individuals employed by ADEC competitors or persons with a *conflict of interest* as defined in ADEC Policy 1.2.4 will not be considered for committee appointments. Chairpersons of board committees must be a member of the ADEC Board of Directors. In consultation with the President/CEO this expectation may be waived by the board chair.

May 2021

BY-LAWS, ARTICLE III, A: MAXIMUM OF 17, MINIMUM OF 9, MAJORITY VOTE

POLICY – GOVERNING BODY: NUMBERS 1.2.1 -1.2.10

**Board of Directors**

{Meeting – 6 Times a Year, 4<sup>th</sup> Thursday}

**Board Terms October 1 – September 30**

	First Name	Last Name	Email address	Professional Role	Officer Role	Current Term
1	Donald	Anderson	donalranderson@comcast.net	USI Insurance, Retired	Past Chair 2020 - 2021	2018 - 2021
2	Kevin	Boyer	kboyer@elkhartclinic.com	Elkhart Clinic	Treasurer 2020 - 2023	2020 - 2023
3	Larry	Gautsche	lgautsche7@gmail.com	LaCasa, Inc., Retired	Vice Chair 2020-2021	2020 - 2023
4	Jeremy	Gillespie	jtgillespie@beaconhealthsystem.org	Beacon Health System		2020-2023
5	Cary	Kelsey	carydkelsey@gmail.com	ADEC, Inc., Retired		2019-2022
6	Thomas	Kroll	tom.kroll@att.net	CTS Corp, Retired	Chair 2020-2021	2018 - 2021
7	Lauren	Maxson	lmaxson@yaub.com	Yoder Ainlay Ulmer & Buckingham		2018 - 2021
8	Thomas	Nickel	tomnickel@msn.com	Marv & Tom’s Truck Service	Secretary 2020 - 2023	2018 - 2021
9	Philip	Noonan	pgnoonan58@gmail.com	Honeywell, Retired		2021-2024
10	Kristine	Osterday	kristi.osterday@gmail.com	Elkhart County, Judge		2020 - 2023
11	Jason	Pippenger	jason@djconstruction.com	DJ Construction Company		2020 - 2023

The President/Chief Executive Officer is a non-voting ex-officio member of the Board of Directors and voting ex-officio of all standing or special committees.

**Executive Committee** {Meeting – as needed, Executive Session at end of Full Board Meeting}

Thomas Kroll, Chair	Kevin Boyer, Treasurer	Thomas Nickel, Secretary
Larry Gautsche, Vice Chair	Don Anderson, Past Chair	Ex-Officio: President/CEO – Donna L. Belusar

## Standing Committee(s)

\* Denotes Non-Board of Directors member with voting authorization

### **Finance Committee** {Meeting – Quarterly}

Ex-Officio: President/CEO – Donna L. Belusar  
 Debra Hogan \*  
 Jeanne Metcalfe \*  
 Dick Peterson \*

Tim Donlin – VP Finance/CFO  
 Larry Gautsche, Chair  
 Gary Boyn \*  
 Staff Liaison: Victoria Finlay – Executive Admin.

### **Nominating/Governance Committee** {Meeting – as needed}

Ex-Officio: President/CEO – Donna L. Belusar  
 Don Anderson, Chair  
 Kevin Boyer  
 Staff Liaison: Lisa Kendall – VP Human Resources

### **Human Rights Committee** {Meeting – Monthly}

Ex-Officio: President/CEO – Donna L. Belusar  
 Kristine Osterday, Co-Chair  
 Clark Widmoyer, Chair \*  
 Dean Redden - Person Served \*  
 Sara Howard – Community Employment

Tobi Weirich – VP, Protective Services  
 Lauren Maxson, Co-Chair  
 Evan Hoover – Family Advocate  
 Staff Liaison: Victoria Finlay – Executive Admin.

### **Guardianship Committee** {Meeting – Every Other Month, 3<sup>rd</sup> Thursday}

Ex-Officio: President/CEO – Donna L. Belusar  
 Thomas Kroll, Chair  
 Leslie Mayfield \*  
 Pam Kling \*  
 Gail Weybright \*  
 Staff Liaison: Tobi Weirich –VP, Protective Services

Douglas Kline \*  
 Jeanne Metcalfe \*  
 Sharon Kroll \*  
 Cary Kelsey

## Established Committee(s)

\* Denotes Non-Board of Directors member with voting authorization

### **Facilities Committee** {Meeting – 6 Times Per Year, 3<sup>rd</sup> Friday}

Ex-Officio: President/CEO – Donna L. Belusar  
 Jason Pippenger, Chair  
 Jeff Schrock – VP, Maintenance/Transportation

### **Quality Assurance Committee** {Meeting – 6 Times Per Year}

Ex-Officio: President/CEO – Donna L. Belusar  
 Don Anderson, Chair  
 Tobi Weirich – VP, Protective Services

Michelle McGuin – VP, Chief Program Officer  
 Lisa Kendall – VP, Human Resources

## **Statement of Ethics Adhered to by ADEC**

### **POLICY:**

It is the policy of ADEC to perform all its operations in an environment characterized by strict conformance with the highest standards of ethical conduct and accountability for business, communications, contractual relationships, service delivery, professional responsibilities, and human resources.

Non-conformance to the provisions of this policy may lead to disciplinary action up to and including termination of employment for staff or for board member's removal from the Board of Directors.

Responsible: Compliance Officer  
Latest Revision: 9/1/2020

Approved:

## PROCEDURES

ADEC has a responsibility to be an organization that stands for providing ethical, social, and environmental values for all stakeholders. This responsibility assists in advocating for the persons served; promoting ethical business practices; developing efficiency as an organization; and considering the impact of organizational activities on persons served, personnel, other stakeholders and the environment.

The core attributes of ADEC embedded in its ethics policies and operating procedures include:

**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, and 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 doubt of possible wrong doing.

1. **Organizational Code of Ethics:** As a non-profit, public benefit corporation, ADEC recognizes its responsibility to operate in accordance with the highest ethical principles. This responsibility extends to all board of director's members, donors, employees, volunteers, and any other person involved in substantial interaction with the organization. Specifically, ADEC expects all persons to adhere to the specific codes enumerated below in their professional responsibilities representing the agency.
2. **Code of Ethics Regarding Contractual Relationships:** Employees must refrain from taking unilateral actions with the intent to bind the Organization legally or ethically. The President / Chief Executive Officer or the Chief Executive Officer's designee is the only employee authorized to sign and/or bind ADEC into any type of contractual relationship.
3. **Code of Ethics Regarding Personal Property:** ADEC does not encourage or discourage employees from selling personal property during their own personal time (breaks, meal periods) to other employees. Employees must obtain the approval of management to engage in such activity on Agency property. ADEC is not responsible for such transactions. The Organization expects all employees to respect and safeguard its property, the personal property of persons served, visitors, and other employees.



4. **Code of Ethics Regarding Exchanges of Gifts, Money and Gratuities:** No individual shall accept gifts, favors, entertainment, or other items of value that may compromise their decision-making abilities. Managers should not encourage, offer, or accept monetary and/or non-monetary goods and services from members of their team to avoid perception of favoritism or undue influence over a team member. The offer and/or acceptance of any questionable benefit must be reported to the Corporate Compliance Officer immediately.

The offer by any employee of money, services, or other things of value with the expectation of influencing the judgment, integrity, or decision-making ability of any person served, customer, government official or other person having business dealings with ADEC is expressly prohibited. The request for, or knowledge of, provisions of such benefit must be reported immediately to the Corporate Compliance Officer.

All gifts from persons served to employees must be disclosed to management. Gifts, money, and/or gratuities to or from persons served or their parents/care providers are prohibited when:

- The gift would be illegal or unethical
- It is made as part of an agreement to do anything in return/exchange
- Has a value beyond what is normal and customary courtesy (\$25)
- Is made to influence the actions of the recipient
- May create the appearance or perception of a conflict of interest

Also, see ADEC Policy 2.1.15 Gratuities.

5. **Code of Ethics Regarding Personal Fundraising:** Per ADEC Policy 2.1.6 Solicitation and Distribution Guidelines fundraising activities, general solicitation, and distributions of other materials, which are of no direct benefit to persons with disabilities, are prohibited on work time and in work areas.
6. **Code of Ethics Regarding Boundaries:** Professional boundaries are required to be maintained always between employees and persons served. As such, any type of personal relationship is strictly prohibited including but not limited to dating, sexual activities, and personal relationships that extend beyond the scope of providing billable service. See ADEC Policy 5.2.2 Rights of Individuals Receiving ADEC Services and ADEC Policy 5.2.4 Sexual Expression Policy for further details.
7. **Code of Ethics Regarding Witnessing of Legal Documents:** It is best practice for the witnessing of legal documents to be done by a Notary Public. When this is required staff, should contact the administrative office at Bristol Bldg. #1 to have signatures notarized. If this is not possible, or if there are questions, staff should consult their supervisor for direction. The Corporate Compliance Office is also available as a resource.
8. **Code of Ethics Regarding Service Delivery and Treatment of Persons Served:** ADEC is committed to be a center of excellence in its service delivery. A center of excellence is about maintaining high standards and a passion for constantly seeking to improve.
- Persons served give up no legal rights when they agree to participate in a program operated by ADEC. All legal rights of persons served shall be fully recognized.
  - Persons served must be treated with dignity and respect always.
  - Every reasonable effort will be made to reduce, mitigate, or eliminate attitudinal, architectural, and communication barriers that may exist.
  - All organizational activities must be conducted in an environment that promotes the process of assisting persons served achieve their full individual potential.

- The files relating to persons served shall be strictly confidential. Only those persons authorized for valid reasons relating to the quality of service delivered shall have access to the files.
    - a. Use of client information for personal gain is strictly prohibited and will lead to termination of employment.
  - Input from persons served shall be recognized as paramount to the successful delivery and evaluation of services rendered and shall be received in a respectful and thoughtful manner.
  - It is prohibited for members of the Program / Service Leadership Team and in a role of management to provide paid services, including consulting, to competing providers in ADEC's industry and program service scope. This includes conflict of interest activities and use of ADEC's resources and branding.
9. **Code of Ethics Regarding Board Members:** ADEC believes strongly that its board members must uphold the highest standards of ethical, professional behavior, and to:
- Hold paramount the safety, health, and welfare of the public in the performance of professional duties.
  - Act in such a manner as to uphold and enhance personal and professional honor, integrity, and dignity of the profession.
  - Treat with respect and consideration all persons, regardless of race, religion, gender, abilities, age, or national origin.
  - Engage in carrying out ADEC mission in a professional manner.
  - Collaborate with and support other professionals in carrying out ADEC mission.
  - Build professional reputations on the merit of services.
  - Uphold all applicable laws and regulations.
  - Refrain from taking any actions that would cause, or appear to cause, a conflict of interest.
  - Accept ultimate responsibility for all policies and activities of the organization, relying on good faith in the reports and statements of agency employees while using the reasonable power of inquiry where justified to ensure that information presented to the Board is accurate and truthful.
  - Ensure that revenues from all sources are used prudently and in accordance with established policies, in accordance with the mission of the organization, and in compliance (if applicable) with the intent of the donor.
10. **Code of Ethics Regarding Financial Practices:** All financial practices of ADEC shall conform to applicable state and federal laws.
- All donor-restricted funds will be used in a manner that is consistent with the intent of the donor.
  - All funds will be used in the most effective and efficient manner to achieve the mission of the organization. Appropriate policies regarding use of funds, including an annual budget, will be adopted and utilized in making decisions about the allocation of funds.
  - All fund development activities will conform to ethical standards.
  - Policy 3.1.1 ADEC Investment Management Policy shall guide the agency's long-term and short-term investment strategies.
11. **Code of Ethics Regarding Communications:** Communications is defined as interfacing with any part or facet of the public to enroll persons in the service delivery system or to increase educations and awareness of disability rights and/or services. In addition, to encourage people to donate financial resources and/or services, and any other related activities.
- All statements about ADEC, made either oral or written by any board member, volunteer or employee shall be entirely accurate. Representatives of the agency will refrain from making statements if they are not certain of their accuracy.

- Every attempt will be made to portray the agency honestly in all official literature, including but not limited to: Annual Report, promotional brochures, grant requests, videos, social media posting, etc.
- ADEC recognizes the value of treating agencies performing similar work in the community with respect. It will not engage in activities for the sole purpose of undermining the reputation of such organizations or detracting from the ability of such organizations to fulfill their mission of serving individuals with disabilities.

**12. Code of Ethics Regarding Employees:** ADEC employees are expected to adopt as their highest job-related priority the delivery of high-quality programming to the persons served.

- Maintain a climate of trust, loyalty, and mutual respect for all ADEC constituents, specifically including other employees.
- Strive for personal and professional growth to improve effectiveness.
- Provide truthful and comprehensive information in response to a legitimate inquiry by any appropriate official, regardless of whether that inquiry is an informal question or a formal investigation.
- Strive to maintain a positive attitude.
- Uphold all applicable laws and regulations.
- Strive to be effective stewards of the agency's resources, both human and financial.
- Present to the community-at-large, a professional demeanor intended to reflect positively on ADEC as an organization worthy of public support.
- Misuse of ADEC's resources, information, facilities and knowledge-based skills of employees for personal gain, whether material or non-material gain.

**13. Code of Ethics Regarding Human Resources:**

- Contribute to the Agency's success by ensuring adherence with legal requirements.
- Commit to strengthen competencies on a continuous basis.
- Contribute to the evolution of the department, the Agency, and the growth of human capital through coaching, and training.
- Make every effort to achieve the highest levels of service, performance and corporate responsibility while advocating for the appropriate treatment and appreciation of our employees and the people we serve.
- Promote equity, justice, respect and dignity in the workplace, personal and professional responsibility.

For further details see the [ADEC Personnel Policy Manual](#).

**14. Code of Ethics Regarding Volunteers:** All volunteers will:

- Treat with respect all other volunteers, board members, employees, donors, persons served, and persons doing business with ADEC.
- Refrain from taking any actions that would cause or appear to cause a conflict of interest.
- Present information to the community-at-large that fairly reflects the truth about ADEC' activities, financial status, etc.
- Engage in activities on behalf of ADEC only with appropriate authorization from a volunteer coordinator or an employee who has the authority to approve volunteer activities.

**15. Code of Ethics Regarding Conflict of Interest:** Conflicts of interest are defined as situations in which an individual may receive financial or material gain or business advantage from a decision made on behalf of another or from information gained through his/her responsibilities as an ADEC board member.

Further, all persons connected with ADEC shall:

- Refrain from using the organization's resources for personal gain. In other words, no person shall use employee time, mailing lists, equipment, money, or any other ADEC resource for private gain – whether material or non-material personal gain.
- Disclose any real or potential conflict of interest.
- Refrain from taking unilateral actions with the intent to bind the organization legally or ethically, where such actions should be taken by a group of people collectively. For example, individual board members do not have the right to enter contracts on behalf of ADEC
- Avoid personal relationships outside of providing billable services to clients to prevent a real or perceived conflict of interest.
- Make all decisions based on the best interest of the organization.

**16. Policy on Waste, Fraud, Abuse, and Other Wrongdoing:** ADEC is dedicated to the delivery of services in an environment characterized by strict conformance with the highest standards of accountability for governance, administration, service delivery, business, marketing, human resources, and financial management. The leadership of ADEC is fully committed to the need to prevent and detect fraud, fiscal mismanagement and misappropriation of funds. ADEC is committed to the establishment, implementation and maintenance of a corporate compliance program to ensure ongoing monitoring and compliance with all legal and regulatory requirements. The program will emphasize:

- Prevention of wrong doing—whether intentional or unintentional
- Immediate reporting and investigation of questionable activities and practices without consequences to the reporting source and
- Timely correction of any situation that puts ADEC, its leadership or employees, funding sources or persons served, at risk.

Substantive details regarding ADEC's policies on waste, fraud, abuse and other wrong doing are provided in *ADEC Policy 1.1.9 ADEC Corporate Compliance Program Policy* and *Policy 1.1.10 False Claims Policy*. No retaliation protections and reporting time frames as defined in these policies also apply to violations of ADEC codes of ethics.

All new staff receive training on these ethics policies during New Staff Orientation and annually thereafter. Volunteers and board members receive education on ethics upon orientation and periodically thereafter.

**17. Code of Ethics Regarding Social Media:** All codes of ethics detailed in this policy apply to any postings on all forms of social media and media in general.

**18. Advocacy Efforts for Persons Served:** ADEC supports a variety of advocacy efforts throughout each calendar year. As active members of the Indiana ARC, ADEC participates in the several advocacy activities such as visiting Indiana statehouse to visit with local legislators, attendance at local “third house” meetings with state lawmakers, annual observance of Autism Awareness month, Disability Awareness month, Employment Awareness month, local Television interviews and radio spots promoting and advocating for individuals with disabilities and participation in Disability Policy Seminars, as available.

## **Ethical Code of Conduct**

### **ADEC Board of Directors**

#### **Declaration**

It is the policy of the ADEC Board of Directors for board members to observe a code of ethical behavior which represents the values of integrity, respect, responsibility, trust, honesty and citizenship.

These values and ethics are further identified in ADEC policy 1.2.3 *Summary of ADEC Ethics Adhered to by ADEC* and policy 1.1.9 *Corporate Compliance*.

As a member of the ADEC Board of Directors I have read and understand the importance of these policies. By my signature below I agree to honor the agency's Code of Ethics.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

Originator: Board of Directors  
Responsible: Compliance Officer  
Latest Rev: 9/9/2020

Approved:

## **Ethical Code of Conduct**

### **ADEC Program/Service Leadership Team**

#### **Declaration**

It is the policy of ADEC for Program / Service Leadership Team members to observe a code of ethical behavior which represents the values of integrity, respect, responsibility, trust, honesty and citizenship.

These values and ethics are further identified in ADEC policy 1.2.3 *Summary of ADEC Ethics Adhered to by ADEC* and policy 1.1.9 *Corporate Compliance Program Policy*.

As a member of the ADEC, I have read and understand the importance of these policies. By my signature below I agree to honor the agency's Code of Ethics and Corporate Compliance Policy.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

Responsible: Compliance Officer  
Latest Rev: 9/9/2020

Approved:

## **CONFLICTS OF INTEREST**

It is the policy of ADEC that members of the Board of Directors and members of the Program / Service Leadership Team shall discourage professional, financial, personal, or legal conflicts of interest regarding their service on the Board of Directors and the members of the decision-making and program implementation team as defined in Policy 1.3.3 Administrative and Operational Coverage.

*Conflicts of interest are defined as situations in which an individual may receive personal or professional financial gain, material gain or business advantage from a decision made on behalf of another or from information gained through his/her responsibilities as an ADEC board member or a member of the Program / Service Leadership Team.*

If potential conflicts arise, the Chairperson may take appropriate action including disqualifying the board member from voting on specific issues or even excluding the member from membership on the Board. Should a conflict of interest involve the Chairperson, other members of the board have the responsibility to take appropriate action to safeguard the integrity and ethics of the organization.

If conflict of interest arises, from members of the Program / Service Leadership Team, the President / CEO may take the appropriate action including removing the employee from the decision-making role or may include termination of employment.

Responsible: Compliance Officer  
Latest Review Date: 01/15/2020

Approved:



**CONFLICTS OF INTEREST**  
**Board of Directors**

It is the policy of ADEC that members of the Board of Directors shall discourage professional, financial, personal, or legal conflicts of interest in regard to their service on the Board of Directors, defined in *Policy 1.2.4*.

**Declaration**

It is the policy of ADEC that members of the Board of Directors shall have no professional, financial, personal, or legal conflicts of interest in regard to their service on the Board of Directors.

***Conflicts of interest are defined as situations in which an individual may receive financial or material gain or business advantage from a decision made on behalf of another or from information gained through his/her responsibilities as an ADEC board member.***

Board members are to complete the questionnaire on the reverse side of this page. Should a conflict of interest arise after submitting this form board members have the obligation to contact the agency's Compliance Officer to identify the conflict.

In the event that conflicts or potential conflicts arise, the Chairperson may take appropriate action including disqualifying the board member from voting on specific issues or even excluding the member from membership on the Board.

As a member of the ADEC Board of Directors I have read and understand the importance of this policy.

By my signature below I agree to honor the agency's policy on Conflicts of Interest.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

***Please complete the questions on the reverse side of this page.***

Originator: Board of Directors  
Responsibility: Compliance Officer  
Latest Review Date: 12/29/20

Approved:



**CONFLICTS OF INTEREST  
Board of Directors**

Please answer the following questions which are required disclosures from the IRS 990 Income Tax return.

Print Name: \_\_\_\_\_

In the last five years have you:

Question	Yes	No
1. Had/have a family relationship with anyone else on the board or executive management of ADEC?		
2. Had/have a business relationship with any other person on the board or executive management of ADEC?		
3. Had/have a business relationship with other organization (other than as an officer, director or employee) directly or indirectly through ownership of more than 35% in another entity (individually or collectively with other persons on the ADEC board or executive management)?		
4. Had/have a business relationship with ADEC (other than as an officer, director or employee) indirectly through a family member?		
5. Served/serve as an officer, director, trustee, key employee partner or member of an entity (or a shareholder of a professional corporation) doing business with ADEC?		

*If you answered yes to any of the above someone from ADEC will be contacting you for further discussion.*

*If circumstances change in the next 12 months and the answer to any of the above questions becomes "Yes" please notify the ADEC Compliance Officer immediately.*

**CONFLICTS OF INTEREST**  
**ADEC Program/Service Leadership Team**

It is the policy of ADEC that members of the Program / Service Leadership Team shall discourage professional, financial, personal, or legal conflicts of interest regarding their decision-making role and service as defined in Policy 1.2.4.

**Declaration**

It is the policy of ADEC that staff members shall have no professional, financial, personal, or legal conflicts of interest regarding their employment with ADEC.

***Conflicts of interest are defined as situations in which an individual may receive financial or material gain or business advantage from a decision made on behalf of another or from information gained through his/her responsibilities as an ADEC staff member.***

Further detail is provided in ADEC Policy 1.2.3 Summary Statement of Ethics Adhered to by ADEC and ADEC Policy 1.1.9 Corporate Compliance Program Policy. Should a conflict of interest arise after submitting this form, you have the obligation to contact the Corporate Compliance Officer to identify and discuss the conflict. As a member of the ADEC staff, I have read and understand the importance of this policy.

By my signature below I agree to honor the agency's policy on Conflicts of Interest.

Conformance to these policies is a condition of employment at ADEC.

\_\_\_\_\_  
Printed Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature

***Please complete the questions on the reverse side of this page.***

Responsible: Compliance Officer  
Latest Review Date: 12/29/20  
Approved:

**CONFLICTS OF INTEREST  
ADEC Program/Service Leadership Team**

Please answer the following questions.

Print Name: \_\_\_\_\_

In the last five years have you:

Question	Yes	No
1. Had/have a family relationship with anyone else in ADEC?		
2. Had/have a business relationship with any other person in ADEC?		
3. Had/have a business relationship or involvement in any outside business activity or industry peer or similar organization for which you receive compensation, either directly or indirectly, or material or non-material gain?		
4. Had/have a business relationship with ADEC (other than as an employee) indirectly through a family member?		
5. Served/serve as an officer, director, trustee, key employee partner or consultant member of an entity (or industry peer or similar) outside of your employment at ADEC?		

***If you answered yes to any of the above someone from ADEC will be contacting, you for further discussion.***

***If circumstances change in the next 12 months and the answer to any of the above questions becomes “Yes” please notify the ADEC Compliance Officer immediately.***

**GUIDELINES FOR ADEC NOMINATING and GOVERNANCE COMMITTEE**

**POLICY:**

ADEC is supported by a Board of Directors that is a Governance Board meaning that nominees include influential community leaders as well expertise in their field whose dynamic efforts establish and support realistic yet visionary policies.

ADEC shall recruit board members representing the communities it serves. In addition, Committees may recruit members from the community, to be part of the decision-making governance body providing input to the Board of Directors.

Responsible: President / Chief Executive Officer  
Latest Reviewed: 07/02/2020

Approved:

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

**1. GOVERNANCE BOARD:**

ADEC is an impactful community organization whose board members are recognized throughout a broader community setting because:

- a. They are influential in the community because they are genuine community leaders with interests beyond themselves.
- b. They are committed to working toward developing the most far-reaching, efficient, and productive policies on behalf of the disabled.

**2. COMMUNITY REPRESENTATION:**

ADEC shall recruit board members representing the communities it serves.

**3. INCLUSIVE AND DIVERSITY REPRESENTATION:**

ADEC values the rich cultural, ethnic and sociological diversity of the communities it serves and will recruit board member's representative of this diversity including a broad range of vocational fields and persons served or their family members. The organization may use a tool, such as a Board of Directors Architectural Profile, included in Policy 1.2.5, to assist in evaluating current board member knowledge and skills and identifying needed skills for future board members.

**4. NOMINATION PROCESS:**

Board members or ADEC leadership may submit a name to the Nominating and Governance Committee for consideration to be a board member. The Nominating and Governance Committee will interview the nominee. If the committee wishes the nominee to be selected, then it will submit name to Board of Directors. The Board of Directors who will vote on acceptance of nominee. It is required that new board members have criminal state background check, employment and education verification, and 3 professional references completed before final board acceptance. These checks will be conducted by ADEC's Vice President of Human Resources, with results shared with Board Chair and ADEC's CEO/President.

- Board of Directors
- Committees – Policy 1.2.2
- Form Policy 1.2.5 Form

**5. FUTURE NOMINEES:**

The Board Chair maintains if list of individuals expressing an interest in serving on the board or board committees. When possible, these individuals may be nominated for board membership or to a committee and later nominated for board membership.

**6. NOMINATING:**

It is recommended, though may be augmented through emails and verbal nomination and consent at formal Board of Director meetings to use Policy 1.2.2 Nomination Form.

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

**ARCHITECTURAL PROFILE**

Signature \_\_\_\_\_

*Please checkmark "Yes" or "No," indicating which Skill / Knowledge you feel that you bring to the Board*

Skill	Yes	No		Skill	Yes	No		Skill	Yes	No
Access to Wealth				Fundraising				Organizational Leadership Development		
Accounting - Internal & External Reporting				Government				Public Relations & Public Speaking		
Administration / Management				Guardianship				Real Estate		
Advertising				Health Benefits and Options				Research / Evaluation		
Advocacy & Client Representation				Health Care Provider Regulations & Requirements				Retailing		
Budgeting / Financial Planning				HIPPA & HITECH Act				Safety		
Clinical / Medical				Human Resources				Social Media & Platforms		
Community Organizer				Influential in Community				Strategic Planning		
Computers / Technology				Information Management / Technology				Tax Structures / Laws		
Education				Insurance / Risk Management				Transportation		
Engineering				Local Media Contact				Web Design Skills		
Entrepreneurship				Legal - General				Workers Compensation / Labor Laws		
Facilities Maintenance / Operations				Manufacturing Operations				Youth & Adult Development Programs		
Finance / Investment				Marketing & Communication						

Policy 1.2.5 Form – Board Governance and Nominating Committee



**AUTHORIZATION TO RELEASE INFORMATION**

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Last Name	First Name	Middle Name	Maiden Name
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Address	City/State	Zip
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Sex	Race	City/State of Birth	Date of Birth
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Social Security Number	Drivers License Number and State
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The above information will only be seen by Vice President of Human Resources, who will conduct the check, or designated Human Resources representative. The results will only be shared with ADEC Board of Director Chairperson and ADEC’s CEO/President.

I authorize ADEC to conduct searches of my criminal history, Sex and Violent Offender Registry, and any other public record information searches deemed necessary by ADEC or its funding sources. My name will be checked with the Professional Licensing Agency (PLA), which is through the state of IN, and the List of Excluded Individuals/Entities (LEIE) through the U.S. Department of Health and Human Services. My social security number will be verified with the Social Security Administration. I authorize my employment to be verified with employers and three references will be completed. I understand that this information may be used in determining by acceptance as an ADEC Board member. This release will remain in effect throughout my term with ADEC, authorizing ADEC to conduct such additional searches throughout my Board term as deemed necessary.

Further, I release ADEC from liability in obtaining these searches.

Signature of Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Witness: \_\_\_\_\_ Date: \_\_\_\_\_

Responsible: President / Chief Executive Officer

Latest Reviewed: 07/02/2020

Approved:

**BOARD of DIRECTORS**  
**ORIENTATION, EDUCATION, and MATERIAL**

**POLICY:**

ADEC strives to have readily accessible information to the governing Board of Directors. New members to the Board of Directors of ADEC shall receive an orientation conducted by the President/CEO. Board members will also receive periodic education on topics pertinent to fulfilling their board responsibilities.

Monthly, information related to financial performance is distributed via secure email and on the board portal. In addition, all Board of Directors meeting material is posted on a secured password-protected board portal

Responsible: President / Chief Executive Officer

Latest Reviewed: 9/9/2020

Approved:



**PURPOSE:** The Board of Directors requires access to information on a regular basis to fulfill the obligations of their roles. To facilitate this, ADEC provides information orientation, education and materials as needed, regularly and online.

**PROCEDURE:**

**New Board Member Orientation:**

New members to the Board of Directors of ADEC shall receive an orientation conducted by the President/CEO which will include:

1. Philosophy of ADEC.
2. Board Policies and Procedures.
3. Overview of ADEC's Goals and Objectives.
4. An overview of ADEC's organizational structure.
5. An overview of the programs and services offered by ADEC.
6. Descriptions of specific duties required of Board members.
7. As many tours and site visits of ADEC programs as possible.
8. An explanation of the agency's monthly financial reporting format

**Board Member - Material:**

The establishment of the Board Portal was created within the ADEC website as a dedicated, password protected section designated to the Board Material. This eliminated the need for manual materials and improved the accessibility of Board Material.

The content in the Board of Directors Manual will be reviewed annually, with periodic updates as required. The individual components and comprehensive documents in the Board of Directors Manual will be updated as needed.

**[Board Resources - ADEC - adecinc.com](https://adecinc.com/board)**

[adecinc.com/board](https://adecinc.com/board) ▼

ADEC Inc., is a 501c (3) charitable organization that proudly advocates for and serves people with developmental and intellectual disabilities in Elkhart and St. Joseph Counties so they live lives full of choice and possibility.

<http://adecinc.com/board/>

## Welcome to the ADEC Board of Directors Resource Center

Board members: You must enter your username and password before you will be able to access the links below. Contact Mission Advancement at [info@adecinc.com](mailto:info@adecinc.com) or call 574-848-7451 if you have trouble logging in.

Welcome



Dashboard  
Profile  
Logout

### ADEC POLICIES



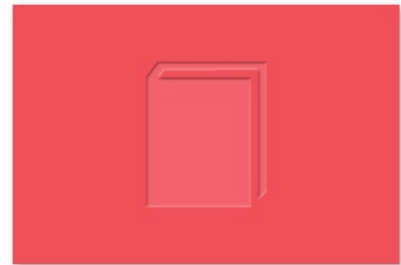
### MEETING MATERIALS

### MONTHLY REPORTS

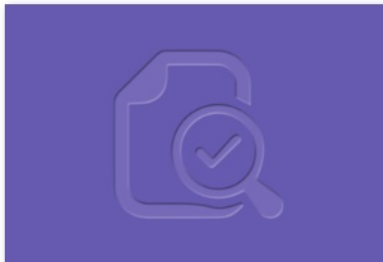
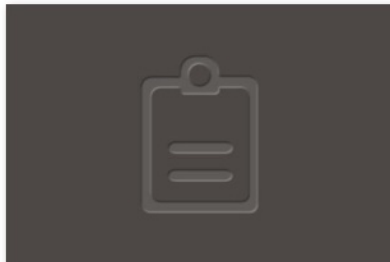


### BOARD ASSESSMENT

### BOARD MANUAL



### STRATEGIC PLAN



**Monthly Reports** – this section is set up by month, by year, and contains the monthly financial and program reports.

**Board Manual** – this section contains a comprehensive document(s) that reflect all orientation material and when they are updated as needed or if available:

- I. MISSION
- II. ADEC'S CORE SERVICES
  - a. DESCRIPTION OF SERVICES
  - b. LOCATION AND ADDRESSES
- III. LOCATIONS
- IV. PLAN FOR TOMORROW
  - a. STRATEGIC PLAN
  - b. CEO VISION FOR THE FUTURE
- V. ROLE OF THE BOARD AND BOARD MEMBERS
  - a. PURPOSE OF THE BOARD AND POSITION DESCRIPTION

- b. BOARD MEMBERS AND COMMITTEES
- c. MEETING SCHEDULES
- VI. BY-LAWS
- VII. KEY GOVERNANCE
  - a. AGENCY POLICIES
- VIII. OUTCOME MEASUREMENTS
  - a. AGENCY POLICY AND DEFINITIONS
  - b. LATEST REPORT
- IX. FINANCIAL OVERVIEW
  - a. MOST RECENT FISCAL YEAR CEO WHITEPAPER
  - b. MOST RECENT FISCAL YEAR BUDGET
  - c. LATEST FISCAL YEAR AUDITED FINANCIALS
  - d. LATEST I-990 FILING
- X. LEADERSHIP
  - a. POLICIES
  - b. ORGANIZATION STRUCTURE
- XI. RISK MANAGEMENT
  - a. ENTERPRISE RISK MANAGEMENT
  - b. RISK MANAGEMENT PLAN
- XII. OPERATIONAL OVERVIEW
  - a. OPERATIONAL STANDARD AND APPROACH
  - b. EXAMPLE OF MONTHLY REPORTS

**Reference Materials are updated either as needed or fiscal year depending upon content**

**Meeting Materials** – this section contains the information for each Board of Directors meeting.

**Strategic Plan** – Captures all strategic planning information, documentation and results

## **LEGAL DUTIES**

**POLICY:** It is the policy of the ADEC Board that board members should meet the standards of conduct and attention to his or her responsibilities to the organization referred to as the Duty of Compliance, the Duty of Care and the Duty of Loyalty.

Responsible: Compliance Officer  
Latest Review Date: 08/31/2020

Approved:

**Procedure:**

**Duty of Compliance**

Compliance with the organization’s central purposes must guide all decisions. The board must also ensure that the organization functions within the law, both the “law of the land” and its own bylaws and other policies.

**Duty of Care**

Board members must exercise due care in all dealings with the organization and its interest. This includes careful oversight of financial matters and reading of minutes, attention to issues that are of concern to the organization and raising questions whenever there is something that seems unclear or questionable.

**Duty of Loyalty**

Conflicts of interest, including the appearance of conflicts of interest, must be avoided. This includes personal conflicts of interest or conflicts with other organizations with which a board member is connected.

## **EXECUTIVE SUCCESSION PLAN POLICY**

### **POLICY:**

It is the policy of the ADEC Board of Directors to be prepared for an eventual planned or unplanned extended emergency or temporary absence emergency, change in the President / Chief Executive Officer (CEO) leadership of the organization.

It is also the policy of the Board of Directors to assess the current and future leadership needs of the organization to help insure the selection of a qualified and capable leader.

It is also the policy of the Board of Directors to develop a diverse pool of candidates and consider at least three finalist candidates for its President / CEO position.

Responsible: President / Chief Executive Officer  
Latest Revision: 3/30/2021

Approved:

**PURPOSE:**

The Board of Directors believe that due diligence in exercising its governance functions requires that it a President / CEO succession plan in be place. It is expected that this plan will ensure continuity in external relationships and in staff functioning.

1. To ensure the continuous coverage and smooth transition of internal leadership when the President / CEO position becomes vacant, either in an unplanned, extended emergency or temporary absence, as well as a planned permanent change.
2. To ensure that the organization's operations are not interrupted while the assessment, recruitment and selection process is being conducted.
3. To ensure systems and processes are maintained as designed to protect the integrity and financial assets of the organization.
4. To ensure the selection of a qualified and capable leader who is representative of the community, a good fit for the organization's mission, vision, values, goals and objectives, and who has the necessary skills for the organization.
5. To allow the Board of Directors time in which to fill the vacation position, if necessary.

**DEFINITIONS:**

A permanent absence is one in which it is firmly determined that the President / CEO will not be returning to the position. It may have been planned or an unplanned permanent absence.

An unplanned emergency or extended temporary absence is one in which the President / CEO is on leave per agency policies and is expected to return to his/her position. In the event of any accident, illness, or other condition due to which the President/CEO cannot provide administrative direction and coverage for the organization, for extended periods, defined as six or more weeks.

The Board Executive Committee is a sub-committee of the Board consisting of the Chairperson, Vice Chairperson, Secretary, Treasurer, Past Chairperson, and the Ex-Officio President/CEO. If needed, the Board may also call upon the Vice President of Finance/CFO and / or the Vice President of Human Resources to serve as an ex-officio member of the committee.

**PROCEDURE:**

**Permanent absence** - In the event the President / CEO of ADEC is no longer able to serve in this position, as defined as leaving the position permanently, the Executive Committee of the board of directors shall do the following:

- 1.) Within five business days appoint an Interim-CEO according to the following guidelines:
  - a. select one of the agency's vice presidents – VP Finance or VP Human Resources, or
  - b. contract with and external consultant experienced as an Interim-CEO, or
  - c. appoint a member of the board of directors.

- 2.) The CEO Executive Leadership Team, defined roles reporting to the President / CEO, may be requested by the Board of Directors to make a recommendation to the Board Chairperson as to who should assume responsibility of “Acting Chief Executive Officer” if the President/CEO is absent for an extended period, excess of six weeks, as noted above.
- 3.) Within fifteen business days the Executive Committee will convene for directing and executing succession plan. It shall be the responsibility of the Executive Committee to implement the following transition activities:
  - a. Communicate with key stakeholders regarding actions taken by the Executive Committee in naming an interim successor and implementing the succession plan.
    - i. It is recommended that the Executive Administrative Assistant maintain a list of key stakeholders who must be contacted. This can include state agency personnel, local community leaders including the United Way of Elkhart County, governmental agencies, and others.
  - b. Consider the need for consulting assistance (e.g. transition management or executive search consultant) based on the circumstances of the transition.
  - c. Review the organization’s current budget and organization and conduct a brief assessment of organizational strengths, weaknesses, opportunities and threats to identify priority issues that may need to be addressed during the transition process and to identify attributes and characteristics that are important to consider in the selection of the next CEO.
  - d. Establish a time frame and plan for the recruitment and selection process.
  - e. The Executive Committee may seek the assistance of remaining leadership team or other board members to carry out parts of this process.
  - f. The Executive Committee will present to the full board their recommended candidate for approval to fill the vacancy.

The Executive Committee may choose to use similar procedures in case of an executive transition that simultaneously involves the President / CEO and other key program leadership roles. In such instance, the Executive Committee may consider temporarily subcontracting some of the organizational functions from trained consultants or other organizations.

**Unplanned and/or extended temporary absence, emergency absence** - When a temporary change in the President / CEO role, such as an illness or leave of absence is required, as in the event of an unplanned, emergency, temporary absence of the President / CEO, the following is to occur:

- 1.) The Vice President of Human Resources is to immediately inform the Board President of the absence.
- 2.) As soon as feasible, the Board President should convene a meeting of the Board Executive Committee to affirm the procedures prescribed in this plan and/or make modifications as the Executive Committee deems appropriate.
  - a. An Acting CEO Appointee would be offered to Vice President, Finance, ADEC, Inc.
  - b. If the primary appointee for Acting CEO Appointee is new to his/her position and inexperienced with the organization, less than 3 years, or is unavailable to serve in this capacity, the Executive Committee may decide to select a back-up appointee to the Acting CEO Appointee. The Executive Committee may also consider the option of splitting executive duties among one or more



appointees.

- c. The Executive Committee will give immediate consideration, in consultation with the Acting CEO Appointee, to temporarily filling the management position left vacant by the Acting CEO Appointee. This is in recognition of the fact that for a term of more than three months, it may not be reasonable to expect the Acting CEO Appointee to carry the duties of both positions. The temporary position would focus on covering the priority areas in which the Acting CEO Appointee needs assistance.

Immediately, upon transferring the responsibilities to the Acting CEO Appointee, the Board President will notify staff members and the Board of Directors. As soon as possible after the Acting CEO Appointee has begun covering the unplanned absence, board members and the Acting CEO Appointee shall communicate the temporary leadership structure to key external supporters of the organization. This may include government contacts, major donors, businesses, and other organizations.

### **Additional Information – Elements of Job Descriptions**

- President / Chief Executive Officer
- Vice President, Finance/CFO

## **President / Chief Executive Officer**

### **JOB SUMMARY**

Under general direction of the Board of Directors, the President/CEO assures effective leadership of the total organization. The President/CEO is also responsible to the ADEC Membership, persons served, and to its many other constituents to assure the development of services, strategic planning, organizational change/development, and related plans and policies. The President/CEO represents the organization with other agencies, local/state/federal entities, consumer/advocacy organizations, professional associations, accrediting associations as well as the general public. The President/CEO is appointed by, and reports to, the Board of Directors. In general, the President/CEO assures through other staff he/she employs that due diligence is practiced throughout the organization in all supports and services, financial and administrative operations, and within other aspects of organizational life.

### **ESSENTIAL FUNCTIONS**

1. Provide support, advice and leadership to the Board of Directors.
  - a. Advise the Board on compliance with the bylaws and recommend changes to meet the organization's needs and regulatory requirements.
  - b. Work with the Board Chairperson to prepare Board meeting agendas, supporting documents and reports to assure effective conduct of Board meetings.
  - c. Assure that all business critical to the Board's oversight and responsibility is presented in a timely manner for consideration and action.
2. Ensure through demonstration that the long-range goals and daily actions of the corporation are consistent with the corporate values and mission.

**eExhibit E. Key Governance Policies**

- a. Gather, analyze, and interpret from internal and external sources appropriate data to measure key changes in the business climate, market performance, consumer satisfaction, future community needs, and organization performance.
  - b. Assure that the operational, capital, and long-range plans of ADEC, Inc, are fully coordinated.
  - c. Provide leadership to the team in the development of a long-range plan which is responsive to customer needs and reflective of the business climate based upon changes in the external and internal environment.
  - d. Monitor the accomplishment of agreed upon objectives at the corporate and departmental levels and where appropriate institute corrective action, including reallocating resources, reprioritizing, and recommending modifications to established plans.
  - e. Direct the development and maintenance of administrative policies for the corporation that define limits of actions within the programs and provide guidelines for decision making, ensuring compliance with Board and management directives, federal and state laws and regulations and accreditation requirements.
3. Manage all aspects of planning, program development and day-to-day operations of the corporation.
    - a. Develop and maintain a management structure, operating procedures, and staffing to meet the needs of the corporation.
    - b. Supervise personnel within the corporation; develop mutually agreed-upon standards of performance, appraise staff performance, provide direction to foster effective performance and develop a succession plan.
    - c. Identify needs for information or services in order to accomplish organizational standards and objectives, evaluate whether appropriate systems are in place to serve those needs.
    - d. Establish timely and effective communication with all staff to keep them aware of important corporate information, as well as to receive information and insights from them.
    - e. Create and maintain conditions that foster improvement in individual and group performance.
    - f. Establish the duties and salaries of other agents and officers of the corporation.
  4. Oversee the financial performance and fiscal affairs of the corporation.
    - a. Direct the development and implementation of annual operating and capital budgets, to ensure effective performance and achievement of long-range organization objectives.
    - b. Provide direction to ensure appropriate distribution of the corporation's resources to enable key services to be maintained and objectives to be achieved.
  5. Establish and monitor standards that are sensitive to customer and staff satisfaction.
    - a. Oversee the development, maintenance and on-going evaluation of quality assurance programs.
    - b. Monitor compliance with policies, procedures, and plan and institute corrective action, as needed, to ensure that job methods are within acceptable standards of quality or effectiveness.
    - c. Establish methods for identifying levels of customer and staff satisfaction and use these as a basis for planning and action.
  6. Promote and represent ADEC at the local, state and national level.
    - a. Speak to community leaders, organizations and groups.
    - b. Prepare and present requests for United Way, County and other sources of funds.
    - c. Remain active in community affairs and state/national trade associations.
  7. Maintain, follow and enforce cleaning and disease prevention policies as set forth by ADEC, under the guidance from the Centers for Disease Control and local health department, to mitigate the risk of spreading contagious diseases. PPE will be worn as required and social distancing followed as required.

8. Other duties as assigned. This job description can be changed at any time.

### JOB REQUIREMENTS

1. Must have a bachelor's degree in rehabilitation, business education, special education, or related field. A master's degree is preferred.
2. Must have at least 10 years of rehabilitation administration experience or 10-15 years in an executive position in either the private or non-profit sectors
3. Successful completion of all required training both upon hire and annually required per ADEC, CARF and other regulatory agencies.
4. Must be able to make sound and firm habilitation decisions relating to programming and individuals served wellbeing. Must show evidence of strength in decision making and leadership ability to organize and must possess excellent time management skills. Should have ability to identify relevant variables in critical issues. Must be innovative and a leader in areas of new development. Must possess administrative ability and exhibit management skills in areas of budget preparation and analysis, public relations, staff supervision, in-service training, program planning and evaluation, report writing, and professional leadership.
5. Must have demonstrated capabilities in good interpersonal relationships and the ability to perform in a team setting; and demonstrated and verified personal integrity and ability to retain confidentiality of individuals served and agency records and information.
6. Decisive; strong reasoning and analyzing ability; strong leadership; ability to work under pressure; enthusiastic
- A. All ADEC employees may need to wear PPE, such as cloth and/or surgical masks, in order to follow the Centers for Disease Control and local health department guidelines to prevent the spread of contagious diseases.

## **Vice President Finance / Chief Financial Officer**

### JOB SUMMARY

The Vice President Chief Financial Officer is responsible for planning, coordinating, and managing the financial services and other functions assigned to the Division of Financial Services including financial controllership services, information technology services and operational oversight for The Shop, a non-programming non-Medicaid manufacturing service. The Vice President CFO serves as one of two direct reporting officers of the agency, along with VP Human Resources. The VP CFO is responsible for completion on a timely and accurate basis for all financial reports, budgets, analyses, and other related assignments. The VP CFO will also carry through to completion specific work projects and general assignments made by the President/CEO relative to agency operations and oversee operations of The Shop.

### ESSENTIAL FUNCTIONS

1. In general, serves as the Chief Financial Officer for the agency in implementing and maintaining:
  - i. a full range of financial management services including accounting, reporting, planning, banking transactions, purchase agreements, claim vouchers, other management reports and contractual obligations; and

- ii. all required information technology services and controls to ensure the ongoing field and infrastructure operations.
2. Will assist other staff to strategically design cost strategies and reimbursement plans and will oversee the development of reimbursement rates and grant contracts, which cover all appropriate costs.
3. Oversee operations of The Shop, former ADEC Industries manufacturing facility, ensuring compliance with all regulations, overseeing expansion initiatives, ensuring quality, and financial sustainability.
4. Will provide leadership in the development and maintenance of an effective management information system to meet all management needs and external reporting requirements.
5. Will develop, with appropriate staff, all budgets in a manner that functional program costs and related income are accurately identified.
6. Will assist in the presentation of financial information, budget proposals, and other business analyses, at Board meetings, funding agency hearings, staff meetings, and other gatherings as assigned to communicate the agency's financial situation.
7. Will provide oversight to all external financial audits.
8. Will implement internal controls, internal audits, and reviews to ensure completion of assigned objectives, adherence to laws, compliance with internal policies, standards, and regulatory directives.
9. Will provide direct supervision to supervisory staff within the controllership of Financial Services and Information Technology services and The Shop, ensuring all objectives of the division are accomplished in an effective and timely manner.
10. Will participate with other staff in agency-wide planning and monitoring in order to provide centralized direction in control over all operations, and to prevent deviations from standards and policies.
11. Will assist in the agency's overall efforts directed toward cost savings and efficiencies through various centralized administrative/business related services.
12. Will continue to develop and implement needed changes to financial systems which meet or exceed the requirements of agency operations and regulatory bodies.
13. Will ensure that the agency's philosophy and plan for staff supervision and training is incorporated fully across the organization.
14. Develop performance measurements for respective departments reporting to the VP CFO. Measure results throughout the year, reporting on progress to management team in monthly management team reports. The outcome measurements will include goal of reducing agency turnover rate. Results will be evaluated during annual performance review.
15. Develop budgets for respective departments. Measure results throughout the year, reporting on progress to management team in monthly management team reports. Results will be evaluated during the annual performance review.
16. Maintain, follow and enforce cleaning and disease prevention policies as set forth by ADEC, under the guidance from the Center for Disease Control and local Health Department, to mitigate the risk of spreading contagious diseases. PPE will be worn as required and social distancing followed as required.
17. Will assume other responsibilities as assigned by the President/CEO. This job description is subject to change at any time.

## JOB REQUIREMENTS

1. B.S. required, Master's degree in a field related to financial administration is preferred. Must have specialized training or certification such as (C.P.A, C.M.A).

2. A minimum of ten years professional experience is required, including at least two years in a supervisory or administrative role, being responsible for financial and administrative activities, preferably in a human service organization. Experience in the presentation of financial information before various groups is required. Financial management experience with not-for-profit accounting, reimbursement, and grants management related to the field of rehabilitation and/or health care is highly desirable.
3. Knowledge of administrative services, financial and business affairs, supervisory relationships, general management techniques and philosophies, effective communication through verbal and written forms.
4. Ability to understand a variety of technical subjects relating to financial services; the ability to prepare long-range planning documents and budgets; ability to initiate changes in recommendations and proposals made; ability to provide leadership in the ongoing financial management of agency resources.
5. Must show evidence of strength in decision making and leadership, ability to organize, and must possess excellent time management skills. Should have ability to identify relevant variables in critical issues. Must be innovative and a leader in areas of new development. Must possess administrative ability and exhibit management skills in areas of budget preparation and analysis, public relations, staff supervision, in-service training, program planning and evaluation, report writing, and professional leadership.
6. Must have demonstrated capabilities in good interpersonal relationships and the ability to perform in a team setting; and demonstrated and verified personal integrity and ability to retain confidentiality of client and agency records and information.
7. Decisive; strong leadership; ability to work under pressure; enthusiastic.
8. Successful completion of all required training both upon hire and annually required per ADEC, CARF and other regulatory agencies. This includes agency training and client specific training.
9. All ADEC employees may need to wear PPE, such as cloth and/or surgical masks, in order to follow the Center for Disease Control and local Health Department guidelines to prevent the spread of contagious diseases.



## **ADMINISTRATIVE AND OPERATIONAL RESPONSIBILITY**

### **POLICY:**

It is the policy of the ADEC, Inc. with the leadership and direction of the President / Chief Executive Officer, to assess the current and future leadership needs of the organization to help insure the selection of a qualified and capable leadership of the programs.

The President/CEO of ADEC, Inc. shall ensure that plans are in place for the overall administrative coverage and operational performance of the organization in the event of his/her absence, short or long term, for any reasons, as well as a defined leadership organization.

Several direct report to the President / CEO represents the Executive Leadership Team and an extension to the Program / Service Leadership Team. This organizational structure is responsible for the overall execution of service deliveries, compliance with all regulatory and policies, implementation of all human resource requirements and at a minimum, the essential functions identified in policy.

Responsible: President / Chief Executive Officer  
Latest Revised: 3/30/2021

Approved:

**PURPOSE:**

The President / CEO is the designated Executive Officer providing administrative coverage and operational direction for the organization on a regular, ongoing basis. The President/CEO shall assure that appropriate staff and others know how to contact him/her at all hours during the week, and as needed on weekends, holidays, through his/her ADEC office phone, ADEC mobile devices including cell phone and laptop, voice mail, and ADEC email, which is readily accessible through mobile devices.

**PROCEDURE:**

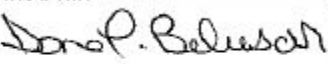

1. When the President / CEO is out of the immediate area for business trips and/or personal reasons, the following coverage applies:
  - a. The Vice President Finance, Chief Financial Officer (CFO), will assume the immediate, short term administrative responsibility for the organization.
  - b. In the absence of the Vice President Finance/CFO, another member of the Leadership Team will be assigned this responsibility.
    - i. Vice President Human Resources
    - ii. Vice President Chief Program Officer
2. In the event of any accident, illness, or other condition due to which the President / CEO cannot provide administrative direction and coverage for the organization, for extended periods, defined as six or more weeks, the *ADEC Policy 1.2.9 Succession Plan Policy*, goes into effect.
3. Appropriate staff will always be informed of such designation of responsibilities to assure smooth operation as well as ongoing administrative coverage of the organization.
4. All members of the Executive Leadership Team and the Program / Service Leadership Team are required to have an assigned back-up or coverage in case of an emergency, such as those identified in the Emergency Preparedness Plan, Policy 10.1.
5. In addition, ADEC encourages the ‘best practice’ of having an “out-of-office” notification on emails, as appropriate.
6. Each member of the Program / Service Leadership team is required annually to assert and sign: Conflict of Interest, Confidentiality and Code of Conduct, as a condition of employment in these roles.

**DEFINITIONS:**

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



**ADEC Agency Officer Roles:** ADEC has recognized identified two officer roles of the agency. The primary, and main over-riding, official of the agency is the President and Chief Executive Officer. A secondary officer role, substantiated by the Certificate of Incumbency, is the Vice President Finance /Chief Financial Officer.

NAME of OFFICER	TITLE	Date of Appointment	SIGNATURE
Donna L. Belusar	President / Chief Executive Officer	November 1, 2013	
Timothy J. Donlin	Vice President Finance / Chief Financial Officer	November 23, 2020	

In addition, to ensure continuity of coverage and internal delegation and signatures, a third officer role is recognized as Vice President Human Resources.

### **ADEC Organizational Leadership**

The organization leadership of ADEC is defined into two primary leadership tiers and an additional tertiary tier with specific identified roles that have responsibility that impact across programs and locations.

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

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.

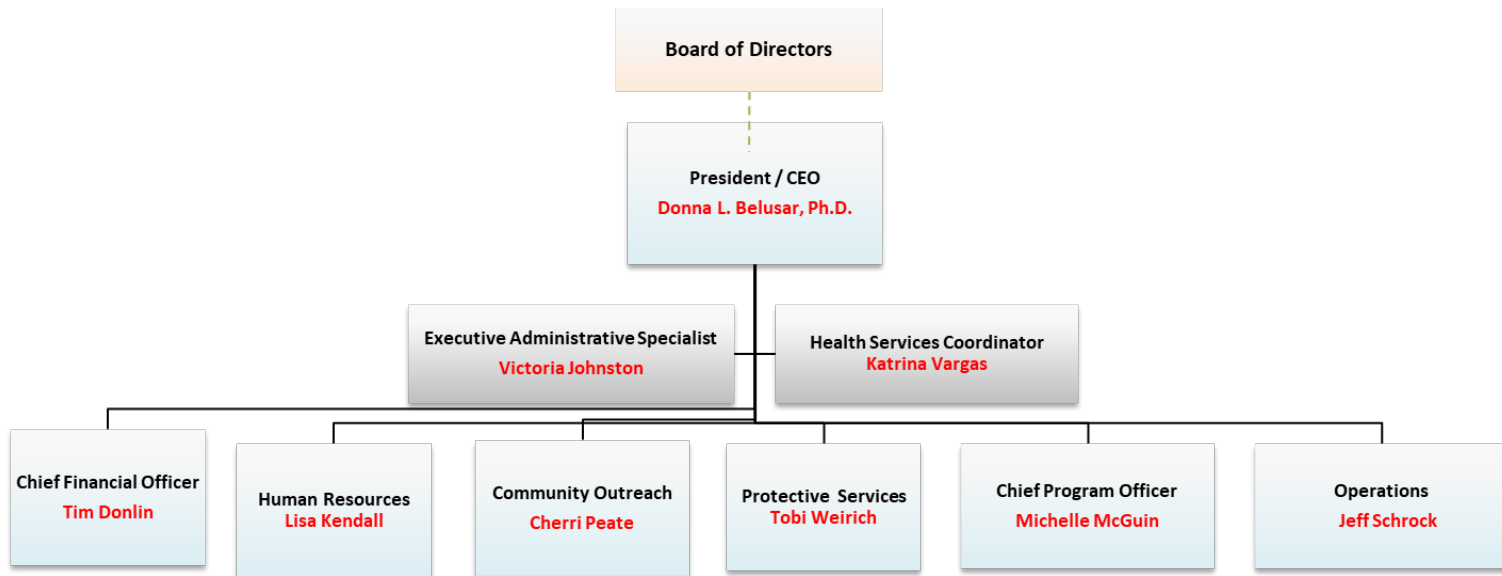
The Executive Leadership team is identified and shared publicly through the [www.adecinc.com](http://www.adecinc.com) website.

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.

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



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.
- XVIII. Advocate for ADEC and be representative at key agency events; and
- XIV. Adhere to the highest of ethnics and behavior as a role model for ADEC's mission of choice and possibility for those we serve.

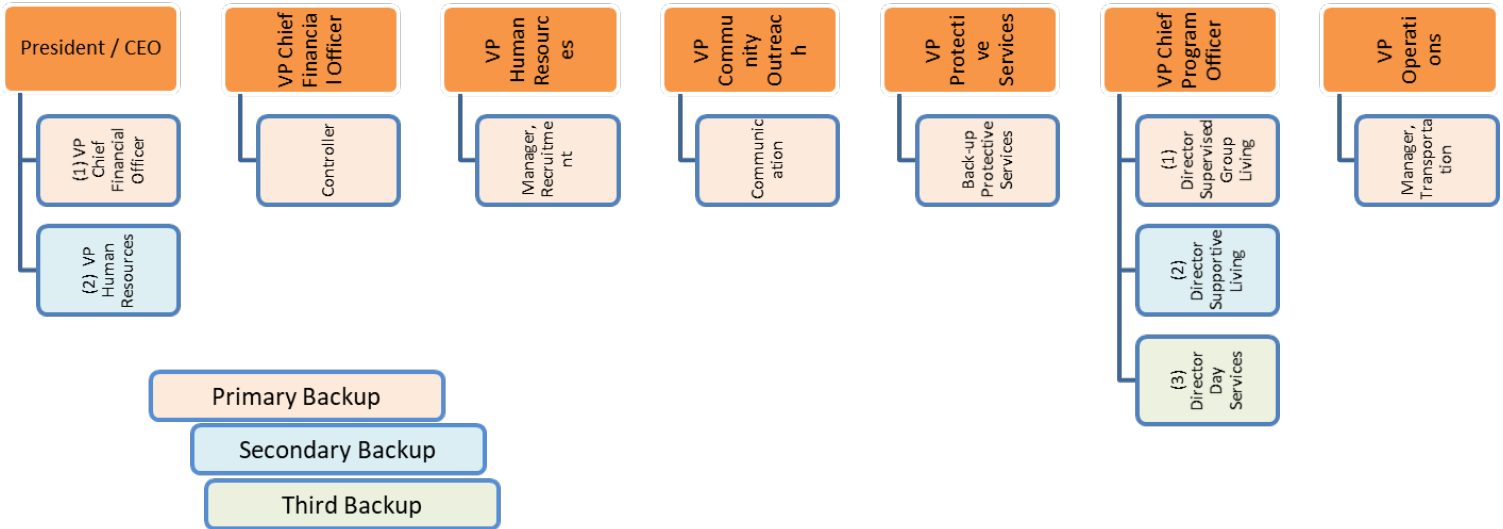
### **Tier 3 – Functional Agency – key positions**

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** – Executive Administrative Assistance, Victoria Finlay
- **Health Services Coordinator** – RN, Katrina Vargas

### **ADEC Identified Back-up and Coverage**

ADEC has in place a comprehensive Emergency Preparedness Plan, Policy 10.1. Every attempt is made to have coverage and backup to provide the person-centered services and programs as well as administrative and infrastructure activities.





**ADEC Board of Directors  
and  
ADEC Committee Members**

**Confidentiality Agreement**

It is the policy of ADEC to ensure the confidentiality of all client and staff/personnel records maintained by the agency. Personally identifiable information is not shared in any form, verbal, written or electronic with persons who have no need to know. ADEC policies 5.1.3 Confidentiality, 9.1 Policies for the Protection of the Privacy of Protected Health Information and 9.2 Policies for the Security of Electronic Protected Health Information describe in further detail the agency practices regarding the safeguard and disclosure of protected information. Questions should be directed to ADEC's HIPAA Privacy Officer, Evan Hoover.

The work of the ADEC Board of Directors and its committees may require board and committee members to have access to client or staff protected health information (PHI) or other confidential information. Identified committees include:

- Finance Committee
- Human Rights Committee
- Guardianship Committee

As a member of the ADEC Board of Directors or one of its committees I understand the importance of keeping client and or staff information made known to me confidential. By my signature below I agree to honor ADEC's confidentiality policies and practices.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

*Effective November 15, 2019, this form was moved from the H: Drive to the Policy Manual*

Responsible: Chief Privacy Officer

Latest Rev: 2/4/2020

Approved:

## **CONFIDENTIALITY**

**POLICY:** ADEC shall ensure confidentiality of all individual served data maintained by the agency.

Responsible: Chief Privacy Officer

Latest Rev: 8/10/2020

Approved:

**PURPOSE:** To ensure compliance with federal, state and agency standards regarding case records of persons served Private Health Information, PHI.

**PROCEDURE:**

ADEC will disclose an individual served's PHI to the individual served when such disclosure is requested, in writing, by the individual served so long as the request meets the requirements outlined in ADEC Policy #9.1 Policies for Protection of the Privacy and Security of Protected Health Information.

ADEC permits an emancipated individual served, legal guardian or individual served representative to inspect and review any case records pertaining to the individual served which are maintained and collected by this agency. For any individual who is 18 years or older and has not been adjudicated incapacitated, parental rights are superseded by the individual's rights. A parent of a minor child receiving ADEC services is considered the individual served representative unless parental rights have been removed by the courts. All rights listed within this section will be processed without unnecessary delay and no more than sixty (60) calendar days after a request has been made. The right to inspect and review case records include:

1. The right to a response from ADEC to reasonable requests for explanations and interpretations of the records.
2. The right to request that ADEC provide copies of records containing the information if failure to provide those copies would effectively prevent the emancipated individual served, individual served representative or legal guardian from exercising the right to inspect and review the records; and
3. The right to have a representative inspect and review the records.

ADEC will not release copies, to another source, materials that have been gathered from other agencies or other institutions. A list of these pieces of information will be supplied to the individual or their representative upon request.

ADEC will presume that the emancipated individual served, individual served representative or legal guardian has the authority to inspect and review records relating to the individual served, unless the agency has been advised that the emancipated individual served, individual served representative or legal guardian does not have the authority under applicable state law governing such matters as guardianship, separation, divorce, or incapacity or court orders specifically revoking those rights.

ADEC maintains a record of persons obtaining access to case records collected, maintained, or used including name of the person, the date access was given, and the purpose for which the person is authorized to use the records. For more information, please refer to ADEC Policy 6.1.1 Case Record System.

ADEC will provide an emancipated individual served, individual served representative or legal guardian on request, a list of the types and locations of case records collected, maintained, or used by the agency. In all

cases ADEC will follow the Family Educational Rights and Privacy Act and the Health Insurance Portability and Accountability Act (HIPAA).

ADEC may charge a fee for copies of records which are made for emancipated individual served, individual served representative or legal guardian if the fee does not effectively prevent the individual from exercising the right to inspect and review those records. ADEC will not charge a fee to search for or to retrieve information. For more information, please refer to ADEC *Policy 6.1.1 Case Record System*.

An emancipated individual served, individual served representative, or legal guardian who believes that information in case records collected, maintained, or used is inaccurate or misleading or violates the privacy or other rights of the individual served may request that ADEC amend the information. For more information, please refer to Policy # 9.1. *Policy for the Protection of the Privacy of Protected Health Information*.

Any hearing conducted because of ADEC's refusal to amend information in an individual served's record at the request of the individual served, individual served representative or legal guardian must be conducted per the procedures outlined in the regulations implementing the Family Educational Rights and Privacy Act of 1974 (ESEA Title VI, Part 99) and the Health Insurance Portability and Accountability Act (HIPAA). For more information, please refer to *ADEC Policy 6.1.1 Case Record System*.

Emancipated individual served, individual served representative or legal guardian's consent must be obtained before personally identifiable information is disclosed to anyone other than officials of the agency collecting or using the information or before the information is used for any purpose other than meeting a requirement of federal or state regulations.

ADEC may release information from case records to another source with proper written consent from the emancipated individual served, individual served representative or legal guardian. ADEC will release information from the individual served case record to law enforcement only when proper written signed consent, a court order or a subpoena is presented.

ADEC will protect the confidentiality of personally identifiable information at collection, storage, disclosure, and destruction stages. All persons collecting or using personally identifiable information must receive training and instruction regarding policies and procedures related to the confidentiality of information. See *Policy 6.1.1 Case Record System* for further details regarding the individual served record system.

ADEC will document all required communications, forms, and disclosures in writing in accordance with the provisions of the PHI Privacy and Security Compliance Plan, and maintain such written documentation, in the individual served record.

ADEC will retain all documentation required by its Individual served Health Information Privacy and Security Compliance Program for seven (7) years from the date of its creation or the date when it last was in effect, whichever is later.

ADEC will protect the confidentiality of electronic reports and databases of personally identifiable information on persons served. The Information Security Officer will be responsible to ensure that information transmitted electronically is only accessible by appropriate persons.



ADEC will permit all emancipated individual served, individual served representatives or legal guardians to request, reasonable accommodation of access to communications of PHI from ADEC by alternative means or at alternative ADEC locations.

ADEC may use and orally disclose limited PHI without the written authorization of the individual served to maintain a facility directory of individual served who are present at the facility. For more information, please refer to Policy # 9.1. *Policy for the Protection of the Privacy of Protected Health Information.*

ADEC may use and disclose limited PHI, without a written authorization to a family member or other relative, a close personal friend, or any other person identified by the individual served, to the extent the PHI is directly relevant to the recipient's involvement with the individual served's care or payment related to the Individual served's treatment, and to notify the person the individual served's location, general condition, or death, if the individual served has been informed in advance of the use or disclosure and has the opportunity to agree to, prohibit, or request restrictions on the use or disclosure; *Provided that Mental Health Records, Drug and Alcohol Treatment Records and Communicable Disease Records, including HIV/AIDS Records, are not covered by, and may not be disclosed, pursuant to this policy.*

ADEC will not disclose the medical condition of any individual receiving services or employees, without consent except to treat the person, or to protect others from transmission of a disease. For more information, please refer to ADEC Policy # 9.1. *Policy for the Protection of the Privacy of Protected Health Information.*

An emancipated individual served, individual served representative or legal guardian may refuse to authorize the release of certain PHI but with the knowledge that such an action may affect the ability of ADEC to provide services.

Working files maintained by staff should contain the minimum necessary Protected Health Information. These files should be kept secure always and when it is necessary to remove them from an ADEC facility staff will keep them on their person or secured in a locked vehicle or locked trunk.



## **ADEC Program Service Leadership Team**

### **Confidentiality Agreement**

It is the policy of ADEC to ensure the confidentiality of all individuals served and staff/personnel records maintained by the agency. Personally, identifiable information is not shared in any form, verbal, written or electronic with persons who have no need to know. ADEC policies 5.1.3 Confidentiality, 9.1 Policies for the Protection of the Privacy of Protected Health Information and 9.2 Policies for the Security of Electronic Protected Health Information describe in further detail the agency practices regarding the safeguard and disclosure of protected information. Questions should be directed to ADEC's HIPAA Privacy Officer, Evan Hoover.

The work of the ADEC Program Service Leadership Team may require staff to have access to individuals served or staff protected health information (PHI) or other confidential information. Information is property of ADEC as service provider. Violation and misuse of information for personal use and benefit may lead to termination of employment.

As a member of the ADEC Program Service Leadership Team I understand the importance of keeping individuals served and or staff information made known to me confidential. By my signature below I agree to honor ADEC's confidentiality policies and practices.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Responsible: Chief Privacy Officer

Latest Rev: 1/11/2021

Approved:



**ADEC Board of Directors  
and  
ADEC Committee Members**

**Confidentiality Agreement**

It is the policy of ADEC to ensure the confidentiality of all client and staff/personnel records maintained by the agency. Personally identifiable information is not shared in any form, verbal, written or electronic with persons who have no need to know. ADEC policies 5.1.3 Confidentiality, 9.1 Policies for the Protection of the Privacy of Protected Health Information and 9.2 Policies for the Security of Electronic Protected Health Information describe in further detail the agency practices regarding the safeguard and disclosure of protected information. Questions should be directed to ADEC's HIPAA Privacy Officer, Evan Hoover.

The work of the ADEC Board of Directors and its committees may require board and committee members to have access to client or staff protected health information (PHI) or other confidential information. Identified committees include:

- Finance Committee
- Human Rights Committee
- Guardianship Committee

As a member of the ADEC Board of Directors or one of its committees I understand the importance of keeping client and or staff information made known to me confidential. By my signature below I agree to honor ADEC's confidentiality policies and practices.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

*Effective November 15, 2019, this form was moved from the H: Drive to the Policy Manual*

Responsible: Chief Privacy Officer

Latest Rev: 2/4/2020

Approved:

## EMERGENCY PREPAREDNESS PLAN

### POLICY:

Emergency situations shall be dealt with in a responsible manner by all ADEC personnel involved. The following procedures are guidelines for actions to be taken in the event of an emergency in a timely, collaborative, organized and effective manner.

However, in a time of emergency, the ADEC personnel on duty may use their best judgment in determining the most appropriate actions to be taken in the given situation. It is recognized that altered standard of care during an emergency may occur.

In all emergency situations, the ADEC personnel on duty must first act to assure the health, well-being and safety of individuals served and other employees, utilizing appropriate emergency services, then at the first opportunity, notify supervisory ADEC personnel.

All emergency situations should be documented for individuals served with appropriate record keeping and reporting. This documentation should include completion of Incident Report forms as outlined in *Policy 5.5.1 Incident Report* and any other supporting documentation for individuals served files as appropriate. Due to the emergency, documentation may be completed at a later and reasonable time and not at the time or during the of the emergency.

The Emergency Preparedness Plan makes direct references to other ADEC, Inc. policies and manuals. A list of these is summarized at the end of the document.

Persons served as well as responsible parties may be offered a hard copy of this plan at the time of their annual person-center support planning and team sessions, or upon request.

*Policies specific to the Coronavirus disease 2019 (COVID-19) is a virus (more specifically, a coronavirus) that subsequently has spread across the world as a global pandemic, are uniquely identified in Policy Section 12 – 0 Coronavirus Pandemic.*

Responsible: President / CEO

Latest Revision: 5/13/2021

Approved:

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**PURPOSE:**

The purpose of this policy is to provide procedures that may be used in the event of an emergency to assure the health, well-being and safety of all individuals served and ADEC, Inc. employees in the event of a pandemic, extensive man-made or natural disaster or emergency, that is beyond a small singular event such as an inclement weather event.

Nearly all individuals served by ADEC, Inc. are under federal and state funded programs that provide Medicaid reimbursed services under the definition of Centers for Medicare and Medicaid Services (CMS). On September 8, 2016, the Federal Register posted the final rule *Emergency Preparedness Requirements for Medicare and Medicaid Participating Providers and Suppliers*. The regulation went into effect on November 16, 2016. Health care providers and suppliers affected by this rule must comply and implement all regulations one year after the effective date, on November 15, 2017. ADEC’s Supervised Group Living Program qualifies as an Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IDD) provider that is required to meet these guidelines.

This policy is intended to meet the Indiana State Department of Health, Code of Federal Regulations (CFR) Citation 483.475, as made available November 2016, to support of Residential Program Sites – Supervised Group Living. The contents of this policy or direct reference to material in other policies, procedures and manuals located at the residential locations and on the L: Drive, which is a secured information technology virtual storage, are intended to meet this defined requirement.

It is ADEC’s intent to apply any or all the procedures, as applicable, to other program areas primarily funded through waiver, facility-based day services, residential supportive living and administration.

By using an ongoing process of training, practice, and evaluation, ADEC, Inc. strives to have a greater assurance that the ADEC personnel may know what is expected of them in an emergency and act accordingly.

Some of the key items taken into consideration in the development of the ADEC emergency preparedness training and exercise program for the designated facilities, specifically focusing on residential sites to be compliant with 483.475:

- Make “disaster preparedness” a part of new employee orientation and ensure that all employees receive the training – in new ADEC personnel orientation and annually - with content such as inclement weather, tornado, earthquakes, bomb threat, and active shooter.

- Provide refresher training on disaster preparedness for all ADEC personnel on a routine annual basis, recognizing that some will require more frequent training because of their specific roles and responsibilities.
- Exercise all portions of ADEC’s Emergency Preparedness Plan, in accordance with the training and exercise schedule described in the plan.
- Use a variety of training and exercise approaches, including discussion-based tabletop exercises and facility-based drills.
- Conduct exercises that may include representatives from the fire department, local law enforcement, the local health department, the emergency management office, the Red Cross and any utility provider.
- Exercise all vendor and mutual aid agreements identified in the Emergency Preparedness Plan to be sure of their continued viability, particularly evacuation transportation agreements, receiving facility agreements, and energy/generator agreements.
- Evaluate all training and exercise activities and use the information to make improvements to the Emergency Preparedness Plan and training and exercise schedule – completed annually.
- Develop relationships with local emergency management office and health departments and participate in training and exercise opportunities they might sponsor.

## SCOPE:

ADEC is committed to try all reasonable efforts to furnish services in a manner that protects the health, well-being, and safety of individuals served and employees. Actions will be taken in the best interest of individuals served as soon as possible during an emergency.

This scope of this procedure is to provide guidance, information and tools, by utilizing an “all-hazards” approach for disruptive events such as, but not limited to:

- Pandemic flu and virus
- Tornados
- Fires
- Winter / Storm Inclement Weather
- Power Outages
- Chemical spills
- Nuclear or biological terrorist attack
- Septic and trash disposal
- Shelter in place

In the event of a declared emergency areas(s), the appropriate executive vice president and/or directors of program areas, should contact their state survey agency regarding their status and future. There are times when a public health emergency may result in consequences beyond ADEC, Inc.’s control.

## EMERGENCY PREPAREDNESS

### Four Core Elements

There are **FOUR CORE** elements of the Emergency Preparedness Program.



These elements are to be reviewed and updated annually.

#### I. Risk Assessment and Planning

ADEC, Inc. developed an Emergency Preparedness Plan using all-hazards approach, including planning and identifying in advance essential functions and who is responsible in the event of a crisis. It is based on a risk assessment, with intentional focus on residential owned sites and 24x7 individual(s) rented sites in the Supervised Group Living and Supportive Living Programs. The risk assessment uses an “all-hazards” approach, focusing on capacities and capabilities. Procedures are identified to address disruptive events, plans for evacuating or sheltering in place, or providing continuity of services in other ADEC locations. Other elements of this include succession planning, administrative and operational coverage, location identification and capabilities, vehicles and personnel re-assignment. The emergency plan is reviewed annually.

#### II. Policies and Procedures

ADEC, Inc. developed based on the plan, such as medical documentation, evacuation or shelter and place. There are developed and implemented policies and procedures based on the emergency plan and risk assessment using the Enterprise Risk Management approach (Policy 3.1.9) and defined Safety Manual(s), Policy 11.0. These policies and procedures include addressing subsistence needs, evacuation plans, procedures for sheltering in place, tracking individuals served and employees during an emergency.

#### III. Communication Plan

ADEC, Inc. identified alternate means of communication, provide information to local authorities sharing medical information, and provide occupancy information and the ability to aid other facilities in the community. ADEC, Inc. communication plan includes key names and contact information for ADEC personnel, other hospitals, emergency shelters, and appropriate state officials. In addition, ADEC, Inc. is addressing primary and alternate means of communicating with ADEC personnel identified as well as how to contact local emergency plan officials and agencies. In addition, addressing a method to share medical records and patient information including general condition and location.

#### IV. Training and Testing Program

ADEC, Inc. has a requirement and utilizes Relias, a training learning software system, to assign, monitor, and track training requirements across all employees and programs. ADEC personnel is trained and tested through the use of drills, hands-on, and competency-based approaches. It is recognized that given the community based inclusive residential settings as well as day service facilities, a community-based full-scale exercise may not be feasible. Therefore, at ADEC facilities, there are regularly scheduled and documented emergency drills including evacuation of facilities to meet the individual, facility-based exercise.

*Table-Top exercises may be performed lead by a facilitator from either Red Cross or County Emergency Management. Table-top Exercise (TTX): A table-top exercise is a group discussion led by a facilitator,*



*using narrated, clinically relevant emergency scenario, and a set of problem statements, directed messages, or prepared questions designed to challenge an emergency plan. It involves key personnel discussing simulated scenarios, including computer-simulated exercises, in an informal setting. TTXs can be used to assess plans, policies, and procedures.*

## Procedure

The Emergency Preparedness Plan, EPP, identifies overall agency-wide procedures that cross programs where individuals served have facility based and/or residential services, especially 24x7 ADEC, Inc. owned and/or support sites.

Throughout document, procedures may be referred to specific ICF/IDD Supervised Group Living procedures that are established to specifically address Residential Site needs and are found in the supervised group living residential locations and on the L: Drive Residential Manual.

## Emergency Preparedness Plan Implementation Steps

The determination to evoke the EPP is by the decision and direction of the President / CEO. An event of such severity, or extreme consequences, such as the disruptive events identified, and /or local and state officials declare a state of emergency may lead to having the EPP evoke.

If warranted, through calls and contact with the executive leadership team, primarily the appropriate executive vice president of operations, services, programming and the President and CEO may:

1. Immediately call an emergency meeting with all members of the executive leadership team meeting, if possible, at the Bristol Campus,
2. Crisis management actions including the EPP as well as crisis management statements will be implemented,
3. The EPP steps may be implemented in their entirety or only those as needed, and / or
4. President/CEO will notify the Executive Committee, Board of Directors, via email or phone.

Part A. Emergency Preparedness Plan

Part B. All-Hazards Approach – Disruptive Events

Part C. Emergency Preparedness Plan Checklist

## **Part A. Emergency Preparedness Plan**

### I. Succession Planning

*Policy 1.2.9 Succession Plan Policy* - It is the policy of the ADEC, Inc. Board of Directors to be prepared for an unplanned emergency change in the President / Chief Executive Officer (CEO) leadership of the organization. It is also the policy of the board of directors to assess the current and future leadership needs of the organization to help insure the selection of a qualified and capable leader.

Operational coverage for executive leadership and program / service leadership is defined in *Policy 1.3.3* and addressed under Continuity of Operations.

## II. Continuity of Operations

Continuity of Operations is a process of identifying, creating, testing, implementing systems of prevention and recovery to deal with potential threats to ADEC, Inc's ability to provide services and maintain the health, well-being, and safety of individuals served and employees.

ADEC acknowledges when CMS approves Medicaid Section 1135 Waivers (When the President of the United States declares a disaster or emergency under the Stafford Act or National Emergencies Act and the HHS Secretary declares a public health emergency under Section 319 of the Public Health Service Act), and under 42 CFR 483.475 (b)(7) and understands that relocation at the time of a disaster may alter standards of care. The facility will more-likely-than-not form a deliberate partnership with like agencies as meeting the need of those within our care is top priority.

In order to request the waiver, the appropriate Executive Vice President will contact the Indiana State Department of Health by phone at 1-800-433-0746.

### *Policy 1.3.3 Administrative and Operational Coverage*

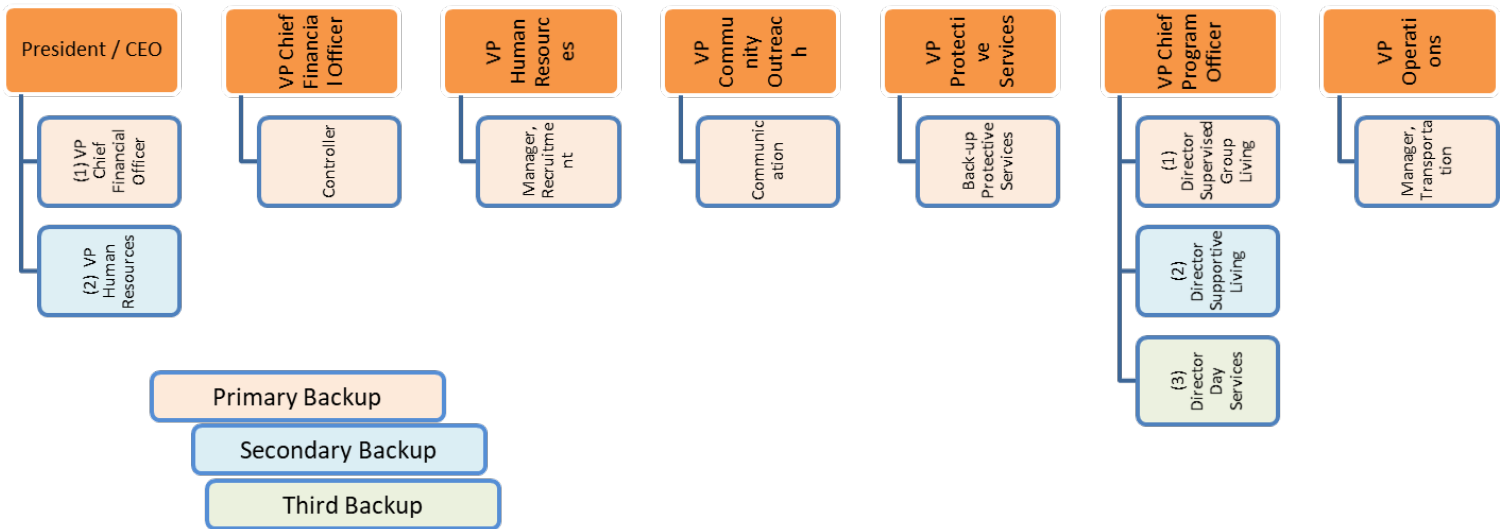
It is the policy of ADEC, Inc., with the leadership and direction of the President / Chief Executive Officer to assess the current and future leadership needs of the organization to help insure the selection of a qualified and capable leadership for programs.

The President/CEO of ADEC, Inc. shall ensure that plans are in place for the overall administrative coverage and operational performance of the organization in the event of his/her absence, short or long term, for any reasons, as well as a defined leadership for the organization. Each direct report to the President / CEO, the executive leadership Team, is responsible for the overall execution of service deliveries, compliance with all regulatory requirements, adherence to ADEC, Inc. policies, implementation of all human resource requirements and at a minimum, the essential functions identified in policy.

### **Functional List of Critical**

Each Function area of responsibility must have at a minimum:

- Identified back-up / coverage,
- List of critical agency level activities (e.g., payroll),
- Access to critical individual served records (e.g., medical),
- Phone numbers – office and cell phone,
- Action plan to invoke in “worst case scenario” or with a significant ADEC personnel reduction.



**III. Enterprise Risk Management**

*Policy 3.1.9 Procedure for Ensuring Proper Insurance Coverage*

ADEC has established several plans to identify, measure and manage risk that may affect the agency. These plans cross over different functional areas in the agency, because different types of risks are present to the entire enterprise. A key element of this is the Enterprise Risk Management. Management will annually review agency insurance policies to evaluate the adequacy and cost effectiveness of risk coverage.

# Enterprise Risk Management (ERM)

*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
- All-Hazard Emergency Situations Identified
- Pandemics by W.H.O.

**Risk Management Assessment Plan**

In March 2019, ADEC formalized the Risk Management Assessment, through Policy 1.1.12. This policy 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 ADEC.

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

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.

Enterprise Risk Management (ERM) provides a framework to:

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

The scope of ERM is broad and brings together risks from across the agency enterprise ranging from Board of Directors, financial controls, systems security, human capital, operations and compliance.

# 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) Internal Controls (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 Declarations (tech tools)	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) Response to Pandemic Declarations (staffing)	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 Manual Policy 11.0 Response to Pandemic Declarations (services)	Administrative & Governance Policy Including HIPAA (A) Accreditation/CARF (3) <i>CARF valid through 1/31/2023</i> Group Home Licensures (A) State Board of Health (A) IDR - 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) Response to Pandemic Declarations (local/state/fed)	By-Laws Code of Conduct Conflicts of Interest Overall Governance Committee Participation Response to Pandemic Declarations (comm.)
<b>Workers Compensation</b> Statutory and Employer Liability Coverage (A)	Response to Pandemic Declarations (funding)						

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

## IV. ADEC, Inc. Locations

### Policy 1.3.1 Identification of Service Locations

Policy lists the physical location of the service locations in Elkhart County and St. Joseph County with notation of source of utilities and alternative power.

The following is the list of ADEC, Inc. facilities, leased or owned; are in the state of Indiana; and are in either Elkhart County or St. Joseph County:

### Non-Residential and/or Administrative Facilities

#### Owned:

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

- Bristol Campus Administration Building (Building 1) - 19670 State Road 120, Bristol, IN – Elkhart County
  - City water and sewer. Backup generator.
    - Facility does have public access associated with Gaining Grounds Conference Center and Coffee Shop during regular ADEC hours.
- Bristol Campus Day Services (Building 2) - 19670 State Road 120, Bristol, IN – Elkhart County
  - City water and sewer. Shares generator with Building 1.
- 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.
    - Facility does have public access associated with Gaining Grounds Coffee Shop during regular ADEC hours.
- 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.
- Community Employment Services - Work One 851 Marietta, South Bend, IN – St. Joseph County
  - City water and sewer. No generator.
- Goshen City Church of the Brethren - 203 N 5<sup>th</sup> Street, Goshen, IN – Elkhart County
  - City water and sewer. No generator.

### **Residential Facilities – Owned**

These are considered private residential ‘homes’ and are not open to the public.

### **Supervised Group Living (Homes):**

- 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.
- 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

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

- 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 house is wired for one.

**Supportive Living Homes:**

- Bristol Campus Supportive Living Rental Duplex (Building 3) - 19816 State Road 120, Bristol, IN – Elkhart County  
- City water and sewer. No generator.
- 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. 14<sup>th</sup> 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

**V. Emergency Shelter list by county – IN.gov**

The state of Indiana provides a list, by county, of all official emergency shelters, that are non-hospital based: [www.in.gov/emergency\\_Shelter\\_list](http://www.in.gov/emergency_Shelter_list)

County	Shelter	Address	Shelter Type	Phone Number
Elkhart	Faith Mission of Elkhart	801 Benham Avenue Elkhart, Indiana	Emergency shelter & transitional housing for men, women and families	574-293-3406; 574-522-65552
	Elkhart County Women’s Shelter	PO Box #2684; Elkhart, Indiana	Domestic violence shelter	574-294-1811
	Goshen Interfaith Hospitality Network	105 South 3 <sup>rd</sup> Street; Goshen, Indiana	Emergency shelter for homeless families	574-534-2300
St. Joseph	AIDS Ministries/AIDS Assist of North Indiana, Inc.	PO Box #11582; South Bend, Indiana	Transitional housing for men, women and families	574-234-2870
	Dismas of South Bend	521 S. St. Joseph St; South Bend	Transitional housing for prisoner reentry	574-233-8522

	Dolly’s House	10679 Ireland Road; Osceola, Indiana	Emergency shelter for men, women and families	574-674-9462
	Hope Ministries	532 S. Michigan St.; South Bend	Emergency shelter for men, women and families	574-288-4842
	Life Treatment Centers, Inc.	1402 S. Michigan St.; South Bend	Emergency shelter and transitional house for men and women with substance abuse issues	574-233-5433
	The Center for the Homeless	813 S. Michigan St; South Bend	Emergency and transitional shelter for men, women and families	574-282-8700
	Youth Service Bureau of St. Joseph County, Inc.	1322 Lincolnway East; South Bend	Youth Shelter	574-235-9231
	YWCA Women’s Shelter	St. Joseph; South Bend	Domestic violence shelter	574-233-9491

**VI. Red Cross**

Northern Indiana - Serving Elkhart, Fulton, Kosciusko, Marshall, Pulaski, St. Joseph and Starke Counties  
 The mission of the American Red Cross Indiana Region Chapter is a non-profit humanitarian organization that provides disaster relief and helps people during disasters.

Address:  
 220 W. Colfax Ave., Suite 510  
 South Bend, Indiana 46601  
 Phone (574) 234-0191

Executive:  
 Kristin Marlow-Kellerman, Interim Executive Director  
 (574) 234-0191 (219) 384-0926 (mobile)

**VII. ADEC, Inc. Vehicles**

The VP of Operations for Maintenance and Transportation maintains a list of all agency owned or leased vehicles. The fleet of vehicles is noted with:

- By location (Cost Center)
- Type of Vehicle, noting if it is a lift vehicle
- Description
- Vehicle Identification Number
- License/Vehicle Plate number
- Individuals served Capacity, noting if it has well chair capability



### *Policy 7.1.1 Transportation Procedures*

The purpose of this policy is to provide ADEC transportation personnel with ready access to transportation procedures and guidelines, resulting in a uniform, safe and effective service delivery system for individuals served receiving transportation services.

If emergency protocol is invoked, vehicles are readily identified to be deployed to other facilities. In addition, ADEC has on payroll Transportation Drivers, all who have CDL's, which will be used to transport individuals served if their normal transportation route is cancelled. Human Resources tracks CDL renewal dates.

All ADEC employees are required to have a valid driver's license and vehicle insurance. This is identified in the Personnel Manual available to all employees on the secured ADEC website, [www.adecinc.com](http://www.adecinc.com). In addition, all new hires are provided a copy of the manual.

“All applicants must have a valid driver's license, proof of auto insurance, high school diploma or GED, be at least 18 and be able to lift 50-60 lbs. on a regular basis. ADEC is not permitted to employ anyone who is not a United States citizen, unless that person has an appropriate VISA or other documentation that allows him or her to legally work in the United States. Three references, employment verification and applicants' driving record may be conducted by Human Resources. Applicants' names will also be checked on the State Nurse Registry, Sexual Assault Registry and Welfare Fraud Registry. Applicants are required to pass a pre-employment drug screen. “

Other policies that address transportation and associate risk include:

- *Policy 2.1.4 Coverage of Vehicle Expenses Incurred by Employees Transporting Person served in Own Vehicle*
- *Policy 2.1.11 Verification of Background and Credentials of Employees, Volunteers and Consultants*
- *Policy 2.1.16 Alcohol and Drug Testing Policy*
- *Policy 2.1.21 Screening Applicants for Drugs*
- *Policy 2.1.22 Substance Abuse Policy*

## **VIII. Personnel Re-Assignment**

It is the goal of ADEC, Inc. to identify and re-assignment all necessary ADEC personnel in case of a wide-spread emergency, especially those resulting in the closure of non-residential facilities. ADEC personnel will be notified in person, by phone or text, or e-mail, for their need to assist in an emergency. In those events where facility-based, day service, locations are not going to be open, the trained support ADEC personnel, direct support professionals, at each of those locations may be given the opportunity to meet the ADEC personnel needs at the residential locations.

- This will be set up at each of the day service locations, with ADEC personnel trained on person served specific requirements, with a roster (list) of employees opting-in for reassignment. All new ADEC personnel, and updated as needed, will be given an opportunity to be considered for this work.
- The Program / Service Leadership is responsible for maintaining the list of employees as well as a “call-tree” to ensure ability to contact employees.

Non-residential administrative ADEC personnel and other ADEC personnel in non-direct care roles may also be contacted to perform non-medical or care activities in the residential locations, such as house cleaning, cooking, entertain/engagement with individuals served.

Any volunteers used by ADEC must have completed a background check and training. Volunteers, if used, may be asked to complete non-medical or non-personal care activities.



**In addition, the following actions are also to be implemented:**

- ✓ The appropriate Executive Vice President is responsible to ensure a list of Day Services ADEC personnel are able and willing to re-assign to Supervised Group Living homes and identified Supportive Living locations;
- ✓ The appropriate Executive Vice President is responsible to ensure a list of Identify ADEC personnel needs at each of the residential sites, supervised group living and 24x7 supportive living locations;
- ✓ The Vice President Operations, Maintenance and Transportation, is responsible to ensure list of on-call and readily available transportation ADEC personnel and maintenance ADEC personnel; and
- ✓ The Vice President of Finance is responsible to ensure all critical financial (such as payroll, receivables and payables) and I/T infrastructure are operational.

**IX. Communication****ADEC Messaging**

ADEC puts a high priority on principles of care for residential individuals served who may be impacted by a disruptive event.

During an emergency, specific to residential locations in supervised group living and 24x7 supportive living, ADEC personnel will maintain an individual's "Red Binder" that includes all pertinent medical information about the individual. This binder is to stay with everyone during any relocation. If a group home needs to relocate, the relocation procedure will be implemented. If the relocation is larger than a single group home, a system will be implemented where individuals served will remain with their group home ADEC personnel and peers, and the appropriate Executive Vice President, and the Director of Group Homes and Director of Supportive Living, will maintain a list of where each individual is staying, and who the ADEC personnel are assigned to them.

- Executive Vice President and the Directors are responsible for making sure that ADEC personnel is in place and there is coordinated communication with internal and external sources. A ADEC personnel will be assigned to maintaining order with ADEC personnel and persons served in each location. A notebook, or similar form of documentation such as a tablet or computer, will document the name of each person relocated and the ADEC personnel assigned to them. Any time an individual move to another area, the notebook, or documentation, will be updated to reflect where they went and who is responsible for them.

If an ADEC facility-based program, including Day Services, Family Services and ADEC Industries, are forced to relocate, the first line of intervention will be calling the individual served residential provider, family member or guardian so that they may go home. All others may be given a wrist bracelet that has their name written on it, or some other distinguishing form of identification, and what program they attend.

- The Director of Day Services will insure that at each facility-based operation, an assigned ADEC personnel member is identified to make sure that the notebook, or equivalent documentation, in each area is properly maintained including if the individual left with a family/friend/guardian and are no longer in the direct care / responsibility of ADEC.

In helping facility orderliness and reduce the uncertainty and fear, ADEC's principle approach includes:

- Encourage both ADEC personnel and the individuals served to talk about expectations, anger, and/or disappointment;
- Work to develop a level of trust;

- Present an optimistic, favorable attitude about the changes in normal activities, potential relocation and temporary actions;
- Anticipate that anxiety will occur;
- Do not argue with the individual served;
- Do not give orders;
- Do not take the individual served behavior personally; use praise liberally;
- Be courteous and kind;
- Include the individual served in assessing problems;
- Encourage family and guardian participation; and
- Ensure ADEC personnel in that are unfamiliar to the individuals served introduce themselves.

In addition, all employees who have direct support care responsibilities and/or work primarily with individuals served are required to complete training annually on the Mandt system. The Mandt System is a training program that has 3 major components: Relational, Conceptual, and Technical:

- Relational Skills: focuses on teaching relationship, communication, and conflict resolution skills.
- Conceptual Skills: focuses on teaching positive behavior supports, liability and legal issues, and medical risks of restraint.
- Technical Skills: training in providing physical assistance, separation, evasion, and restraint techniques

The focus of the Mandt system is learning how to reduce or eliminate violence in the workplace by “supporting people, not just their behaviors”. The Mandt system revolves around building the positive relationships of people in an organization to create an overall healthy environment. The main goal is to teach ADEC personnel how to effectively manage a situation by regulating their emotions, response, and behaviors to positively interact with individuals served.

### **County / State Emergency Management**

ADEC, Inc. tries to work collaboratively with local officials to keep aware of emergency management in the county where residential group home, residential supportive living, facility-based day service, work facility and administrative offices are located. In the event of an emergency, the facility will directly notify 911. We will contact the Red Cross and notify the Emergency Management Department as required. The facility will notify the Indiana State Department of Health during emergencies that require full or partial evacuation at 317-460-7287 and will report such an evacuation on the Department of Health portal. The facility will also notify the Bureau of Developmental Disabilities Services: via e-mail and phone at the regional office. In case of emergency, the First Responder or Unit Commander will be provided with a list of specific needs of individuals in each location.

### **Bureau of Developmental Disabilities Services**

401 East Colfax Ave., Suite 270 South Bend, Indiana 46617.

Phone: 574-232-1412

E-mail: BDDSincentreports@fssa.in.gov

### **Elkhart City Emergency Management Department**

Travis Snider, Sergeant, Department Head, 611 South 5th Street, Elkhart Indiana, 46515. Phone: 574-970-7996  
The mission of the Elkhart Emergency Management Department is to support the Police and Fire Department in non-enforcement services and to aid other City Departments and civic groups throughout the Elkhart community.

The Emergency Management Department provides the following services:

- Assistance in disaster response and during severe weather,
- Assistance in traffic control for the Police and Fire Departments,
- Assistance the Police Department in patrolling specific areas of the City,
- Assistance at City events such as the Air Show, the July fireworks and events at the Lerner Theater,
- Work with Elkhart County Emergency Management, and

Work with various civic groups.

**Elkhart County, Indiana Emergency Management**

The mission is to reduce the loss of life and property and protect our environment from all hazards by leading and supporting the County in a comprehensive, risk-based emergency management program of mitigation, preparedness, response and recovery.

Address: 26861 CR 26; Elkhart IN 46517

Director: Jennifer Tobey

Phone: 574-891-2238

Email: [jtobey@elkhartcounty.com](mailto:jtobey@elkhartcounty.com)

Hours: Monday 8:00am – 5:00pm; Tuesday – Friday 8:00am – 4:00pm

**St. Joseph County, Emergency Management**

It is the mission of the St. Joseph County Emergency Management Agency to coordinate all emergency management activities and to protect the people, property, economy and environment of St. Joseph County and its political subdivisions.

Address: 1222 South Michigan Street

South Bend, Indiana 46601

Phone: 574-235-9378

Director: John Antonucci

**Indiana Protection and Advocacy Services**

Indiana Disability Rights (IDR) is the service arm of the Indiana Protection and Advocacy Services (IPAS) Commission. Our mission and vision guide our work every day.

Mission of IDR is “...To protect and promote the rights of individuals with disabilities through empowerment and advocacy.”

The Vision of IDR is “...To live in a society where persons with disabilities are free from abuse and neglect, are free to be effective self-advocates, and are free of discrimination; allowing for full inclusion in society.”

Address: 4701 North Keystone Avenue, Suite 22

Indianapolis, Indiana 46205

Phone: 317-722-5555

**Policy 1.8.1 Media Contacts**

The policy notes that all contacts with media - newspapers, radio, television and social media - regarding ADEC and its programs/services must be coordinated and implemented by the Community Outreach. The primary media contacts are:

- WNDU 574-284-3011
- WSBT 574-247-7386
- WFRN 1-800-378-0468
- ABC57 email [news57@abc57.com](mailto:news57@abc57.com)

In addition, ADEC will provide notifications and updates on

- ADEC website [www.adecinc.com](http://www.adecinc.com)
- ADEC social media Facebook

Awareness of the ADEC Emergency Preparedness Plan is made through posting on the ADEC website [www.adecinc.com](http://www.adecinc.com). The statement on the website is:

“ADEC is an Intermediate Care Facility for Individuals with Intellectual Disabilities (ICF/IDD) and complies with applicable Federal, State, and local emergency preparedness requirements to ensure the health, safety and well-being of individuals served and employees. ADEC maintains an emergency preparedness program that is reviewed annually. “

It is recognized that in the event of a massive loss of internet availability and/or access or cell phone availability, program leaders and other supervisory personnel may be required to drive to contact employees or use whatever other available means to communicate and reach employees and individuals served and guardians.

## X. Disaster Recovery

*Policy 9.1 Policies for Protection of the Privacy and Security of Protected Health Information*

*Policy 9.2 Policies for the Security of Electronic Protected Health Information*

It is the policy of ADEC to comply with all rules and regulations of the Health Insurance Portability and Accountability Act (HIPAA) and the Health Information Technology for Economic and Clinical Health Act (HITECH). These Privacy Policies are intended to comply with the requirements of the federal Health Insurance Portability and Accountability Act of 1996 (“HIPAA”), regulations under HIPAA, and any applicable State law that is more stringent than the HIPAA requirements. They are designed to comply with the standards, **implementation specifications, and other requirements of the HIPAA security, breach notification, and privacy** regulations at 45 CFR Part 160 and Part 164.

These policies are designed to reasonably ensure the confidentiality, integrity, and availability of all electronic protected health information that ADEC, Inc. creates, receives, maintains, or transmits; protect against any reasonably anticipated threats or hazards to the security or integrity of such information; protect against any reasonably anticipated uses or disclosures of such information that are not permitted or required under the HIPAA Privacy Rule and ADEC, Inc.’s Privacy Policies; and to ensure compliance with the HIPAA Security regulation by ADEC, Inc.’s workforce.

In all instances, these Privacy Policies shall be interpreted and construed consistent with the requirements of HIPAA, its regulations, and any more stringent State law. In the event of any conflict between a provision of these Privacy Policies and a requirement of HIPAA, a regulation under HIPAA, or a more stringent State law that HIPAA, HIPAA regulation, or State law requirement shall control.

In addition to policies and procedures, ADEC maintains a comprehensive Disaster Recovery and Business Continuity Plan. This plan is reviewed annually and is maintained by the Manager of Information Technology Services. The document is secured on the L: Drive as well as in hardcopy form. Contents include:

- Objectives of ADEC Disaster Recovery Plan,
- Assumptions of the ADEC Disaster Recovery Plan,
- Roles, Responsibilities, and Authority,
- Operations Command Center,
- Business Function Impact,

- Non-Critical Systems,
- Critical Systems,
- Critical Systems Plan,
- Criteria for Invoking the Disaster Recovery Plan,
- Procedures for Recovering Lost or Damaged Data,
- Criteria for Returning to Normal Operations,
- Plan Maintenance,
- Maintenance Cycle and Triggers,
- Plan Distribution,
- Server Details, and
- DNS Host and MX Record.

**Information Technology Emergency Contact Numbers**

911	Fire, Police, Ambulance
574 848-7451	19670 State Road 120, Bristol, IN 46507
574 295-3161	ADEC Industries, 2700 Industrial Parkway, Elkhart IN 46516
574 536-0744	Evan Hoover, IT Manager
574 361-7585	Teresa Buwa, Project Manager
574 536-4858	Shawn Matthews, IT Specialist
574 238-3516	Tim Donlin, VP Finance
574 596-0515	Donna L. Belusar, President / CEO
574 536-0744	IT Support Cell Phone

**XI. Essential Business Functions**

ADEC Inc. provides services to individuals that are vulnerable and require with varying degrees of support and coverage some level of daily support and daily personal care. There are functions or activities that must continue always, especially in the residential sites, even during and after an emergency.

These functions and activities are a subset of ADEC, Inc.’s normal operating functions. In determining what are the essential business functions, the Executive Leadership team discussed:

- Mission critical: Services necessary to achieving ADEC Inc’s organization’s mission,
- Business critical: Functions that the agency relies on to operate successfully, and
- Customer critical: Services that the individuals served depend on.

The identified essential functions may not operate at 100% during the emergency or the recovery time after. Many services may be performed at altered standards of care and delivery. For each of the essential function areas, the Executive Leaders of the area is responsible to identify the resources required to maintain the critical functions:

- Payroll
  - Time and Attendance – may be manual if electricity or internet is unavailable
- Accounting Systems – with primary support on billing of services and access to financial banking accounts/systems
  - Supplier and vendor payments is a secondary function
- Communication – externally to notify individuals served, guardians, community and employees

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- Insurance Coverage – Agency level commercial and operational
- Transportation – access to all ADEC vehicles and on-call for transportation department ADEC personnel
- Disaster Recovery Plan for Information Technology
- Maintenance ADEC personnel on-call for residential site needs
- Guardianship – for notification in disruption or changes in services and/or locations
- Residential operations – inclusive of both Supervised Group Living and Supportive Living Programs
- Medication administration and disbursement and documentation
  - May be manual if electricity or internet is unavailable to record in the EMAR system

Additional detail is available in the *Safety Manual, Policy 11.1* as well as the Supervised Group Living and Supportive Living residential manual on the L: Drive. Posting of the facility safety manuals for the facility-based facilities will be posted on the L: Drive Safety Manuals.

## **XII. Billing - Notation**

During an Emergency Management event, the appropriate financial recording and documentation of the events may be categorized as catastrophic/disaster related (CR) to ensure that a service provided and recorded on any Medicaid reimbursement is disaster related. If all the services on the claim, or billing, are disaster related, ADEC, Inc. should use the disaster related (DR) condition code to indicate that the entire claim is disaster related.

## **XIII. Testing and Training**

All ADEC, Inc. employees are required to have annual documented training – assigned, tracked and monitored through Relias – on essential emergency drills such as those identified as All Hazards Approach – Disruptive Events.

The ADEC Safety Committee, as identified in *Policy 11.1*, is responsible to organize and/or coordinate safety education for ADEC personnel employed in the non-residential facilities. This education should include but is not limited to:

- New ADEC personnel orientation to the agency,
- First Aid and CPR certification for selected ADEC personnel, primarily direct support professionals,
- Training for back-up Building Administrator(s), identified for each of the non-residential facilities,
- Designated persons assigned specific responsibilities during evacuations and drills,
- Ensure annual safety training is conducted,
- Other safety education and awareness campaigns, and
- Persons served receive education designed to reduce identified physical risks.

This committee will work in cooperation with managers and ADEC personnel and is tracked via Relias. This committee also collaborate works with the residential site leaders – VP, Directors, QIDP's and managers, to ensure that agency wide required training is assigned, tracked and completed through use of Relias. In addition, information is shared to be included in the appropriate residential on-site safety manuals.

At the Residential locations, Supervised Group Living:



1. All emergency procedures that apply to residential group home sites will be reviewed with ADEC personnel upon beginning employment and thereafter on an annual basis. This training will be documented and retained in the Relias Training Software system.
2. Fire drills will be held monthly on all shifts at each residential site and tornado, severe weather, and other emergency drills will be held quarterly in all ADEC, Inc. residential sites with a drill on each shift at least once per quarter.
3. People receiving services will be trained according to the emergency procedures for each situation at each drill, as well as reviewed on a regular basis, both verbally and with individual house ADEC personnel, as needed. These emergency drills will be documented and retained in the Relias Training Software system. by the Program Director/QMRP, or other designee, and will be retained by the Program Director/QIDP at the residential location completing the emergency drill.

#### **XIV. Inclement Weather Procedure**

##### *Policy 10.2 Inclement Weather Procedure Policy*

ADEC is committed to the provision of its services during all regularly scheduled operating hours. Inclement weather may dictate the cancellation of transportation services, but agency doors will be open for business and programs will be available for individuals served able to get to their respective program sites. An exception may be a county-wide state-of-disaster/emergency as declared by the county sheriff or other state/local officials.

To protect the health, safety, welfare and well-being of the person served served and employees, ADEC may, during periods of severe inclement weather, cancel transportation services. ADEC has a responsibility to the individuals served, family and guardians to provide services as scheduled. The agency will be open for business and programs unless the county sheriff declares an emergency or the President / CEO determines closure is advisable.

#### **XV. Temporary Housing**

In the event ADEC must find temporary housing for individuals residing in group homes, ADEC has a working relationship with local hotels, such as Comfort Suites, to help facilitate emergency relocation. Specific to Comfort Suites North at 404 North Pointe Blvd. Elkhart, Indiana 46514 and Comfort Suites at 60971 US 31 South, South Bend, Indiana 46614 to provide temporary housing when a group home must be evacuated due to fire damage, residential problems and environmental and structural damage as defined as a Reportable Incident to the Bureau of Developmental Disabilities.

The procedure for relocating to the Comfort Suites:

- Program Manager notifies the Director of residential operations or Vice President to inform them of the need for a temporary residence
- The Director or VP will notify the Comfort Suites North (Elkhart) 574-206-1555 (South Bend) 574-2913100 to arrange accommodations.
- All clients will move to the Comfort Suites location
- Pharmacy will be notified if medications could not be removed from the home

On page 14 under communication is ADEC Messaging. I think it is more evacuation than messaging. Can we add:

Relocation procedure

ADEC personnel will ensure that the following items accompany each individual:

- Red Binder
- Medications (including any liquid nutrition
- Printed Medication Administration Records
- All medical equipment including oxygen, CPAP, nebulizer, etc.
- Personal care items i.e. briefs, catheter bags, ostomy supplies
- Change of clothing and small comfort item

Director of residential operations will ensure that guardians and/or family members are informed of the relocation. The Director will also ensure that all assigned personnel are informed of the relocation.

## **Part B. All-Hazards Approach – Disruptive Events**

An all-hazards approach is an integrated approach to emergency preparedness planning that focuses on capacities and capabilities that are critical to preparedness for a spectrum of emergencies or disasters, including internal emergencies and a man-made emergency (or both) and natural disaster. ADEC has identified those disruptive events that are more-likely-than-not to occur in service area – Elkhart County and St. Joseph County – and may impact residential sites and non-residential sites.

All drills may be or can be actual drills or assimilated drills, where the potential scenario is discussed.

Detail information can also be found in the ADEC, Inc. Safety Manuals located on the L: Drive or the Residential Manual on the L: Drive.

### **A. Fire, Explosion, and/or Bomb Threat**

1. A residential site, group home or a non-ADEC, Inc. leased apartment/housing, and the non-residential facilities may be equipped with one or more of the following fire safety alert and protection equipment:
  - a. Interconnected smoke detectors,
  - b. Fire extinguishers,
  - c. Pull stations to sound the fire alarm,
  - d. Single station, battery-operated detectors,
  - e. Sprinkler system with sprinkler heads and shut off
2. If there is a fire or smoke, or you receive a bomb threat in writing, via telephone, or verbally, **KEEP CALM!!!**
3. If there is a fire or explosion, **RESCUE** and move people from immediate fire area.
4. If there is a small fire, (less than the size of a basketball) and if ADEC personnel are able, fight fire with the proper extinguisher. The fire extinguisher is readily available in a designated area in each residential site.
5. If there is smoke or fire, **CONFINE** the immediate area by closing doors.
6. **ALERT** the building by pulling the fire alarm or activating smoke detector (if not already activated).
7. **EVACUATE** everyone from the building.
  - a. ADEC personnel will immediately go to any hearing-impaired person(s), sign "FIRE" and point to the nearest exit.
  - b. ADEC personnel will proceed to assure everyone leaves the building.

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



- i. ADEC personnel will check all rooms, beginning with floor/area presently on and assure the entire house has been covered.
    - ii. If time allows, ADEC personnel will close all doors and windows.
  - c. ADEC personnel will move individuals to a safe, common space, may be outside at the site vehicle or at a pre-determined area.
    - i. Group home residents – outside at the site vehicle that has been REMOVED from any interior or covered garage or pre-determined area.
    - ii. Supported Living individuals – outside in front in the building or at the designated building emergency gathering area.

Meeting at a predetermined area is best for supervision and easier evacuation, but only to the extent that it is safe for the individual and ADEC personnel person. ADEC personnel will then assemble at the site's designated safe area and assure that everyone is present.

8. Call 9-1-1 from a neighboring location or other location if the building has been evacuated. Give the address and inform them that people who have disabilities live or work there.
9. Do not re-enter the building until given the approval from police or fire department.
  - a. If unable to re-occupy the building, ADEC personnel will assure individuals served are transported to a designated safe area, such as another ADEC, Inc. group home, community shelter, police or fire station.
  - b. If unable to re-occupy the building, ADEC personnel will assure residents are transported to assigned locations.
10. In the case of a **bomb threat** (via phone):
  - a. ADEC personnel will not touch anything in the residence and will proceed to assure everyone leaves the building immediately.
  - b. ADEC personnel will check all rooms, beginning with floor/area presently on and assure the entire house has been evacuated.
  - c. ADEC personnel will move individuals to a safe, common space (meet outside) for better supervision and easier evacuation, but only to the extent that it is safe for the individual and ADEC personnel person. ADEC personnel will then assemble at the site's designated safe area and assure that everyone is present
  - d. **Call 9-1-1 from a neighboring location or other location** if the building has been evacuated due to a bomb threat. Give the address as the location of the site and inform them that people who have disabilities live or work there. ADEC personnel and individuals are to remain outside of the building and at least 100 feet away until further instructions are received from the police or the fire department.
  - e. Do not re-enter the building until given the approval from police or fire department.
    - i. If unable to re-occupy the building, ADEC personnel will assure persons served are transported (in case of bomb threat, do not get into personal or facility vehicles) to a designated safe area, such as another ADEC, Inc. group home, community shelter, police or fire station. If necessary, transportation to the location(s).
11. ADEC personnel will notify supervisory personnel, as soon as possible.
12. ADEC personnel will complete an Incident Report Form and submit the report to their supervisor and Director, Protective Services, within 24 hours of the incident.
13. ADEC personnel should also complete, if applicable, a Bomb Threat Report, as identified in Safety Manual Program, Policy 11.1 and give to emergency personnel.

## B. Carbon Monoxide Exposure

ADEC, Inc. will monitor carbon monoxide detectors only in those residential sites and non-residential facility and administrative sites that utilize natural gas as an energy source. If the carbon monoxide detector sounds a loud alarm signal, it has sensed carbon monoxide. Only in rare cases will the detector ever false alarm.

**IMPORTANT:** As carbon monoxide levels start to build, the detector may sound intermittent alarm signals. This means that the detector is sensing some carbon monoxide. After several minutes, if carbon monoxide level continues to rise, the detector will go into full alarm. If the carbon monoxide detector sounds a loud alarm signal and you **HAVE NOT** pressed the test button:

1. **EVACUATE** the residence immediately.
2. **Consult a physician** if you or any individual is experiencing any symptoms of carbon monoxide poisoning. Carbon monoxide exposure/poisoning can cause the following symptoms:
  - a. **Mild Exposure:** slight headache, nausea, vomiting, fatigue (often described as “flulike” symptoms).
  - b. **Medium Exposure:** severe throbbing headache, drowsiness, confusion, fast heart rate, cherry red skin color, especially around the mucus membranes of lips and eyes.
  - c. **Extreme Exposure:** unconsciousness, convulsions, heart and lung failure, brain damage, and death. Discuss these symptoms with all household members. If symptoms are significant, immediately follow the procedure for Accident or Serious Illness, Policy 7.2.2 Health Emergencies – Individuals served.
  - d. Many cases of extreme exposure to carbon monoxide have shown that while victims are aware, they are not feeling well, they cannot function well enough to exit the building or get help.
3. **Call the local gas or oil company from outside the residence** and ask them to determine the source of carbon monoxide.
4. Do not re-enter the residence until the local gas or oil company says that the air is clear, and the problem corrected. If necessary, assure transportation to the other ADEC location(s) pre-determined in case of an emergency.
5. After the danger has passed and you have been given permission for the local authority, you may re-enter the premises.
  - a. If the detector is not in alarm, press the test button for 5-10 seconds. The alarm should sound. This means that the sensor has reset, and the detector is working properly.
  - b. If the detector is still in alarm, unplug the unit to silence the alarm. Open as many windows and outside doors as possible. Any remaining carbon monoxide will prevent the sensor from completely resetting.
  - c. Try plugging the unit in after one hour. If the detector still alarms, unplug the unit and repeat after 2, 24, and 48 hours. As the sensor uses material like what the body uses to detect carbon monoxide, it may take from 24 to 48 hours to recover.
  - d. If the detector stays in alarm, beeps about once a minute, does not alarm after pressing the test button, or does not reset within 24 to 48 hours, contact a supervisor or the Maintenance Department.
6. ADEC personnel will notify supervisory personnel, any on-call if applicable, as soon as possible.
7. ADEC personnel will complete an Accident / Incident Report, and submit the report to their supervisor and Director, Protective Services, within 24 hours of the incident.
8. If the source of the carbon monoxide was checked by a gas company, the Incident Report should include date, time, level of carbon monoxide, locations and sources checked, equipment used, and method of testing.

### C. Accident or Serious Illness

ADEC, Inc. is committed to the protection of its individuals. In the event of an accident, injury, or sudden extreme illness, ADEC personnel will deal with the incident in a manner which is most appropriate to immediate needs. ADEC personnel will cooperate with each other in assuring that procedures are carried through in a calm and organized manner.

ADEC, Inc. will not disclose the medical condition of any individual receiving services or employees, except to treat the person, or to protect others from transmission of a disease (see ADEC, Inc. policies 9.1, 7.2.3 and 2.1.7).

Detail procedures are in **Policy 7.2.2. which also includes the Accident/Illness Form.**

1. Render needed emergency care, for example - first aid to stop bleeding, Heimlich, etc. If you are not trained, immediately contact a ADEC personnel who is. **If CPR is necessary, call 911 first before beginning CPR.**
  - a. Note, it is an ADEC policy that all support care ADEC personnel have annual CPR training and First Aid training.
2. If emergency transportation and/or treatment is needed, **ADEC personnel will call 911.** Be prepared to give details of the emergency.
3. If the situation is not urgent, and ADEC personnel are able to transport, ADEC personnel should call the hospital and inform the on-call physician that he is bringing the person to the hospital; then, a ADEC personnel member will transport to the nearest medical facility
4. If medical treatment is needed, ADEC personnel will send or take a completed Medical Referral form, for the injured or ill person served - the individual's Medical (red) book, and the individual's medications (depending on urgency) in the site's vehicle, or ADEC personnel vehicle, depending on the site.; any helpful items such as poisonous substances, labels, etc.
5. Inform the individuals served' physician.
6. ADEC personnel will notify supervisory personnel as per Policy 7.2.2 Accident / Illness Reporting.
7. Supervisory ADEC personnel will notify family, case manager, guardian and other significant persons involved in the individuals served' care.
8. ADEC personnel will complete an Accident / Incident Report form for all accidents and will report to their supervisor and Director, Protective Services. For illnesses, ADEC personnel will document all pertinent information in the individuals served medical record.

## **D. Dangerous Weather Conditions**

ADEC, Inc. is committed to the provision of its services during all regularly scheduled operating hours. Inclement weather may dictate the cancellation of transportation services, but agency doors will be open for business and programs will be available for individuals served able to get to their respective program sites. An exception may be a county-wide state-of-disaster/emergency as declared by the county sheriff.

To protect the health, safety, welfare and well-being of the person served and employees, ADEC, Inc. may, during periods of severe inclement weather, cancel transportation services. ADEC, Inc. has a responsibility to the individuals served/parents/guardians to provide services as scheduled. The agency will be open for business and programs unless the county sheriff declares an emergency or the President / CEO determines closure is advisable. This is identified in **Policy 10.2 Inclement Weather Procedure Policy.**

1. Severe Weather and Natural Disasters - (Required Annual training / drills / new ADEC personnel orientation)
  - a. At first sign of dangerous weather conditions – such as extreme temperatures, high winds, heavy snow/rain - or a natural disaster – such as a flood) - confirm the location and safety of individuals. If in a vehicle when these conditions are detected, try to reach shelter as soon as possible. If on the highway, pull off the road or stop under an overpass.
  - b. Listen to local/NPR radio station and/or television for current weather information.
  - c. Judgment dictating, require all or specific individuals served to remain indoors and, if necessary, in a location easily monitored by ADEC personnel.
  - d. Assure all windows and doors are properly closed and fastened.
  - e. Should television, radio warning, civil defense siren sound and/or ADEC personnel judgment dictates, give directions to take shelter. In case of severe weather, avoid sheltering near windows or chimneys. Take shelter under stairwells, in closets, or in hallways. Cover your head. ADEC personnel should move all individuals to a designated “Emergency Shelter Space / Room”.
  - f. Take the emergency kit, which may include flashlight, transistor radio, from the residential site and/or site vehicle (location).
  - g. Turn on radio to local radio/NPR station. Listen for further instructions and the “all clear.”
  - h. If damage to the site or area renders the site unable to be occupied and/or a safety/health risk for the people who live there, the program director and program coordinator will assure relocation to other ADEC, Inc. services or other temporary housing in a safe place notifying involved team members. If necessary, assure transportation to the other ADEC, Inc. locations.
2. Tornado
  - a. The warning is a steady tone on the civil defense sirens for three to five minutes or the sighting of a tornado funnel. If in a vehicle when a tornado is sighted in the immediate area, Pull over in safe area way from power lines. Remain in vehicle with seatbelts on. Get below windows and cover head/neck. If you are outside with no place to go for cover, then lay in lowest part of ground, covering head/neck area to protect from flying debris.
  - b. Follow Severe Weather and Natural Disasters: Steps e, f, g, and h.
3. If injury or damage occurs, ADEC personnel will complete an Accident / Incident Report form and will submit it to the supervisor and Director, Protective Services within 24 hours. Should injury or damage be serious, a supervisor will be contacted immediately.

## E. Additional Emergency Problems

1. **Water Disruption:** If there is no water available, use water from your prepared supplies. Notify the Office or the On-Call Supervisor. ADEC personnel should contact the local water company to report the issue. If water service is not restored within 24 hours, the ADEC personnel should seek alternative housing for persons served, such as hotel accommodations, with supervisory approval. If necessary, assure transportation to the other identified ADEC location(s).
  - a. Sprinkler Systems: If a water disruption occurs in an ICF-MR that uses an automatic sprinkler system, a “fire watch system” will be implemented. This applies to situations where there is no water available due to water disruption and any other situation that would lead to the sprinkler system being out of service for any reason, including but not limited to a leak in the system, system malfunction, or maintenance requiring more than four hours. Specifically, the fire watch system will mandate that a ADEC personnel on duty at the site will make rounds of the entire site every 15 minutes and record their rounds. The fire watch duties will be that assigned ADEC personnel

members only duties when this system is implemented, and that ADEC personnel person should not be responsible for their normal duties during that time.

- i. Notification of the implementation of this system must be made to the Program Director as soon as this concern is identified. If the water service is not operable for more than 4 hours within a 24-hour period, the Program Director will implement the Fire Watch System. The Program Director will identify one ADEC personnel on every shift to perform the duties of the Fire Watch system. The ADEC personnel will document their rounds on the Fire Watch Log.
  - ii. The Program Director will be responsible for notifying the Program Coordinator, insurance carrier, local fire department, and ISDH that this system has been implemented.
  - iii. ISDH Online Incident Reporting System must be notified by web reporting at: <http://www.in.gov/isdh/23638.htm>
- b. The following steps are to be followed for failure of the sprinkler system and/or fire alarm system:
- i. Notify the Program Director and Director of Maintenance and Transportation
  - ii. After 4 hours of the system being disabled, the fire watch procedure will begin and take place every 15 minutes. The trained ADEC personnel designated to conduct this will be identified at that time by the Program Director.
  - iii. A checklist will be utilized noting that the quarter hour checks has been completed and all areas on the interior premises, including all floors and the garage has been inspected. The check will end with a walk around the outside of the building and property.
  - iv. These checks will continue every 15 minutes until the fire system is adequately working. ADEC personnel will be trained on the fire watch system every 3 months during the review of emergency procedures at each home.
2. **Internal Flood:** In the event that an interior pipe breaks, and causes a flooding event to occur, ADEC personnel will immediately implement the relocation plan. If the facility is inhabitable, a temporary facility or residential setting will be sought.
3. **Ventilation Problem:** If smoke odors come from the ventilation system, **immediately call 911**. Vacate the home. If necessary, assure transportation to other identified ADEC, Inc. location(s).
4. **Electrical Failure:** In the event of a blackout, loss of electrical power, remain calm. ADEC personnel should contact the local electric company to report the power outage and contact On-Call Supervisor. Use flashlights. If necessary, use food and water from your prepared supplies. Use coats and blankets if necessary, to keep warm. Use a battery-powered radio. Stay away from downed power lines. Each home must assess the need for an alternative power source in the event of a power outage. The assessment should be based on the individuals served medical requirements, e.g. suction, nebulizer treatment, pressure mattress, etc. If it is determined that a power outage would create a medical emergency for the individuals served, the home should either have a small generator or the home should be evacuated immediately.
- a. If power is not restored within 24 hours, the ADEC personnel should seek alternative housing for persons served, such as hotel accommodations or other ADEC, Inc. locations, with supervisory approval. If necessary, assure transportation to the location(s) listed in section A.9. Fire Alarm Systems:
  - b. If the electrical failure occurs in a supervised group living home, a “fire watch system” will be implemented. This applies to situations where the fire alarm system is out of service for more than 4 hours in a 24-hour period due to an electrical failure, or at any time that the alarm system is out of service for any other reason, including but not limited to a lightning strike, other system malfunction, or for maintenance requiring more than four hours.
    - i. Specifically, the fire watch system will mandate that a ADEC personnel on duty at the site will make rounds of the entire site every 15 minutes and record their rounds. It may be



determined at the time of the emergency, that the fire watch duties will be that assigned ADEC personnel members only duties when this system is implemented, and that ADEC personnel person should not be responsible for their normal duties during that time. Notification of the implementation of this system must be made to the Program Director as soon as this concern is identified.

- ii. If the electrical service is not operable for more than 4 hours within a 24-hour period, the Program Director will implement the Fire Watch System. The Program Director will identify one ADEC personnel on every shift to perform the duties of the Fire Watch system. The ADEC personnel will document their rounds. The Program Director will be responsible for notifying the Program Coordinator, insurance carrier, local fire department, and ISDH that this system has been implemented.
  1. ISDH Online Incident Reporting System must be notified by web reporting at: <http://www.in.gov/isdh/23638.htm>
- c. Fire watch procedures: The following steps are to be followed for failure of the sprinkler system and/or fire alarm system:
  - i. Notify the Program Director and Maintenance Director
  - ii. After 4 hours of the system being disabled, the fire watch procedure will begin and take place every 15 minutes. The trained ADEC personnel designated to conduct this will be identified at that time by the Program Director.
  - iii. A checklist will be utilized noting that the quarter hour checks has been completed and all areas on the interior premises, including all floors and the garage has been inspected. The check will end with a walk around the outside of the building and property. ADEC personnel will sign off that this has been completed, on the checklist.
  - iv. These checks will continue every 15 minutes until the fire system is adequately working. ADEC personnel will be trained on the fire watch system every 3 months during the review of emergency procedures at each home
5. **Telephone Failure:** Use a neighbor's phone or cell phone if available to call the On-Call Supervisor. If there is no phone in the area working nearby, stay in the home and keep everyone in the home calm.
6. **Public Transportation Failure or Temporary Gasoline Shortage** (for supervised group living homes only): Contact office or On-Call Supervisor. We recommend that Directors/Managers keep gas tanks ½ full or above. This can prevent gas line freeze in winter. It may also be helpful in evacuating people or in assisting ADEC personnel to get to work. ADEC personnel need to remain at work past the end of their work shift until another person can arrive.
7. **Hazardous Material Accident:** Any spillage of a hazardous chemical or radioactive material should be reported immediately to the police and fire department, 911. Assist all people in exiting the affected area. Do not panic. Once outside, move to a clear area at least 500 feet away from the affected area. Do not return unless told to do so by emergency personnel. If the hazardous material accident occurs outside, head inside immediately. Close all windows and doors. Shut off the ventilation system. Fashion a low-tech gas mask for yourself and all people you are supporting. Crumple a shirt or any other material at hand into a ball and hold it over your nose and mouth. Wetting it will get you more protection
8. **Wide-Spread Area, Internet Failure:** it is recognized that this would be a significant issue to address as nearly all elements of society are now dependent upon internet and cell phone ability to communicate, document and connect.
  - a. Plans are being implemented to ensure that in ADEC, Inc. own residential facilities, such as supervised group living, that if a land line is installed, that non-battery phones are readily available to plug in and use.
9. **Trash Removal:** In the even trash removal systems are disrupted in excess of one week, maintenance ADEC personnel will be notified so that the trash may be removed and placed in facility owned dumpsters.

10. **Disposal of Sewage:** In the event there is a disruption in the sewage provided either by the city or septic system that cannot be resolved by general maintenance of a licensed plumber or septic company, the facility will follow the plan for relocation until the issue has been resolved.
11. **Shelter In-Place:** In the event we are told by emergency management that we are to shelter in-place, the “shelter-in-place” protocol will be followed in each designated area.

## F. Missing Persons

1. ADEC personnel on duty must determine the appropriate time to begin a search, based on the weather, time of day, and the individual’s abilities, habits, needs, etc. A search for a missing person-served will begin immediately if not otherwise noted or specified in the individual’s PCISP or BMP as an acceptable behavior management technique. An individual’s PCISP or BMP may allow the individual to go for a “walk” from their site without ADEC personnel supervision to regain/diminish specific behaviors. A specified amount of time must be indicated on the individual’s ISP, for ADEC personnel to allow the individual to leave the site, if receiving 24-hour supports. If a person’s whereabouts is not known and that person has not been seen in the building within the number of hours or minutes specified by the PCISP or BMP, the ADEC personnel on duty shall begin a search for him or her. ADEC personnel should begin by:
  - a. Checking with other people he or she live with.
  - b. Checking with last place the individual was known to be.
  - c. Checking the individual’s immediate neighborhood. If a ADEC personnel person on duty is supervising more than one individual, and there are no other ADEC personnel present who can remain with the other individuals while the ADEC personnel person searches for the missing individual, then ADEC personnel should stay with the remaining individuals served and move directly to **calling 911**.
2. ADEC personnel will contact supervisory personnel, as soon as possible.
3. ADEC personnel will notify missing persons by **calling 911**.
  - a. Explain individuals served level of disability, including diagnosis, physical and/or mental disabilities, circumstances and action taken thus far.
  - b. Provide physical descriptions and / or Photographs, as authorized, from the individual’s personal file.
4. Supervisory ADEC personnel will notify family, guardian, or other responsible parties as needed.
5. All actions will be documented as they are taken in the individual’s master files.
6. ADEC personnel will complete an Accident / Incident Report form and submit it to the supervisor and Director of Protective Services.

## G. Death

Policy 6.2.2 Case Record Closure Upon the Death of an Individuals served is ADEC, Inc.’s policy for when an individual served master file is closed if an individual served dies and no new information is entered it from the time of death forward. The purpose of this policy is to ensure the veracity and accuracy of the case record contents especially those leading up to the death of the individuals served.

It is the responsibility of the above service organizations to ensure the that policies are carried out for each of the individuals served they have primary program management for.

1. In the event of an individual served is suspected to have died in a residential setting, ADEC personnel on duty will:
  - a. Contact emergency help by **calling 911**. Be prepared to give a description of the person's condition.
  - b. Initiate CPR. You must always initiate CPR.
  - c. Do not touch or change anything in the area surrounding the individual, if possible.
  - d. Upon arrival of emergency service personnel: notification of coroner by EMS will be completed by EMS and removal of body will be completed according to state or county regulations.
  - e. Complete an Accident / Incident Report, documenting date, time and specific circumstances. Note what actions were taken to revive the person and what people/agencies were called. Follow procedures described in Policy 7.2.2.
  - f. ADEC personnel will notify supervisory personnel and Director of Protective Services.
  - g. Supervisory personnel will:
    - i. Notify the individual's next of kin, guardian, physician, case manager, state reporting agencies, and other responsible parties immediately.
    - ii. If a supervisory ADEC personnel cannot be reached immediately, the ADEC personnel on duty will do this.
  - h. The Program Director/QMRP will complete incident reporting to state agencies noting what actions were taken to revive the person, what people/agencies were called, who determined the death and on what objective basis, and the actions taken once death was determined.
    - i. See that personal belongings are handled in a responsible and legal manner.
    - ii. Assist in making funeral and burial arrangements if requested and/or necessary.
    - iii. If an autopsy is performed, based on wishes of guardian and/or others, secure a copy for the record.
    - iv. Records of a deceased individual will be retained for a period of 7 years following death, according to Policy 6.2.2.

## H. Medications

### Policy 7.2.1 Medication Administration Policy

It is the policy of ADEC, Inc. to ensure the safe administration of therapeutic medications to its person served in accordance with all legislative and regulatory requirements. ADEC, Inc. does not prescribe medication but does dispense and administer medications for many of its person served. When required ADEC, Inc. also maintains physical control of medication self-administered by persons served.

In the case of an emergency or disruptive event, every attempt will be made to maintain regularity in the disbursement of medications. A hardcopy of the medication requirement for individuals served in supervised group living or 24X7 residential supportive living will be maintained.

## I. Flu/ Pandemic Flu or Virus

### Transmission-based precautions

The spread of the flu or virus can shift to 'community transition. The best ways to protect yourself are to:

- I. Clean your hands often
  - o **Wash your hands** often with soap and water for at least 20 seconds especially before and after you have been in a public place, or after blowing your nose, coughing, or sneezing.



- If soap and water are not readily available, **use a hand sanitizer that contains at least 60% alcohol**. Cover all surfaces of your hands and rub them together until they feel dry.
- **Avoid touching your eyes, nose, and mouth** with unwashed hands.
- II. Cover coughs and sneezes
  - **Cover your mouth and nose** with a tissue when you cough or sneeze or use the inside of your elbow.
  - **Throw used tissues** in the trash.
  - Immediately **wash your hands** with soap and water for at least 20 seconds. If soap and water are not readily available, clean your hands with a hand sanitizer that contains at least 60% alcohol.
- III. Clean and disinfect
  - **Clean AND disinfect frequently touched surfaces daily**. This includes tables, doorknobs, light switches, countertops, handles, desks, phones, keyboards, toilets, faucets, and sinks.
  - **If surfaces are dirty, clean them**: Use detergent or soap and water prior to disinfection.
- IV. Contact with illness
  - **Avoid** close contact with people who are sick,
  - **Stay** home when you are sick – follow ADEC guidelines

In addition, ADEC may choose to limit visitation access, community-based activities, and volunteer engagements. ADEC may also have to alter programming services to minimize risks. This could possibly include temporarily suspending our facility-based services, transportation and other services. ADEC will monitor the situations and revise procedures as appropriate.

If attending a public event, encourage the use of “method of greeting” for that group. It might be an elbow bump, Spock’s Vulcan “live long and prosper” greeting, or a “jazz festival jig”. In addition, ask about extra hand-wash stations. If possible, have the people spread out a little more in the space.

### Coronavirus

Coronavirus is a type of respiratory illness. The typical or common coronaviruses circulate among humans and cause mild illness, like the common cold. Human coronaviruses most commonly spread from an infected person to others through:

- Respiratory droplets released into the air by coughing and sneezing;
- Close personal contact, such as touching or shaking hands;
- Touching an object or surface with the virus on it, then touching your mouth, nose, or eyes before washing your hands; and
- Rarely, fecal contamination

The Center for Disease Control does not recommend that people who are well wear a facemask to protect themselves from respiratory illnesses. You should only wear a mask if a healthcare professional recommends it. A facemask should be used by people who have the confirmed coronavirus and are showing symptoms to protect others from the risk of infection.

### Influenza

The best way to prevent getting influenza is by getting the vaccine. The CDC recommends getting the flu vaccine by the end of October. It takes approximately two weeks for the antibodies that protect against the flu to develop. Getting it later may still be of benefit since the flu season lasts through May.

Careful and frequent handwashing along with covering your mouth when coughing or sneezing can cut down on the spread of influenza or

Many insurance companies cover the cost of the influenza vaccine. Walmart, Meijer, CVS, and Walgreens have walk-in hours for immunizations. Many doctors' offices have nurse visits for vaccines. Consider getting the flu vaccine for your protection and the protection of your families and person served.

In the event of an outbreak of influenza:

1. Droplet precautions should be implemented for person served with suspected or confirmed influenza for seven days after illness onset or until 24 hours after the resolution of fever and respiratory symptoms, whichever is longer.
2. Symptomatic person served should stay in their own room as much as possible and have meals served separately from other person served. Place ill person served in a separate room if possible. If this is not possible, they may be placed in a room with another person served who has been diagnosed with influenza.
3. The PCP of the roommates should be contacted to advise of a positive influenza diagnosis and to request an antiviral for the roommates if possible.
4. Limit activities outside the person served's room.
5. PPE such as surgical masks should be worn when entering the room of a person served with influenza. Remove face mask when leaving person served's room and dispose of in a waste receptacle. If the person served needs to leave their room, a surgical mask should be worn. Wear gloves if hand contact with respiratory secretions is possible.
6. Frequent careful handwashing should be practiced by ADEC personnel and person served

### **Part C. Emergency Preparedness Plan Checklist**

The following checklist is guidance that may be used to help ensure that elements of the EPP are complete and ready to be implemented if needed.

- Establishment of an Agency Level Emergency Program Plan (EPP)
  - ADEC EPP annually reviewed and updated
- Robust Safety and Emergency Training across all programs
  - A developed training and testing plan
  - EPP training program
  - Emergency preparedness Testing
- Administrative / Operation Critical
  - Critical Task List for all functional areas
  - Critical Contact List of Executive Team, Program/Service Leadership Team
  - Contact Information for each facility services location
  - Contact for On-Call
- Personnel / ADEC
  - Re-assignment list
  - System to preserve, protect, secure medical documentation
  - Policies and procedures for use of volunteers
- Residential Operations
  - Facility specific policies and procedures for residential settings (group homes and 24X7 supportive living) and facility-based services (Day Services and ADEC Industries)

- Subsistence needs for ADEC personnel and individuals served at residential group homes
- Facilities / Non-Residential Operations
  - Address what services facility would be available to provide ‘quarantine’ or emergency holding services
  - Established procedures for tracking of ADEC personnel and individuals served within the facility during an emergency and upon movement to another facility
  - Plan for safe evacuation
  - Identification for and providing for sheltering in place
- Person served / Individuals Served
  - Arrangements with other ADEC facilities or non-ADEC facilities to receive individuals served
  - Consideration for Section 1135 DHHS Waiver
  - Method to share medical documentation
  - Method to share occupancy needs
  - Method for sharing appropriate EPP information with individuals served, families and guardians
- County / Local Officials
  - Includes cooperation and collaboration with Government Officials
  - Integrated Health Care Systems
- Communication Strategy
  - Media Statements – External media (all forums)
  - Communication plan with individuals served families, guardians, physicians
  - Communication plan to employees and Board of Directors
  - Communication plan with official contacts
  - Primary and alternate means for communication

**Reference Material**

**Policies:**

<b>Policy Number</b>	<b>Title</b>	<b>Responsible Party</b>
1.2.9	Succession Plan Policy	President / CEO
1.3.1	ADEC Facilities	President / CEO
1.3.3	Administrative and Operational Coverage of ADEC	President / CEO
1.8.1	Media Contacts	Communications Manager
2.1.4	Coverage of Vehicle Expenses Incurred by Employees Transporting Person served in Own Vehicle	VP Human Resources
2.1.7	Retention and Release of Employee Information	VP Human Resources
2.1.11	Verification of Background and Credentials of Employees, Volunteers and Consultants	VP Human Resources
2.1.16	Alcohol and Drug Testing Policy	VP Human Resources
2.1.21	Screening Applicants for Drugs	VP Human Resources
2.1.22	Substance Abuse Policy	VP Human Resources
3.1.9	Procedure for Ensuring Proper Insurance Coverage	VP Finance / Chief Financial Officer
6.2.1	Records Retention Retrieval and Destruction	VP Finance / Chief Financial Officer
6.2.2	Case Record Closure Upon the Death of a Person served	Chief Privacy Officer

7.1.1	Transportation Procedures	Director Maintenance and Transportation
7.2.1	Dispensing Medications at ADEC Facilities	Health Services Coordinator
7.2.2	Health Emergencies	Health Services Coordinator
7.2.3	Communicable Disease Policy	Health Services Coordinator
7.2.4	Quality Assurance for Medication Administration	Health Services Coordinator
7.2.5	Emergency First Aid/CPR Interventions	Health Services Coordinator
7.2.6	ADEC Health Policy	Health Services Coordinator
8.1.1	Safety Program	VP Human Resources
8.1.2	Transportation of Accident/Illness Victim in Day Programs and Services	VP Non-Residential Operations
9.1	Policies for the Protection of the Privacy of Protected Health Information	I/T Services Manager
9.2	Security Policies for the Protection of the Privacy of Protected Health Information	I/T Services Manager
10.1	Emergency Preparedness Plan	President / CEO
10.2	Inclement Weather Procedure Policy	Director Maintenance and Transportation
11.0	Safety Manual Policy	Safety Officer
11.1	Safety Manual - Bristol Campus	Safety Officer

**Referenced Documents L: Drive**

- Residential Manual – Supervised Group Living (RES MANUAL)
- Medical Procedure Manual – Residential Operations
- Disaster Recovery
- Safety Manuals

**Referenced Web information - [www.adecinc.com](http://www.adecinc.com)**

- Personnel Manual

**ADEC Essential Employee Verification Letters**



# ADEC

19670 STATE ROAD 120 | BRISTOL, IN 46507

574.848.7451 | FAX 574.848.5917

March 24<sup>th</sup>, 2020

To Whom It May Concern,

Please accept this letter as verification that the person holding this letter works in an essential position providing critical administrative support to ADEC Inc. ADEC Inc provides long-term supports and services to individuals with intellectual and developmental disabilities. This employee is scheduled to travel to and from their work site for key administrative duties that have been deemed essential for service continuation to individuals served by ADEC Inc.

If you have further questions, you may contact the appropriate person as listed below:

- Human Resources: 574-596-0060
- VP Finance / CFO: 574-229-7117
- VP of Community Outreach: 574-364-0426
- VP Chief Program Officer: 574-310-4003

Thank you.

Sincerely,

*Lisa Kendall*

Lisa Kendall, SHRM-CP  
Vice President of Human  
Resources ADEC, Inc

[www.adecinc.com](http://www.adecinc.com)

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

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

**ADEC**19670 STATE ROAD 120 | BRISTOL, IN 46507  
574.848.7451 | FAX 574.848.5917

March 24<sup>th</sup>, 2020

To Whom It May Concern,

Please accept this letter as verification that the person holding this letter works in an essential position providing critical long-term supports and services to individuals with intellectual and developmental disabilities on behalf of ADEC, Inc. This employee is scheduled to travel to and from their work site outside of usual business hours as part of their job responsibilities.

ADEC is a community-based provider of essential long-term supports and services to people with intellectual and developmental disabilities. A large portion of the individuals ADEC supports live in residential settings that require a trained employee to be physically at the site to conduct their assigned job responsibilities 24 hours a day, seven days a week.

If you have further questions, you may contact the on-call service for ADEC's Residential programs at one of the following numbers:

- St Joseph Group Homes: 574-349-5081
- Elkhart Group Homes: 574-536-2922
- Supported Living: 574-536-6026

Thank you.

Sincerely,

*Lisa Kendall*

Lisa Kendall, SHRM-CP  
Vice President of Human  
Resources ADEC, Inc

[www.adecinc.com](http://www.adecinc.com)

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

**ADEC, INC.**  
Bristol, Indiana

**FINANCIAL STATEMENTS**  
June 30, 2020 and 2019

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
Bristol, Indiana

FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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INDEPENDENT AUDITOR'S REPORT

Board of Directors  
ADEC, Inc.  
Bristol, Indiana

**Report on the Financial Statements**

We have audited the accompanying financial statements of ADEC, Inc. (the Organization), which comprise the balance sheets as of June 30, 2020 and 2019, and the related statements of activities, program and administrative expenses, and cash flows for the years then ended, and the related notes to the financial statements.

***Management's Responsibility for the Financial Statements***

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

***Auditor's Responsibility***

Our responsibility is to express an opinion on these financial statements based on our audits. We conducted our audits in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free from material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

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(Continued)

**Exhibit F. Audited Financials and 990 Tax**

**Opinion**

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of ADEC, Inc. as of June 30, 2020 and 2019, the changes in its net assets, its program and administrative expenses, and its cash flows for the years then ended in accordance with accounting principles generally accepted in the United States of America.

**Other Matter**

Our audits were conducted for the purpose of forming an opinion on the financial statements as a whole. The schedule of program service revenue is presented for purposes of additional analysis and is not a required part of the financial statements. Such information is the responsibility of management and was derived from and relates directly to the underlying accounting and other records used to prepare the financial statements. The information has been subjected to the auditing procedures applied in the audits of the financial statements and certain additional procedures, including comparing and reconciling such information directly to the underlying accounting and other records used to prepare the financial statements or to the financial statements themselves, and other additional procedures in accordance with auditing standards generally accepted in the United States of America. In our opinion, the information is fairly stated in all material respects in relation to the financial statements as a whole.

*Crowe LLP*  
Crowe LLP

Indianapolis, Indiana  
August 28, 2020

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
BALANCE SHEETS  
June 30, 2020 and 2019

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	<u>2020</u>	<u>2019</u>
<b>ASSETS</b>		
Cash and cash equivalents	\$ 267,639	\$ 286,550
Accounts receivable, net	1,458,154	1,520,287
Inventories	102,892	66,637
Investments	22,795,248	19,330,508
Other assets	147,237	9,572
Land, buildings, and equipment, net	<u>6,055,714</u>	<u>6,296,145</u>
	<u>\$ 30,826,884</u>	<u>\$ 27,509,699</u>
<b>LIABILITIES AND NET ASSETS</b>		
Accounts payable	\$ 329,293	\$ 61,087
Accrued salaries and related benefits	720,866	851,495
Accrued expenses and other liabilities	73,004	70,629
Paycheck Protection Program notes payable	<u>2,000,000</u>	<u>-</u>
Total liabilities	3,123,163	983,211
Net assets		
Without donor restrictions	25,477,951	24,238,806
With donor restrictions	<u>2,225,770</u>	<u>2,287,682</u>
Total net assets	<u>27,703,721</u>	<u>26,526,488</u>
	<u>\$ 30,826,884</u>	<u>\$ 27,509,699</u>

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See accompanying notes to financial statements.

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
STATEMENTS OF ACTIVITIES  
Years ended June 30, 2020 and 2019

	2020			2019		
	Without Donor Restrictions	With Donor Restrictions	Total	Without Donor Restrictions	With Donor Restrictions	Total
<b>Program service revenue</b>						
Residential services	\$ 13,320,310	\$ -	\$ 13,320,310	\$ 12,951,171	\$ -	\$ 12,951,171
Family services	538,975	-	538,975	439,311	-	439,311
Adult training and vocational services	4,014,322	-	4,014,322	4,713,414	-	4,713,414
Transportation	144,428	-	144,428	225,878	-	225,878
	<u>18,018,035</u>	<u>-</u>	<u>18,018,035</u>	<u>18,329,774</u>	<u>-</u>	<u>18,329,774</u>
Local support	642,977	-	642,977	586,371	-	586,371
Contributions	211,520	390	211,910	204,396	60,135	264,531
Grant income	48,925	-	48,925	-	-	-
Investment return	859,820	94,226	954,046	1,061,090	160,824	1,221,914
Gain (loss) on disposal of equipment	(613)	-	(613)	18,540	-	18,540
Other	173,567	-	173,567	54,759	-	54,759
Net assets released from restriction	156,528	(156,528)	-	148,042	(148,042)	-
Total revenue	<u>20,110,759</u>	<u>(61,912)</u>	<u>20,048,847</u>	<u>20,402,972</u>	<u>72,917</u>	<u>20,475,889</u>
<b>Program and administrative expenses</b>						
Residential services	11,256,365	-	11,256,365	10,131,993	-	10,131,993
Family services	602,361	-	602,361	533,943	-	533,943
Adult training and vocational services	4,033,778	-	4,033,778	4,658,003	-	4,658,003
Transportation	587,278	-	587,278	558,824	-	558,824
Total program expenses	16,479,782	-	16,479,782	15,882,763	-	15,882,763
Administrative	2,391,832	-	2,391,832	2,094,654	-	2,094,654
Total expenses	<u>18,871,614</u>	<u>-</u>	<u>18,871,614</u>	<u>17,977,417</u>	<u>-</u>	<u>17,977,417</u>
<b>Change in net assets</b>						
Net assets at beginning of year	1,239,145	(61,912)	1,177,233	2,425,555	72,917	2,498,472
	<u>24,238,806</u>	<u>2,287,682</u>	<u>26,526,488</u>	<u>21,813,251</u>	<u>2,214,765</u>	<u>24,028,016</u>
<b>Net assets at end of year</b>	<u>\$ 25,477,951</u>	<u>\$ 2,225,770</u>	<u>\$ 27,703,721</u>	<u>\$ 24,238,806</u>	<u>\$ 2,287,682</u>	<u>\$ 26,526,488</u>

See accompanying notes to financial statements.



**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
STATEMENT OF PROGRAM AND ADMINISTRATIVE EXPENSES  
Year ended June 30, 2020  
With comparative totals for the year ended June 30, 2019

	Residential Services	Family Services	Adult Training and Vocational Services	Transportation	Administrative	2020 Total	2019 Total	
<b>PERSONNEL</b>								
Salaries, taxes, and benefits	\$ 8,754,953	\$ 546,168	\$ 2,643,046	\$ 376,907	\$ 1,562,855	\$ 13,883,929	\$ 12,998,915	
<b>PRODUCTION</b>								
Wages and taxes	-	-	125,584	-	-	125,584	150,440	
<b>MATERIAL AND SUPPLIES</b>								
	610,297	8,157	437,769	1,326	63,151	1,120,700	1,141,708	
<b>FLEET OPERATIONS</b>								
	324,813	6,194	80,328	190,213	15,760	617,308	621,494	
<b>OCCUPANCY</b>								
	428,890	12,066	480,893	6,457	329,690	1,257,996	1,127,104	
<b>EQUIPMENT</b>								
	113,487	1,352	66,734	727	52,666	234,966	213,405	
<b>TECHNOLOGY</b>								
	<u>199,643</u>	<u>19,426</u>	<u>114,926</u>	<u>9,102</u>	<u>81,045</u>	<u>424,142</u>	<u>474,842</u>	
<b>OTHER OPERATING</b>								
Medicaid provider assessment	626,497	-	-	-	-	626,497	620,019	
Professional fees	161,298	4,268	24,141	2,044	154,838	346,589	394,232	
Other	<u>36,487</u>	<u>4,730</u>	<u>60,357</u>	<u>502</u>	<u>131,827</u>	<u>233,903</u>	<u>235,258</u>	
	<u>\$ 11,256,365</u>	<u>\$ 602,361</u>	<u>\$ 4,033,778</u>	<u>\$ 587,278</u>	<u>\$ 2,391,832</u>	<u>\$ 18,871,614</u>	<u>\$ 17,977,417</u>	

See accompanying notes to financial statements.

ADEC, INC.  
STATEMENT OF PROGRAM AND ADMINISTRATIVE EXPENSES  
Year ended June 30, 2019

	Residential services	Family services	Adult training and vocational services	Transportation	Administrative	2019 Total
<b>PERSONNEL</b>						
Salaries, taxes, and benefits	\$ 7,750,886	\$ 482,192	\$ 3,060,658	\$ 353,361	\$ 1,351,818	\$ 12,998,915
<b>PRODUCTION</b>						
Wages and taxes	-	-	150,440	-	-	150,440
<b>MATERIAL AND SUPPLIES</b>						
	541,094	9,689	553,089	503	37,333	1,141,708
<b>FLEET OPERATIONS</b>						
	327,913	3,205	87,692	183,305	19,379	621,494
<b>OCCUPANCY</b>						
	414,113	11,067	510,965	9,865	181,094	1,127,104
<b>EQUIPMENT</b>						
	99,062	228	72,961	2,043	39,111	213,405
<b>TECHNOLOGY</b>						
	<u>185,203</u>	<u>18,592</u>	<u>125,285</u>	<u>6,392</u>	<u>139,370</u>	<u>474,842</u>
<b>OTHER OPERATING</b>						
Medicaid provider assessment	620,019	-	-	-	-	620,019
Professional fees	175,366	3,334	28,656	2,653	184,223	394,232
Other	<u>18,337</u>	<u>5,636</u>	<u>68,257</u>	<u>702</u>	<u>142,326</u>	<u>235,258</u>
	<u>\$ 10,131,993</u>	<u>\$ 533,943</u>	<u>\$ 4,658,003</u>	<u>\$ 558,824</u>	<u>\$ 2,094,654</u>	<u>\$ 17,977,417</u>

See accompanying notes to financial statements.

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
STATEMENTS OF CASH FLOWS  
Years ended June 30, 2020 and 2019

	<u>2020</u>	<u>2019</u>
<b>Cash flows from operating activities</b>		
Change in net assets	\$ 1,177,233	\$ 2,498,472
Adjustments to reconcile change in net assets to net cash from operating activities		
Depreciation	629,815	564,236
(Gain) loss on disposal of equipment	613	(18,540)
Net realized and unrealized gains on investments	(417,033)	(666,560)
Restricted contributions received for endowment	(390)	(390)
Change in assets and liabilities		
Accounts receivable	62,133	(110,239)
Inventories	(36,255)	1,075
Other assets	(137,665)	(250)
Accounts payable	268,206	(323,403)
Accrued salaries and related benefits	(130,629)	80,541
Accrued expenses and other liabilities	<u>2,375</u>	<u>(283,976)</u>
Net cash from operating activities	1,418,403	1,740,966
<b>Cash flows from investing activities</b>		
Purchases of investments	(3,524,657)	(747,191)
Proceeds from sales of investments	476,950	554,676
Proceeds from sale of equipment	-	20,103
Purchases of buildings and equipment	<u>(389,997)</u>	<u>(1,832,160)</u>
Net cash from investing activities	(3,437,704)	(2,004,572)
<b>Cash flows from financing activities</b>		
Proceeds from restricted contributions	390	390
Proceeds from the Payment Protection Plan notes payable	<u>2,000,000</u>	<u>-</u>
Net cash from financing activities	<u>2,000,390</u>	<u>390</u>
Net change in cash and cash equivalents	(18,911)	(263,216)
Cash and cash equivalents at beginning of year	<u>286,550</u>	<u>549,766</u>
<b>Cash and cash equivalents at end of year</b>	<u>\$ 267,639</u>	<u>\$ 286,550</u>

See accompanying notes to financial statements.



## **Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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### **NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

Nature of Activities: ADEC, Inc. (the Organization) strives to promote an understanding of its mission and to encourage persons experiencing disabilities or other special challenges to maximize their potential. The Organization is a not-for-profit corporation which provides services primarily in Elkhart and St. Joseph Counties, Indiana.

Basis of Accounting: The financial statements have been prepared on the accrual basis of accounting in accordance with accounting principles generally accepted in the United States of America (U.S. GAAP).

Financial Statement Presentation: The financial statements report the changes in and totals of each net asset class based on the existence or absence of donor restrictions, as applicable. Net assets are classified as without donor restrictions or with donor restrictions and are detailed as follows:

Net assets without donor restrictions are net assets that are not subject to donor-imposed stipulations and may be expended for any purpose in performing the primary objectives of the Organization.

Net assets with donor restrictions are net assets subject to stipulations imposed by donors and grantors. Some donor restrictions are temporary in nature and will be met by actions of the Organization or by the passage of time. At June 30, 2020 and 2019, purpose or time restricted net assets consist of capital items of \$221,475 and \$311,830, respectively, whose restrictions are released as depreciation expense is recognized and unspent endowment earnings of \$349,981 and \$321,928, respectively, (Note 10). Other donor restrictions are perpetual in nature, where the donor has stipulated the funds be maintained in perpetuity. Net assets reported as perpetually restricted within these financial statements represent donor-restricted support received by the Organization in connection with the endowment. The endowment was established to support future needs of those individuals requiring services within the scope of the Organization's mission. The principal is maintained in perpetuity of \$1,654,314 and \$1,653,924, respectively. The income generated by the endowment is available to support current operations.

Use of Estimates: The preparation of financial statements in conformity with U.S. GAAP requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenue and expenses during the reporting period. Actual results could differ from those estimates.

Cash and Cash Equivalents: Cash and cash equivalents consist of bank deposits in accounts that are federally insured up to \$250,000. At times these amounts may exceed federally insured limits. Additionally, for purposes of the statements of cash flows, the Organization considers all highly liquid investments purchased with an original maturity of three months or less to be cash equivalents.

Investments: All investments are valued at their fair values in the balance sheets. Realized and unrealized gains and losses are included in the statements of activities. See Notes 3 and 9 for additional information on the nature of the Organization's investments.

Accounts Receivable: The accounts receivable balance represents the unpaid amounts billed to companies and third-party payors. Contractual adjustments, discounts, and an allowance for uncollectible accounts are recorded to report receivables for services at net realizable value. Past due receivables are determined based on contractual terms. The Organization does not accrue interest on any of its accounts receivables. Approximately 88% and 85% of the receivables related to residential and adult training services are from Medicaid at June 30, 2020 and 2019, respectively.

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(Continued)



## **Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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**NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**  
(Continued)

Land, Buildings, and Equipment: Property and equipment are stated at cost or, if donated to the Organization, at fair value on the date of acquisition. Additions and improvements over \$500 are capitalized; expenditures for routine maintenance are charged to operations. Depreciation is provided over the estimated useful lives of the various classes of assets on the straight-line method.

Gifts of long-lived assets such as land, buildings, and equipment are reported as support without donor restrictions unless explicit donor stipulations specify how the donated assets are to be used. Gifts of long-lived assets with explicit restrictions that specify how the assets are to be used and gifts of cash and other assets that must be used to acquire long-lived assets are reported as purpose or time restricted support. Absent explicit donor stipulations about how long-lived assets must be maintained, expirations of donor restrictions are reported when the donated or acquired long-lived assets are placed in service.

Impairment of Long-Lived Assets: The Organization reviews long-lived assets for impairment whenever events or circumstances indicate that the carrying amounts may be overstated. The Organization recognizes impairment losses if the undiscounted cash flows expected to be generated by the asset are less than the carrying value of the related asset. The impairment loss adjusts the assets to fair value. As of June 30, 2020 and 2019, management believes that no impairments existed.

Program Service Revenue: Resident service revenue is reported at the estimated net realizable amounts from residents, third-party payors and others for services rendered. These amounts include retroactive adjustments due to audits. Provisions for estimated third-party payor settlements are provided in the period the related services are rendered. Differences between the initial estimated amounts and final settlements are reported in operations in the year of settlement. Generally, the Organization bills the residents and third-party payors the month several days after the services are performed. Revenue is recognized as performance obligations are satisfied.

Performance obligations are determined based on the nature of the services provided by the Organization and are measured when services are performed for the residents. At that point in time, revenue is recognized. The Organization determines the transaction price based on standard charges for services provided. A summary of the payment arrangements with Medicaid is as follows:

Resident Service: The Organization is reimbursed for services rendered to state-sponsored Medicaid beneficiaries on a prospective payment basis, with potential settlements made on the difference between initial estimated rates and final settlement rates determined by Medicaid. No additional settlement will be made on the difference between the initial estimated rates paid and actual costs. Retroactive adjustments are made in future periods as final settlements are determined.

Adult Day Service: Day Program revenues represent non-residential waiver fees received for services provided on a per visit basis. The services primarily include adult habilitation at ADEC's five day service locations, as well as employment and family services including therapies and services to transport individuals to these programs.

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(Continued)

## Exhibit F. Audited Financials and 990 Tax

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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**NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**  
(Continued)

Under the terms of certain government reimbursed programs, providers of these services are subject to regulation by the program intermediaries. For Resident Service and Adult Day Service, payment for the services rendered is based upon "allowable cost" as defined by each program's regulations, and is subject to financial audit by the program intermediary. The residential group home programs reimbursed by the Indiana Family and Social Services Administration are subject to regulation and financial compliance review by the program intermediaries. Costs and reimbursements for the years ended June 30, 2017 through June 30, 2020 for certain programs remain subject to final financial compliance review by program intermediaries.

Contributions: Contributions received and unconditional promises to give are recorded as revenue without donor restrictions or revenue with donor restrictions depending on the existence of donor restrictions and the nature of such restrictions, if they exist. If a restriction is fulfilled in the same accounting period in which the contribution is received, the contribution is reported as without donor restrictions.

Functional Allocation of Expenses: The costs of providing various programs and other activities have been summarized on a functional basis in the statements of activities. Accordingly, certain costs have been allocated among the programs and supporting services benefited. For the years ended June 30, 2020 and 2019, fundraising expenses of \$9,094 and \$7,936, respectively, have been included in total administrative expense reported in the statements of activities.

Income Taxes: The Organization is exempt from income taxes on income from related activities under Section 501(c)(3) of the U.S. Internal Revenue Code and corresponding state tax law. Accordingly, no provision has been made for federal or state income taxes.

U.S. GAAP requires that a tax position is recognized as a benefit only if it is "more likely than not" that the tax position would be sustained in a tax examination, with a tax examination being presumed to occur. The amount recognized is the largest amount of tax benefit that is greater than 50% likely of being realized on examination. For tax positions not meeting the "more likely than not" test, no tax benefit is recorded.

The Organization's Form 990 has not been subject to examination by the Internal Revenue Service or the state of Indiana for the last three years. The Organization does not expect the total amount of unrecognized tax benefits to significantly change in the next 12 months. The Organization recognizes interest and/or penalties related to income tax matters in income tax expense. The Organization did not have any amounts accrued for interest and penalties at June 30, 2020 and 2019.

Recently Adopted Accounting Pronouncement: In May 2014, the Financial Accounting Standards Board (FASB) issued Accounting Standards Update (ASU) 2014-09, *Revenue from Contracts with Customers (Topic 606)*. This ASU supersedes the revenue recognition requirements in *Topic 605, Revenue Recognition*, and most industry-specific guidance. The core principle of the guidance is that an entity should recognize revenue to depict the transfer of promised goods or services to customers in an amount that reflects the consideration to which the entity expects to be entitled in exchange for those goods or services. The Organization adopted this guidance effective July 1, 2018 on a full retrospective basis.

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(Continued)



## **Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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### **NOTE 1 - NATURE OF ACTIVITIES AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES** (Continued)

The ASU provides a five-step model for recognition of revenue and its core principle is that a company should recognize revenue to depict the transfer of promised goods or services to customers in an amount that reflects the consideration to which the company expects to be entitled in exchange for those goods or services. To achieve the core principle, a company applies the five-step model of (1) identifying the contract(s) with a customer, (2) identifying the performance obligations in the contract, (3) determining the transaction price, (4) allocating the transaction price to the performance obligation in the contract, and (5) recognizing revenue when (or as) the entity satisfies a performance obligation.

Reclassifications: Certain reclassifications have been made to present last year's financial statements on a basis comparable to the current year's financial statements. These reclassifications had no effect on the change in net assets.

Subsequent Events: Management has performed an analysis of the activities and transactions subsequent to June 30, 2020 to determine the need for any adjustments to and/or disclosures within the financial statements for the year ended June 30, 2020. The Organization has evaluated subsequent events for recognition and disclosure through August 28, 2020, which is the date the financial statements were available to be issued.

### **NOTE 2 - LIQUIDITY AND AVAILABILITY**

Financial assets available for general expenditure, that is, without donor or other restrictions limiting their use, within one year of the balance sheet date, comprise the following:

	<u>2020</u>	<u>2019</u>
Cash and cash equivalents	\$ 267,639	\$ 286,550
Accounts receivable, net	1,458,154	1,520,287
Investments	22,795,248	19,330,508
Less net assets with donor restrictions	<u>(2,225,770)</u>	<u>(2,287,682)</u>
	<u>\$ 22,295,271</u>	<u>\$ 18,849,663</u>

As part of the Organization's liquidity management plan, management invests cash in excess of daily requirements in short-term investments, certificates of deposit, and money market funds. The Organization has a goal to maintain financial assets, which consist of cash and short-term investments, on hand to meet 60 days of normal operating expenses. The Organization has a policy to structure its financial assets to be available as its general expenditures, liabilities, and other obligations come due. The Organization typically collects most accounts receivable within two months of the date of service. Collections by payor type may vary based on payor source liquidity and timeliness of claims processing. In the event of an unanticipated liquidity need, the Organization also could draw upon its available line of credit (as further discussed in Note 5).

The Organization's endowment funds consists of donor-restricted endowments. Income from donor-restricted endowments is available for general use. Donor-restricted endowment funds are not available for general expenditure (Note 10).

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(Continued)

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

**NOTE 3 - INVESTMENTS**

The following is an analysis of fair value at June 30 by type of investment:

	<u>2020</u>	<u>2019</u>
Money market funds	\$ 3,530,014	\$ 489,963
Certificates of deposit	1,221,408	2,264,391
U. S. Government obligations	2,551,867	3,143,992
Corporate bonds	824,682	1,372,090
Mutual funds:		
Equity	4,892,128	4,548,286
Fixed income	2,566,756	2,493,178
Common stocks:		
Consumer discretionary	726,728	697,866
Consumer staples	1,385,986	968,292
Energy	159,852	296,963
Financial	1,924,252	771,681
Industrials	628,194	561,820
Technology	894,752	620,455
Communications	1,392,594	996,563
Other	<u>96,035</u>	<u>104,968</u>
	<u>\$ 22,795,248</u>	<u>\$ 19,330,508</u>

Investment return is composed of the following for the years ended June 30:

	<u>2020</u>	<u>2019</u>
Interest and dividend income	\$ 537,013	\$ 555,354
Net realized and unrealized gain on investments	<u>417,033</u>	<u>666,560</u>
	<u>\$ 954,046</u>	<u>\$ 1,221,914</u>

The various investments in bonds, stocks, securities, mutual funds, and other investments are exposed to a variety of uncertainties, including interest rate, market and credit risks. Due to the level of risk associated with certain investments, it is possible that changes in the values of these investments could occur in the near term. Such changes could materially affect the amounts reported in the financial statements of the Organization.

At June 30, 2020 and 2019, the Organization considers \$3,013,342 and \$2,562,342, respectively, of investments to be available for operating purposes, as needed.

(Continued)

## **Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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### **NOTE 4 - LAND, BUILDINGS, AND EQUIPMENT**

At June 30, land, buildings, and equipment consist of the following:

	<u>2020</u>	<u>2019</u>
Land	\$ 516,316	\$ 516,316
Land improvements	438,156	417,553
Buildings and improvements	10,688,992	10,499,652
Equipment	2,958,386	2,883,701
Vehicles	1,288,973	1,239,554
Construction in progress	<u>19,640</u>	<u>-</u>
	15,910,463	15,556,776
Accumulated depreciation	<u>(9,854,749)</u>	<u>(9,260,631)</u>
	<u>\$ 6,055,714</u>	<u>\$ 6,296,145</u>

Depreciation expense for the years ended June 30, 2020 and 2019 was \$629,815 and \$564,236, respectively.

### **NOTE 5 - LINE OF CREDIT**

At June 30, 2020 and 2019, the Organization maintained an unsecured \$1,500,000 line of credit with a bank. The interest was at prime rate plus 0.15% with a floor of 4%, resulting in a rate of 4.40% at June 30, 2020 and 5.65% at June 30, 2019. The Organization had no outstanding borrowings on the line at June 30, 2020 and 2019. The line of credit expires on January 31, 2022.

### **NOTE 6 - LEASE COMMITMENTS**

The Organization has entered into operating leases primarily for building, equipment, and vehicle rental, that have various expiration dates running through fiscal year 2023. The following schedule presents, by year, the future minimum lease payments under the noncancelable leases as of June 30, 2020:

2021	\$ 314,303
2022	281,453
2023	<u>208,350</u>
	<u>\$ 804,106</u>

Total rent and lease expense for the years ended June 30, 2020 and 2019 was \$389,044 and \$390,893, respectively.

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(Continued)



## **Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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### **NOTE 7 - EMPLOYEE BENEFIT RETIREMENT PLAN**

The Organization maintains a tax sheltered annuity plan, provided for in Internal Revenue Code Section 403(b) for any employee who is expected to work 20 or more hours per week and 1,000 hours per year. The Organization's plan is subject to the audit requirements prescribed by the United States of America's Department of Labor. For the years ended June 30, 2020 and 2019, the amount of the contribution to the plan represents 50% of the employee's contribution up to 6% of the employee's gross pay. The Organization contributed \$131,049 and \$127,707 to the plan for the years ended June 30, 2020 and 2019, respectively.

### **NOTE 8 - SELF-FUNDED HEALTH INSURANCE**

The Organization is liable for employee's healthcare claims up to \$60,000 per employee and unlimited in total for the year ended June 30, 2020. The Organization has third-party insurance coverage for any claims in excess of such amounts. Costs are accrued based on claims reported as of the balance sheet date as well as an estimated liability for claims incurred but not reported of \$116,665 and \$222,993 at June 30, 2020 and 2019, respectively. The expense for this plan, including health, life, and disability insurance coverage, for the years ended June 30, 2020 and 2019 was \$851,195 and \$893,574, respectively.

During the year ended June 30, 2020, the Organization, as a result of renewing its reinsurance contract did not become responsible for additional lasered healthcare claims in excess of the \$60,000 per claim per employee. During the year ended June 30, 2019, there was an additional \$225,000 of additional responsibility for such lasered healthcare claims.

### **NOTE 9 - FAIR VALUE MEASUREMENTS OF FINANCIAL INSTRUMENTS**

U.S. GAAP defines fair value as the price that would be received for an asset or paid to transfer a liability (an exit price) in the Organization's principal or most advantageous market for the asset or liability in an orderly transaction between market participants on the measurement date.

A fair value hierarchy requires an entity to maximize the use of observable inputs and minimize the use of unobservable inputs when measuring fair value. There are three levels of inputs that may be used to measure fair value:

Level 1: Quoted prices (unadjusted) for identical assets or liabilities in active markets that the entity has the ability to access as of the measurement date. The fair values of money market funds, mutual funds, real estate investment trusts, and common stocks that are readily marketable are determined by obtaining quoted prices on nationally recognized securities exchanges.

Level 2: Significant other observable inputs other than Level 1 prices such as quoted prices for similar assets or liabilities; quoted prices in markets that are not active; or other inputs that are observable or can be corroborated by observable market data. The fair values of certificates of deposit are determined through inquiries of financial institutions from which they originated. The fair values are typically the original principal value plus accrued interest earned with no discounts for credit quality or liquidity determined to be applicable. The fair values of the Organization's U.S. Government debt obligations and corporate bonds were determined by matrix pricing, which is a mathematical technique widely used in the industry to value debt securities without relying exclusively on quoted prices for the specific securities but rather by relying on the securities' relationship to other benchmark-quoted securities.

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(Continued)

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

**NOTE 9 - FAIR VALUE MEASUREMENTS OF FINANCIAL INSTRUMENTS (Continued)**

Level 3: Significant unobservable inputs that reflect a reporting entity's own assumptions about the assumptions that market participants would use in pricing an asset or liability. The Organization has no financial instruments valued with Level 3 inputs.

In many cases, a valuation technique used to measure fair value includes inputs from multiple levels of the fair value hierarchy. The lowest level of significant input determines the placement of the entire fair value measurement in the hierarchy.

Assets measured at fair value on a recurring basis are summarized below:

	Fair Value Measurements at June 30, 2020		
	Level 1	Level 2	Total
Investments:			
Money market funds	\$ 3,530,014	\$ -	\$ 3,530,014
Certificates of deposit	-	1,221,408	1,221,408
U.S. Government obligations	-	2,551,867	2,551,867
Corporate bonds	-	824,682	824,682
Mutual funds:			
Equity	4,892,128	-	4,892,128
Fixed income	2,566,756	-	2,566,756
Common stocks:			
Consumer discretionary	726,728	-	726,728
Consumer staples	1,385,986	-	1,385,986
Energy	159,852	-	159,852
Financial	1,924,252	-	1,924,252
Industrials	628,194	-	628,194
Technology	894,752	-	894,752
Communications	1,392,594	-	1,392,594
Other	96,035	-	96,035
Total investments	<u>\$ 18,197,291</u>	<u>\$ 4,597,957</u>	<u>\$ 22,795,248</u>

(Continued)



**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

**NOTE 9 - FAIR VALUE MEASUREMENTS OF FINANCIAL INSTRUMENTS (Continued)**

	<u>Fair Value Measurements at June 30, 2019</u>		
	<u>Level 1</u>	<u>Level 2</u>	<u>Total</u>
Investments:			
Money market funds	\$ 489,963	\$ -	\$ 489,963
Certificates of deposit	-	2,264,391	2,264,391
U.S. Government obligations	-	3,143,992	3,143,992
Corporate bonds	-	1,372,090	1,372,090
Mutual funds:			
Equity	4,548,286	-	4,548,286
Fixed income	2,493,178	-	2,493,178
Common stocks:			
Consumer discretionary	697,866	-	697,866
Consumer staples	968,292	-	968,292
Energy	296,963	-	296,963
Financial	771,681	-	771,681
Industrials	561,820	-	561,820
Technology	620,455	-	620,455
Communications	996,563	-	996,563
Other	104,968	-	104,968
	<u>\$ 12,550,035</u>	<u>\$ 6,780,473</u>	<u>\$ 19,330,508</u>
Total investments			

**NOTE 10 - ENDOWMENT COMPOSITION**

The Organization's endowment is primarily invested in mutual funds. As required by U.S. GAAP, net assets associated with the Organization's donor-restricted endowment funds are classified and reported based on the existence or absence of donor-imposed restrictions.

Endowment net asset composition as of June 30 is as follows:

2020:

	<u>Accumulated Earnings</u>	<u>Original Gift</u>	<u>Total</u>
Donor-restricted	\$ 349,981	\$ 1,654,314	\$ 2,004,295
Total endowment	<u>\$ 349,981</u>	<u>\$ 1,654,314</u>	<u>\$ 2,004,295</u>

2019:

	<u>Accumulated Earnings</u>	<u>Original Gift</u>	<u>Total</u>
Donor-restricted	\$ 321,928	\$ 1,653,924	\$ 1,975,852
Total endowment	<u>\$ 321,928</u>	<u>\$ 1,653,924</u>	<u>\$ 1,975,852</u>

(Continued)

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

**NOTE 10 - ENDOWMENT COMPOSITION** (Continued)

Changes in endowment net assets for years ended June 30, 2020 and 2019 were as follows:

2020:

	<u>Accumulated Earnings</u>	<u>Original Gift</u>	<u>Total</u>
Beginning balance	\$ 321,928	\$ 1,653,924	\$ 1,975,852
Interest and dividend income	53,038	-	53,038
Realized and unrealized gain on investments	41,188	-	41,188
Additions	-	390	390
Appropriations for expenditure	<u>(66,173)</u>	<u>-</u>	<u>(66,173)</u>
Total endowment	<u>\$ 349,981</u>	<u>\$ 1,654,314</u>	<u>\$ 2,004,295</u>

2019:

	<u>Accumulated Earnings</u>	<u>Original Gift</u>	<u>Total</u>
Beginning balance	\$ 227,261	\$ 1,653,534	\$ 1,880,795
Interest and dividend income	73,094	-	73,094
Realized and unrealized gain on investments	87,730	-	87,730
Additions	-	390	390
Appropriations for expenditure	<u>(66,157)</u>	<u>-</u>	<u>(66,157)</u>
Total endowment	<u>\$ 321,928</u>	<u>\$ 1,653,924</u>	<u>\$ 1,975,852</u>

Interpretation of UPMIFA: The Organization has interpreted Indiana's version of the Uniform Prudent Management of Institutional Funds Act (UPMIFA) as requiring the preservation of the fair value of the original gift as of the gift date of the donor-restricted endowment funds absent explicit donor stipulations to the contrary.

As a result of this interpretation, the Organization classifies as net assets with donor restrictions (a) the original value of gifts donated to the permanent endowment, (b) the original value of subsequent gifts to the permanent endowment, and if applicable (c) accumulations to the permanent endowment made in accordance with the direction of the applicable donor gift instrument at the time the accumulation is added to the fund until those amounts are appropriated for expenditure by the Organization in a manner consistent with the standard of prudence prescribed by UPMIFA. In accordance with UPMIFA, the Organization considers the following factors in making a determination to appropriate or accumulate donor-restricted endowment funds:

- (1) The duration and preservation of the fund
- (2) The purposes of the Organization and the donor-restricted endowment fund
- (3) General economic conditions
- (4) The possible effect of inflation and deflation
- (5) The expected total return from income and the appreciation of investments
- (6) Other resources of the Organization
- (7) The investment policies of the Organization

(Continued)



## **Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
NOTES TO FINANCIAL STATEMENTS  
June 30, 2020 and 2019

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### **NOTE 10 - ENDOWMENT COMPOSITION (Continued)**

Return Objectives and Risk Parameters: The Organization has adopted investment and spending policies for endowment assets that attempt to provide a predictable stream of funding to programs supported by its endowment while seeking to maintain the purchasing power of the endowment assets. Endowment assets include those assets of donor-restricted funds that the Organization must hold in perpetuity or for a donor-specified period(s). Under this policy, as approved by the Board of Directors, the endowment assets are invested in a manner that is intended to produce real portfolio growth which is reflective of the investment opportunities available in the market place, which exceed the underlying inflationary rate.

Strategies Employed for Achieving Objectives: The purpose of the endowment fund is to facilitate donors' desires to make substantial long-term gifts to the Organization to develop a significant source of revenue to support the endeavors of the Organization.

Spending Policy and How the Investment Objectives Relate to Spending Policy: Distributions shall not exceed 4% of the average principal balance of the previous fiscal year unless approved by the Finance Committee and the Board of Directors.

Fund with Deficiencies: From time to time, the fair value of assets associated with individual donor restricted endowment funds may fall below the level that the donors require the Organization to maintain. Cumulative deficiencies of this nature that are in excess of related purpose or time restricted amounts are reported in net assets with donor restrictions. There were no such deficiencies as of June 30, 2020 or 2019.

### **NOTE 11 - RECENT EVENTS**

In December 2019, a novel strain of coronavirus surfaced in Wuhan, China, and has spread around the world, with resulting business and social disruption. The coronavirus was declared a Public Health Emergency of International Concern by the World Health Organization on January 30, 2020. The operations and business results of the Organization could be materially adversely affected. Significant estimates as disclosed in Note 1, including valuation of investments, may be materially adversely impacted by national events designed to contain the coronavirus. In March 2020, the Day Services, Employment Services, Family Services and Transportation Services programs as well as the coffee shop closed and reopened in June 2020, while ADEC Industries closed in March 2020 and reopened in July 2020.

The Bureau of Developmental Disabilities created the Sustainability Grant to provide support to Home and Community Based Service (HCBS) Waiver and Omnibus Budget Reconciliation Act (OBRA) Providers who provide Adult Day, Facility Hab Waivers or OBRA programs that had to close or suspend services due to the coronavirus. The Organization has been approved for approximately \$184,000.

The Coronavirus Aid, Relief, and Economic Security (CARES) Act also established the Paycheck Protection Program (PPP) which is a loan program that is intended to provide American not-for-profit and small businesses with cash-flow assistance through federally guaranteed loans. The loans have a maturity rate of two years and an interest rate of 1% with no fees and no payments required for the first six months and no collateral or personal guarantees required. The loans have the ability to have a substantial portion forgiven. During April 2020, the Organization received \$2,000,000 under the PPP included in the Paycheck Protection Program notes payable on the balance sheet. The PPP loan contains events of default and other provisions customary for a loan of this type. The Payment Protection Program provides that (1) the use of the PPP loan amount shall be limited to certain qualifying expenses, (2) 100 percent of the principal amount is guaranteed by the Small Business Administration and (3) an amount up to the full principal amount may qualify for loan forgiveness following the terms of the CARES Act. The amount to be forgiven is indeterminate as of the issuance date of these financial statements. As of June 30, 2020, the Organization was in full compliance with all covenants concerning the PPP loan.

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***Exhibit F. Audited Financials and 990 Tax***

**SUPPLEMENTARY INFORMATION**

**Exhibit F. Audited Financials and 990 Tax**

ADEC, INC.  
**SCHEDULE OF PROGRAM SERVICE REVENUE**  
 Year ended June 30, 2020  
 With comparative totals for the year ended June 30, 2019

	Residential Services	Family Services	Adult Training and Vocational Services	Transportation	2020 Total	2019 Total
Day programs	\$ 189,163	\$ 445,426	\$ 2,328,015	\$ 90,919	\$ 3,053,523	\$ 3,346,634
Residential programs	13,121,515	81,819	679,398	53,109	13,935,841	13,740,383
Industrial services	-	-	902,134	-	902,134	979,046
Grant income	-	-	-	-	-	116,372
Other	<u>9,632</u>	<u>11,730</u>	<u>104,775</u>	<u>400</u>	<u>126,537</u>	<u>147,339</u>
Total	<u>\$ 13,320,310</u>	<u>\$ 538,975</u>	<u>\$ 4,014,322</u>	<u>\$ 144,428</u>	<u>\$ 18,018,035</u>	<u>\$ 18,329,774</u>

See accompanying notes to financial statements.

PUBLIC DISCLOSURE COPY

Form **990**

**Return of Organization Exempt From Income Tax**

OMB No. 1545-0047

**2019**

**Open to Public Inspection**

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

Do not enter social security numbers on this form as it may be made public.

Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

Department of the Treasury  
Internal Revenue Service

**A** For the 2019 calendar year, or tax year beginning 07/01, 2019, and ending 06/30, 20 20

**B** Check if applicable:  
 Address change  
 Name change  
 Initial return  
 Final return/terminated  
 Amended return  
 Application pending

**C** Name of organization ADEC, INC.  
 Doing business as \_\_\_\_\_  
 Number and street (or P.O. box if mail is not delivered to street address) Room/suite  
19670 STATE ROAD 120  
 City or town, state or province, country, and ZIP or foreign postal code  
BRISTOL, IN 46507-9131

**D** Employer identification number  
35-1060633

**E** Telephone number  
(574) 848-7451

**G** Gross receipts \$ 20,109,377

**H(a)** Is this a group return for subordinates?  Yes  No  
**H(b)** Are all subordinates included?  Yes  No  
 If "No," attach a list. (see instructions)  
**H(c)** Group exemption number ▶ \_\_\_\_\_

**I** Tax-exempt status:  501(c)(3)  501(c) ( ) ◀ (insert no.)  4947(a)(1) or  527

**J** Website: ▶ WWW.ADECINC.COM

**K** Form of organization:  Corporation  Trust  Association  Other ▶ \_\_\_\_\_

**L** Year of formation: 1952 **M** State of legal domicile: IN

**Part I Summary**

Activities & Governance	<b>1</b>	Briefly describe the organization's mission or most significant activities: <u>ADEC PROUDLY ADVOCATES FOR AND SERVES PEOPLE WITH DEVELOPMENTAL AND INTELLECTUAL DISABILITIES SO THEY LIVE LIVES FULL OF INFORMED CHOICE AND POSSIBILITY.</u>		
	<b>2</b>	Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.		
	<b>3</b>	Number of voting members of the governing body (Part VI, line 1a)	<b>3</b>	<b>11</b>
	<b>4</b>	Number of independent voting members of the governing body (Part VI, line 1b)	<b>4</b>	<b>11</b>
	<b>5</b>	Total number of individuals employed in calendar year 2019 (Part V, line 2a)	<b>5</b>	<b>665</b>
	<b>6</b>	Total number of volunteers (estimate if necessary)	<b>6</b>	<b>100</b>
	<b>7a</b>	Total unrelated business revenue from Part VIII, column (C), line 12	<b>7a</b>	<b>0</b>
<b>b</b>	Net unrelated business taxable income from Form 990-T, line 39	<b>7b</b>	<b>0</b>	
Revenue	<b>8</b>	Contributions and grants (Part VIII, line 1h)	Prior Year <u>875,928</u>	Current Year <u>903,812</u>
	<b>9</b>	Program service revenue (Part VIII, line 2g)	<u>18,356,948</u>	<u>18,191,209</u>
	<b>10</b>	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	<u>674,567</u>	<u>528,912</u>
	<b>11</b>	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	<u>2,559</u>	<u>393</u>
	<b>12</b>	Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12)	<u>19,910,002</u>	<u>19,624,326</u>
Expenses	<b>13</b>	Grants and similar amounts paid (Part IX, column (A), lines 1–3)	<u>0</u>	<u>0</u>
	<b>14</b>	Benefits paid to or for members (Part IX, column (A), line 4)	<u>0</u>	<u>0</u>
	<b>15</b>	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10)	<u>13,149,354</u>	<u>14,009,505</u>
	<b>16a</b>	Professional fundraising fees (Part IX, column (A), line 11e)	<u>0</u>	<u>0</u>
	<b>b</b>	Total fundraising expenses (Part IX, column (D), line 25) ▶ <u>9,094</u>		
	<b>17</b>	Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e)	<u>4,828,063</u>	<u>4,862,109</u>
	<b>18</b>	Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25)	<u>17,977,417</u>	<u>18,871,614</u>
<b>19</b>	Revenue less expenses. Subtract line 18 from line 12	<u>1,932,585</u>	<u>752,712</u>	
Net Assets or Fund Balances	<b>20</b>	Total assets (Part X, line 16)	Beginning of Current Year <u>27,509,699</u>	End of Year <u>30,826,884</u>
	<b>21</b>	Total liabilities (Part X, line 26)	<u>983,211</u>	<u>3,123,163</u>
	<b>22</b>	Net assets or fund balances. Subtract line 21 from line 20	<u>26,526,488</u>	<u>27,703,721</u>

**Part II Signature Block**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

**Sign Here**

Signature of officer \_\_\_\_\_ Date \_\_\_\_\_  
DONNA L. BELUSAR, PRESIDENT/CEO  
 Type or print name and title

**Paid Preparer Use Only**

Print/Type preparer's name JACQUELINE COBURN Preparer's signature *Jaqueline A. Coburn* Date 9/25/2020 Check  if self-employed PTIN P00244301  
 Firm's name ▶ CROWE LLP Firm's EIN ▶ 35-0921680  
 Firm's address ▶ 750 N ST PAUL, SUITE 850, DALLAS, TX 75201 Phone no. (214) 777-5200

May the IRS discuss this return with the preparer shown above? (see instructions)  Yes  No

For Paperwork Reduction Act Notice, see the separate instructions.

Cat. No. 11282Y

Form **990** (2019)



**Exhibit F. Audited Financials and 990 Tax**

Form **8879-EO**

**IRS e-file Signature Authorization  
for an Exempt Organization**

OMB No. 1545-1878

For calendar year 2019, or fiscal year beginning 07/01, 2019, and ending 06/30, 20 20

Department of the Treasury  
Internal Revenue Service

▶ **Do not send to the IRS. Keep for your records.**  
▶ **Go to [www.irs.gov/Form8879EO](http://www.irs.gov/Form8879EO) for the latest information.**

**2019**

Name of exempt organization <u>ADEC, INC.</u>	Employer identification number <u>35-1060633</u>
Name and title of officer <u>DONNA L. BELUSAR, PRESIDENT/CEO</u>	

**Part I Type of Return and Return Information (Whole Dollars Only)**

Check the box for the return for which you are using this Form 8879-EO and enter the applicable amount, if any, from the return. If you check the box on line 1a, 2a, 3a, 4a, or 5a, below, and the amount on that line for the return being filed with this form was blank, then leave line 1b, 2b, 3b, 4b, or 5b, whichever is applicable, blank (do not enter -0-). But, if you entered -0- on the return, then enter -0- on the applicable line below. **Do not** complete more than one line in Part I.

1a Form 990 check here ▶ <input checked="" type="checkbox"/>	b Total revenue, if any (Form 990, Part VIII, column (A), line 12) . . .	<b>1b</b>	<u>19,624,326</u>
2a Form 990-EZ check here ▶ <input type="checkbox"/>	b Total revenue, if any (Form 990-EZ, line 9) . . . . .	<b>2b</b>	
3a Form 1120-POL check here ▶ <input type="checkbox"/>	b Total tax (Form 1120-POL, line 22) . . . . .	<b>3b</b>	
4a Form 990-PF check here ▶ <input type="checkbox"/>	b Tax based on investment income (Form 990-PF, Part VI, line 5) . . .	<b>4b</b>	
5a Form 8868 check here ▶ <input type="checkbox"/>	b Balance Due (Form 8868, line 3c) . . . . .	<b>5b</b>	

**Part II Declaration and Signature Authorization of Officer**

Under penalties of perjury, I declare that I am an officer of the above organization and that I have examined a copy of the organization's 2019 electronic return and accompanying schedules and statements and to the best of my knowledge and belief, they are true, correct, and complete. I further declare that the amount in Part I above is the amount shown on the copy of the organization's electronic return. I consent to allow my intermediate service provider, transmitter, or electronic return originator (ERO) to send the organization's return to the IRS and to receive from the IRS (a) an acknowledgement of receipt or reason for rejection of the transmission, (b) the reason for any delay in processing the return or refund, and (c) the date of any refund. If applicable, I authorize the U.S. Treasury and its designated Financial Agent to initiate an electronic funds withdrawal (direct debit) entry to the financial institution account indicated in the tax preparation software for payment of the organization's federal taxes owed on this return, and the financial institution to debit the entry to this account. To revoke a payment, I must contact the U.S. Treasury Financial Agent at 1-888-353-4537 no later than 2 business days prior to the payment (settlement) date. I also authorize the financial institutions involved in the processing of the electronic payment of taxes to receive confidential information necessary to answer inquiries and resolve issues related to the payment. I have selected a personal identification number (PIN) as my signature for the organization's electronic return and, if applicable, the organization's consent to electronic funds withdrawal.

**Officer's PIN: check one box only**

I authorize CROWE LLP to enter my PIN 

6	0	6	3	3
---	---	---	---	---

 as my signature

ERO firm name Enter five numbers, but do not enter all zeros

on the organization's tax year 2019 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I also authorize the aforementioned ERO to enter my PIN on the return's disclosure consent screen.

As an officer of the organization, I will enter my PIN as my signature on the organization's tax year 2019 electronically filed return. If I have indicated within this return that a copy of the return is being filed with a state agency(ies) regulating charities as part of the IRS Fed/State program, I will enter my PIN on the return's disclosure consent screen.

Officer's signature ▶ Donna L. Belusar Date ▶ September 25, 2020

**Part III Certification and Authentication**

ERO's EFIN/PIN. Enter your six-digit electronic filing identification number (EFIN) followed by your five-digit self-selected PIN. 

3	5	5	6	2	4	2	1	6	8	0
---	---	---	---	---	---	---	---	---	---	---

Do not enter all zeros

I certify that the above numeric entry is my PIN, which is my signature on the 2019 electronically filed return for the organization indicated above. I confirm that I am submitting this return in accordance with the requirements of Pub. 4163, Modernized e-File (MeF) Information for Authorized IRS e-file Providers for Business Returns.

ERO's signature ▶ Jacqueline A. Giblin Date ▶ 9/25/2020

**ERO Must Retain This Form — See Instructions  
Do Not Submit This Form to the IRS Unless Requested To Do So**



Exhibit F. Audited Financials and 990 Tax

Part III Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III [X]

- 1 Briefly describe the organization's mission: ADEC PROUDLY ADVOCATES FOR AND SERVES PEOPLE WITH INTELLECTUAL AND DEVELOPMENTAL DISABILITIES SO THEY LIVE LIVES FULL OF INFORMED CHOICE AND POSSIBILITY. THIS INCLUDES THE BELIEF THAT ADEC CLIENTS SHOULD HAVE "A LIFE OF THEIR OWN" WHICH INCLUDES DIGNITY, THE OPPORTUNITY TO BE EMPLOYED, AND THE CHANCE TO BE A PART OF THEIR COMMUNITY. (CONTINUED ON SCHEDULE O)
2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? [ ] Yes [X] No
3 Did the organization cease conducting, or make significant changes in how it conducts, any program services? [ ] Yes [X] No
4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4a (Code: ) (Expenses \$ 11,256,365 including grants of \$ 0 ) (Revenue \$ 13,493,484 )
RESIDENTIAL SERVICES INCLUDES SUPERVISED GROUP LIVING AND SUPPORTED LIVING SERVICES. BOTH SERVE ADULTS WITH INTELLECTUAL DISABILITIES IN EITHER A GROUP HOME SETTING OR THEIR OWN HOME OR APARTMENT WITH THE SUPPORT OF TRAINED STAFF ASSISTANCE. ADEC'S GROUP RESIDENCES ARE LOCATED IN COMMUNITY NEIGHBORHOODS. WE PROVIDE INDIVIDUALIZED SUPPORT AND TEACHING IN THE AREA OF PERSONAL DEVELOPMENT AND SOCIALIZATION. WE ARE OUTCOME DRIVEN AND SUPPORT INDIVIDUALS WITH VARIOUS EMOTIONAL AND BEHAVIORAL NEEDS. INDIVIDUALS HAVE THE OPPORTUNITY TO ATTEND SOCIAL ACTIVITIES ON A DAILY BASIS. HOMES ARE LOCATED IN RESIDENTIAL AREAS WHERE THE INDIVIDUALS CAN BE FULL PARTICIPANTS IN THEIR COMMUNITY. RESIDENTS ARE PROVIDED WITH MANY OF ADEC'S SERVICES AND TRAINING IN BEHAVIOR MANAGEMENT, COMMUNICATION, ADULT DAILY LIVING SKILLS, EMPLOYMENT AND COMMUNITY INTERACTION. SUPPORTED LIVING PROVIDES RESIDENTIAL SUPPORTS TO PEOPLE ON THE COMMUNITY INTEGRATION AND HABILITATION WAIVER, FAMILY SUPPORT WAIVER AND BDDS STATE FUNDING BUDGETS. (CONTINUED ON SCHEDULE O)

4b (Code: ) (Expenses \$ 4,033,778 including grants of \$ 0 ) (Revenue \$ 4,014,322 )
ADULT TRAINING AND VOCATIONAL SERVICES INCLUDE EMPLOYMENT SERVICES, ADULT HABILITATION AND INTEGRATED COMMUNITY EMPLOYMENT AT ADEC INDUSTRIES. AT ADEC, WE PROMOTE CHOICE AND POSSIBILITY BY PROVIDING QUALITY EMPLOYMENT SERVICES FOR INDIVIDUALS EXPERIENCING LIFE WITH A DISABILITY OR BARRIER. WE WORK WITH EACH OF OUR CLIENTS ONE-ON-ONE ENSURING HIS OR HER GOALS, INTERESTS AND ABILITIES ARE TAKEN INTO CONSIDERATION. WE SEEK TO DEVELOP MEANINGFUL EMPLOYMENT OPPORTUNITIES WHILE HELPING THEM BECOME A QUALIFIED CANDIDATE FOR COMPETITIVE EMPLOYMENT THROUGH A VARIETY OF SERVICES, WHICH MAY INCLUDE: BENEFIT ANALYSIS, VOCATIONAL TESTING, SITUATIONAL ASSESSMENT, JOB SHADOW, WORK EXPERIENCE, JOB READINESS TRAINING, JOB DEVELOPMENT/SEARCH, RESUME HELP, INTERVIEW SKILLS, PUBLIC TRANSPORTATION TRAINING, AND SHOPPING ASSISTANCE. AFTER GAINING EMPLOYMENT, ADEC WILL CONTINUE TO SUPPORT THE CLIENT AND EMPLOYER AS THEY TRANSITION AND ADJUST. DEPENDING ON THE INDIVIDUAL'S NEEDS, SUPPORT MAY INCLUDE ADDITIONAL TRAINING, JOB COACHING ON OR OFF SITE, ADAPTIVE TECHNOLOGY AND JOB (CONTINUED ON SCHEDULE O)

4c (Code: ) (Expenses \$ 602,361 including grants of \$ 0 ) (Revenue \$ 538,975 )
FAMILY SERVICES INCLUDES FAMILY SERVICES AND RECREATIONAL AND MUSIC THERAPY SERVICES AND BEHAVIOR MANAGEMENT. ADEC FAMILY SERVICES OFFERS VALUABLE SERVICES THROUGH EXTENDED DAY AND SUMMER CAMP PROGRAMS. EACH PROGRAM STRIVES TO PROVIDE FAMILIES WITH VITAL SUPPORT THROUGH MEANINGFUL ACTIVITIES FOR THEIR SCHOOL AGED CHILDREN WITH DEVELOPMENTAL DISABILITIES. RELIEF AND ASSISTANCE FOR FAMILIES WITH CHILDREN OF ALL AGES AND/OR ADULTS WITH DISABILITIES AND/OR EMOTIONAL /MENTAL ILLNESS IS ALSO PROVIDED THROUGH ADEC'S RESPITE SERVICES. (CONTINUED ON SCHEDULE O)

4d Other program services (Describe on Schedule O.)
(Expenses \$ 587,278 including grants of \$ 0 ) (Revenue \$ 144,821 )
4e Total program service expenses 16,479,782

**Exhibit F. Audited Financials and 990 Tax**

**Part IV Checklist of Required Schedules**

		Yes	No
1	Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? <i>If "Yes," complete Schedule A . . . . .</i>	✓	
2	Is the organization required to complete <i>Schedule B, Schedule of Contributors</i> (see instructions)? . . . . .	✓	
3	Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? <i>If "Yes," complete Schedule C, Part I . . . . .</i>		✓
4	<b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? <i>If "Yes," complete Schedule C, Part II . . . . .</i>	✓	
5	Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? <i>If "Yes," complete Schedule C, Part III . . . . .</i>		✓
6	Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? <i>If "Yes," complete Schedule D, Part I . . . . .</i>		✓
7	Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? <i>If "Yes," complete Schedule D, Part II . . . . .</i>		✓
8	Did the organization maintain collections of works of art, historical treasures, or other similar assets? <i>If "Yes," complete Schedule D, Part III . . . . .</i>		✓
9	Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X; or provide credit counseling, debt management, credit repair, or debt negotiation services? <i>If "Yes," complete Schedule D, Part IV . . . . .</i>		✓
10	Did the organization, directly or through a related organization, hold assets in donor-restricted endowments or in quasi endowments? <i>If "Yes," complete Schedule D, Part V . . . . .</i>	✓	
11	If the organization's answer to any of the following questions is "Yes," then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable.		
a	Did the organization report an amount for land, buildings, and equipment in Part X, line 10? <i>If "Yes," complete Schedule D, Part VI . . . . .</i>	✓	
b	Did the organization report an amount for investments—other securities in Part X, line 12, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VII . . . . .</i>		✓
c	Did the organization report an amount for investments—program related in Part X, line 13, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part VIII . . . . .</i>		✓
d	Did the organization report an amount for other assets in Part X, line 15, that is 5% or more of its total assets reported in Part X, line 16? <i>If "Yes," complete Schedule D, Part IX . . . . .</i>		✓
e	Did the organization report an amount for other liabilities in Part X, line 25? <i>If "Yes," complete Schedule D, Part X . . . . .</i>		✓
f	Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? <i>If "Yes," complete Schedule D, Part X . . . . .</i>	✓	
12a	Did the organization obtain separate, independent audited financial statements for the tax year? <i>If "Yes," complete Schedule D, Parts XI and XII . . . . .</i>	✓	
b	Was the organization included in consolidated, independent audited financial statements for the tax year? <i>If "Yes," and if the organization answered "No" to line 12a, then completing Schedule D, Parts XI and XII is optional . . . . .</i>		✓
13	Is the organization a school described in section 170(b)(1)(A)(ii)? <i>If "Yes," complete Schedule E . . . . .</i>		✓
14a	Did the organization maintain an office, employees, or agents outside of the United States? . . . . .		✓
b	Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? <i>If "Yes," complete Schedule F, Parts I and IV. . . . .</i>		✓
15	Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? <i>If "Yes," complete Schedule F, Parts II and IV . . . . .</i>		✓
16	Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? <i>If "Yes," complete Schedule F, Parts III and IV. . . . .</i>		✓
17	Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? <i>If "Yes," complete Schedule G, Part I (see instructions) . . . . .</i>		✓
18	Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? <i>If "Yes," complete Schedule G, Part II . . . . .</i>		✓
19	Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? <i>If "Yes," complete Schedule G, Part III . . . . .</i>		✓
20a	Did the organization operate one or more hospital facilities? <i>If "Yes," complete Schedule H . . . . .</i>		✓
b	If "Yes" to line 20a, did the organization attach a copy of its audited financial statements to this return? . . . . .		
21	Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If "Yes," complete Schedule I, Parts I and II . . . . .</i>		✓

**Exhibit F. Audited Financials and 990 Tax**

**Part IV Checklist of Required Schedules** *(continued)*

		Yes	No
<b>22</b>	Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If "Yes," complete Schedule I, Parts I and III</i>		✓
<b>23</b>	Did the organization answer "Yes" to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If "Yes," complete Schedule J</i>	✓	
<b>24a</b>	Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If "Yes," answer lines 24b through 24d and complete Schedule K. If "No," go to line 25a</i>		✓
<b>b</b>	Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
<b>c</b>	Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
<b>d</b>	Did the organization act as an "on behalf of" issuer for bonds outstanding at any time during the year?		
<b>25a</b>	<b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If "Yes," complete Schedule L, Part I</i>		✓
<b>b</b>	Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If "Yes," complete Schedule L, Part I</i>		✓
<b>26</b>	Did the organization report any amount on Part X, line 5 or 22, for receivables from or payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons? <i>If "Yes," complete Schedule L, Part II</i>		✓
<b>27</b>	Did the organization provide a grant or other assistance to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity (including an employee thereof) or family member of any of these persons? <i>If "Yes," complete Schedule L, Part III</i>		✓
<b>28</b>	Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions, for applicable filing thresholds, conditions, and exceptions):		
<b>a</b>	A current or former officer, director, trustee, key employee, creator or founder, or substantial contributor? <i>If "Yes," complete Schedule L, Part IV</i>		✓
<b>b</b>	A family member of any individual described in line 28a? <i>If "Yes," complete Schedule L, Part IV</i>		✓
<b>c</b>	A 35% controlled entity of one or more individuals and/or organizations described in lines 28a or 28b? <i>If "Yes," complete Schedule L, Part IV</i>		✓
<b>29</b>	Did the organization receive more than \$25,000 in non-cash contributions? <i>If "Yes," complete Schedule M</i>		✓
<b>30</b>	Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If "Yes," complete Schedule M</i>		✓
<b>31</b>	Did the organization liquidate, terminate, or dissolve and cease operations? <i>If "Yes," complete Schedule N, Part I</i>		✓
<b>32</b>	Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If "Yes," complete Schedule N, Part II</i>		✓
<b>33</b>	Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If "Yes," complete Schedule R, Part I</i>		✓
<b>34</b>	Was the organization related to any tax-exempt or taxable entity? <i>If "Yes," complete Schedule R, Part II, III, or IV, and Part V, line 1</i>		✓
<b>35a</b>	Did the organization have a controlled entity within the meaning of section 512(b)(13)?		✓
<b>b</b>	If "Yes" to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If "Yes," complete Schedule R, Part V, line 2</i>		
<b>36</b>	<b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If "Yes," complete Schedule R, Part V, line 2</i>		✓
<b>37</b>	Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If "Yes," complete Schedule R, Part VI</i>		✓
<b>38</b>	Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note:</b> All Form 990 filers are required to complete Schedule O.	✓	

**Part V Statements Regarding Other IRS Filings and Tax Compliance**

Check if Schedule O contains a response or note to any line in this Part V

		Yes	No
<b>1a</b>	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable		
<b>b</b>	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable		
<b>c</b>	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	✓	

**Exhibit F. Audited Financials and 990 Tax**

**Part V** **Statements Regarding Other IRS Filings and Tax Compliance** *(continued)*

		Yes	No
<b>2a</b>	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return	2a	665
<b>b</b>	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? <b>Note:</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)	<input checked="" type="checkbox"/>	
<b>3a</b>	Did the organization have unrelated business gross income of \$1,000 or more during the year?		<input checked="" type="checkbox"/>
<b>b</b>	If "Yes," has it filed a Form 990-T for this year? If "No" to line 3b, provide an explanation on Schedule O		
<b>4a</b>	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		<input checked="" type="checkbox"/>
<b>b</b>	If "Yes," enter the name of the foreign country ▶ See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR).		
<b>5a</b>	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?		<input checked="" type="checkbox"/>
<b>b</b>	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		<input checked="" type="checkbox"/>
<b>c</b>	If "Yes" to line 5a or 5b, did the organization file Form 8886-T?		
<b>6a</b>	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?		<input checked="" type="checkbox"/>
<b>b</b>	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		
<b>7</b>	<b>Organizations that may receive deductible contributions under section 170(c).</b>		
<b>a</b>	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?		<input checked="" type="checkbox"/>
<b>b</b>	If "Yes," did the organization notify the donor of the value of the goods or services provided?		
<b>c</b>	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		<input checked="" type="checkbox"/>
<b>d</b>	If "Yes," indicate the number of Forms 8282 filed during the year	7d	
<b>e</b>	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		<input checked="" type="checkbox"/>
<b>f</b>	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		<input checked="" type="checkbox"/>
<b>g</b>	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		
<b>h</b>	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?		
<b>8</b>	<b>Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?		
<b>9</b>	<b>Sponsoring organizations maintaining donor advised funds.</b>		
<b>a</b>	Did the sponsoring organization make any taxable distributions under section 4966?		
<b>b</b>	Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?		
<b>10</b>	<b>Section 501(c)(7) organizations.</b> Enter:		
<b>a</b>	Initiation fees and capital contributions included on Part VIII, line 12	10a	
<b>b</b>	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities	10b	
<b>11</b>	<b>Section 501(c)(12) organizations.</b> Enter:		
<b>a</b>	Gross income from members or shareholders	11a	
<b>b</b>	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	11b	
<b>12a</b>	<b>Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?	12a	
<b>b</b>	If "Yes," enter the amount of tax-exempt interest received or accrued during the year	12b	
<b>13</b>	<b>Section 501(c)(29) qualified nonprofit health insurance issuers.</b>		
<b>a</b>	Is the organization licensed to issue qualified health plans in more than one state? <b>Note:</b> See the instructions for additional information the organization must report on Schedule O.	13a	
<b>b</b>	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans	13b	
<b>c</b>	Enter the amount of reserves on hand	13c	
<b>14a</b>	Did the organization receive any payments for indoor tanning services during the tax year?		<input checked="" type="checkbox"/>
<b>b</b>	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation on Schedule O	14b	
<b>15</b>	Is the organization subject to the section 4960 tax on payment(s) of more than \$1,000,000 in remuneration or excess parachute payment(s) during the year? If "Yes," see instructions and file Form 4720, Schedule N.	15	<input checked="" type="checkbox"/>
<b>16</b>	Is the organization an educational institution subject to the section 4968 excise tax on net investment income? If "Yes," complete Form 4720, Schedule O.	16	<input checked="" type="checkbox"/>



**Exhibit F. Audited Financials and 990 Tax**

**Part VI Governance, Management, and Disclosure** For each "Yes" response to lines 2 through 7b below, and for a "No" response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes on Schedule O. See instructions. Check if Schedule O contains a response or note to any line in this Part VI

**Section A. Governing Body and Management**

		Yes	No
<b>1a</b>	Enter the number of voting members of the governing body at the end of the tax year . . . . . If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain on Schedule O.		
	<b>1a</b> 11		
<b>b</b>	Enter the number of voting members included on line 1a, above, who are independent . . . . .		
	<b>1b</b> 11		
<b>2</b>	Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . . . .		✓
<b>3</b>	Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, trustees, or key employees to a management company or other person? . . . . .		✓
<b>4</b>	Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? . . . . .		✓
<b>5</b>	Did the organization become aware during the year of a significant diversion of the organization's assets? . . . . .		✓
<b>6</b>	Did the organization have members or stockholders? . . . . .		✓
<b>7a</b>	Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? . . . . .		✓
<b>b</b>	Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? . . . . .		✓
<b>8</b>	Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
<b>a</b>	The governing body? . . . . .	✓	
<b>b</b>	Each committee with authority to act on behalf of the governing body? . . . . .	✓	
<b>9</b>	Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses on Schedule O . . . . .		✓

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

		Yes	No
<b>10a</b>	Did the organization have local chapters, branches, or affiliates? . . . . .		✓
<b>b</b>	If "Yes," did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? . . . . .		
<b>10b</b>			
<b>11a</b>	Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? . . . . .	✓	
<b>b</b>	Describe in Schedule O the process, if any, used by the organization to review this Form 990. . . . .		
<b>12a</b>	Did the organization have a written conflict of interest policy? If "No," go to line 13 . . . . .	✓	
<b>b</b>	Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? . . . . .	✓	
<b>c</b>	Did the organization regularly and consistently monitor and enforce compliance with the policy? If "Yes," describe in Schedule O how this was done . . . . .	✓	
<b>12c</b>			
<b>13</b>	Did the organization have a written whistleblower policy? . . . . .	✓	
<b>14</b>	Did the organization have a written document retention and destruction policy? . . . . .	✓	
<b>15</b>	Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
<b>a</b>	The organization's CEO, Executive Director, or top management official . . . . .	✓	
<b>b</b>	Other officers or key employees of the organization . . . . .		✓
	If "Yes" to line 15a or 15b, describe the process in Schedule O (see instructions). . . . .		
<b>16a</b>	Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . . . .		✓
<b>b</b>	If "Yes," did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? . . . . .		
<b>16b</b>			

**Section C. Disclosure**

- 17** List the states with which a copy of this Form 990 is required to be filed ► IN
- 18** Section 6104 requires an organization to make its Forms 1023 (1024 or 1024-A, if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.  
 Own website     Another's website     Upon request     Other (explain on Schedule O)
- 19** Describe on Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
- 20** State the name, address, and telephone number of the person who possesses the organization's books and records ►  
DONNA L. BELUSAR, PO BOX 398, BRISTOL, IN 46507-0398, (574) 848-7451

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**

Check if Schedule O contains a response or note to any line in this Part VII

**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

**1a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of "key employee."
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

See instructions for the order in which to list the persons above.

Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee.

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
<b>(1)</b> DONNA L BELUSAR PRESIDENT/CEO	40.0			✓			160,488	0	36,944	
<b>(2)</b> MITCH WALORSKI VP OF FINANCE/CFO	40.0			✓			100,174	0	34,792	
<b>(3)</b> THOMAS KROLL VICE CHAIRPERSON (THRU SEPT. 2019) / CHAIRPERSON	1.0	✓		✓			0	0	0	
<b>(4)</b> DON ANDERSON CHAIRPERSON (THRU SEPT. 2019) / PAST CHAIRPERSON	1.0	✓		✓			0	0	0	
<b>(5)</b> CINDIE MCPHIE PAST CHAIRPERSON (THRU SEPT. 2019)	1.0	✓		✓			0	0	0	
<b>(6)</b> LARRY GAUTSCHE BOARD MEMBER (THRU SEPT. 2019) / VICE CHAIRPERSON	1.0	✓		✓			0	0	0	
<b>(7)</b> JENNY M. SCHROCK BOARD MEMBER (THRU SEPT. 2019) / SECRETARY	1.0	✓		✓			0	0	0	
<b>(8)</b> SHEILA SIERADZKI SECRETARY (THRU SEPT. 2019)	1.0	✓		✓			0	0	0	
<b>(9)</b> KEVIN BOYER TREASURER	1.0	✓		✓			0	0	0	
<b>(10)</b> CARY KELSEY BOARD MEMBER	1.0	✓					0	0	0	
<b>(11)</b> DEBRA HOGAN BOARD MEMBER (THRU SEPT. 2019)	1.0	✓					0	0	0	
<b>(12)</b> JASON L. PIPPENGER BOARD MEMBER	1.0	✓					0	0	0	
<b>(13)</b> JEREMY GILLESPIE BOARD MEMBER	1.0	✓					0	0	0	
<b>(14)</b> KRISTINE OSTERDAY BOARD MEMBER	1.0	✓					0	0	0	



**Exhibit F. Audited Financials and 990 Tax**

**Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** *(continued)*

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(15) LAUREN MAXSON BOARD MEMBER	1.0	<input checked="" type="checkbox"/>						0	0	0
(16) THOMAS NICKEL BOARD MEMBER	1.0	<input checked="" type="checkbox"/>						0	0	0
(17)										
(18)										
(19)										
(20)										
(21)										
(22)										
(23)										
(24)										
(25)										
<b>1b Subtotal</b>								260,662	0	71,736
<b>c Total from continuation sheets to Part VII, Section A</b>								0	0	0
<b>d Total (add lines 1b and 1c)</b>								260,662	0	71,736

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **▶** 1

	Yes	No
<b>3</b> Did the organization list any <b>former</b> officer, director, trustee, key employee, or highest compensated employee on line 1a? <i>If "Yes," complete Schedule J for such individual</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>4</b> For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? <i>If "Yes," complete Schedule J for such individual</i>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<b>5</b> Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? <i>If "Yes," complete Schedule J for such person</i>	<input type="checkbox"/>	<input checked="" type="checkbox"/>

**Section B. Independent Contractors**

**1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation
NONE		

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **▶** 0

**Exhibit F. Audited Financials and 990 Tax**

**Part VIII Statement of Revenue**

Check if Schedule O contains a response or note to any line in this Part VIII

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514	
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1a</b>	Federated campaigns . . . . .	<b>1a</b> 92,727				
	<b>b</b>	Membership dues . . . . .	<b>1b</b>				
	<b>c</b>	Fundraising events . . . . .	<b>1c</b>				
	<b>d</b>	Related organizations . . . . .	<b>1d</b>				
	<b>e</b>	Government grants (contributions)	<b>1e</b>				
	<b>f</b>	All other contributions, gifts, grants, and similar amounts not included above	<b>1f</b> 811,085				
	<b>g</b>	Noncash contributions included in lines 1a-1f . . . . .	<b>1g</b> \$ 20,303				
	<b>h</b>	<b>Total.</b> Add lines 1a-1f . . . . .		903,812			
	<b>Program Service Revenue</b>			Business Code			
<b>2a</b>		RESIDENTIAL SERVICES	623990	13,493,484	13,493,484		
<b>b</b>		ADULT TRAINING AND VOCATIONAL SERVICES	624310	4,014,322	4,014,322		
<b>c</b>		FAMILY SERVICES	624100	538,975	538,975		
<b>d</b>		TRANSPORTATION SERVICES	624100	144,428	144,428		
<b>e</b>							
<b>f</b>		All other program service revenue . . . . .		0	0	0	
<b>g</b>	<b>Total.</b> Add lines 2a-2f . . . . .		18,191,209				
<b>Other Revenue</b>	<b>3</b>	Investment income (including dividends, interest, and other similar amounts) . . . . .		537,013		537,013	
	<b>4</b>	Income from investment of tax-exempt bond proceeds					
	<b>5</b>	Royalties . . . . .					
	<b>6a</b>	Gross rents . . . . .	(i) Real				
			(ii) Personal				
			<b>6a</b>				
			<b>6b</b>				
	<b>b</b>	Less: rental expenses	<b>6b</b>				
	<b>c</b>	Rental income or (loss)	<b>6c</b>	0	0		
	<b>d</b>	Net rental income or (loss) . . . . .					
	<b>7a</b>	Gross amount from sales of assets other than inventory	(i) Securities		476,950	0	
			(ii) Other				
			<b>7a</b>				
			<b>7b</b>				
	<b>b</b>	Less: cost or other basis and sales expenses . . . . .	<b>7b</b>	484,438	613		
<b>c</b>	Gain or (loss) . . . . .	<b>7c</b>	(7,488)	(613)			
<b>d</b>	Net gain or (loss) . . . . .		(8,101)		(8,101)		
<b>8a</b>	Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18 . . . . .	<b>8a</b>					
<b>b</b>	Less: direct expenses . . . . .	<b>8b</b>					
<b>c</b>	Net income or (loss) from fundraising events . . . . .						
<b>9a</b>	Gross income from gaming activities. See Part IV, line 19 . . . . .	<b>9a</b>					
<b>b</b>	Less: direct expenses . . . . .	<b>9b</b>					
<b>c</b>	Net income or (loss) from gaming activities . . . . .						
<b>10a</b>	Gross sales of inventory, less returns and allowances . . . . .	<b>10a</b>					
		<b>10b</b>					
		<b>c</b>	Net income or (loss) from sales of inventory . . . . .				
<b>Miscellaneous Revenue</b>			Business Code				
	<b>11a</b>	DISCOUNTS	900099	393	393		
	<b>b</b>						
	<b>c</b>						
	<b>d</b>	All other revenue . . . . .		0	0	0	
<b>e</b>	<b>Total.</b> Add lines 11a-11d . . . . .		393				
<b>12</b>	<b>Total revenue.</b> See instructions . . . . .		19,624,326	18,191,602	0	528,912	

**Exhibit F. Audited Financials and 990 Tax**

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

<b>Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.</b>		<b>(A)</b> Total expenses	<b>(B)</b> Program service expenses	<b>(C)</b> Management and general expenses	<b>(D)</b> Fundraising expenses
<b>1</b>	Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21 . . . . .	0	0		
<b>2</b>	Grants and other assistance to domestic individuals. See Part IV, line 22 . . . . .	0	0		
<b>3</b>	Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16 . . . . .	0	0		
<b>4</b>	Benefits paid to or for members . . . . .	0	0		
<b>5</b>	Compensation of current officers, directors, trustees, and key employees . . . . .	342,244	0	342,244	0
<b>6</b>	Compensation not included above to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B) . . . . .	0	0	0	0
<b>7</b>	Other salaries and wages . . . . .	11,650,124	10,688,762	961,362	0
<b>8</b>	Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions) . . . . .	115,757	96,355	19,402	
<b>9</b>	Other employee benefits . . . . .	955,980	811,137	144,843	0
<b>10</b>	Payroll taxes . . . . .	945,400	849,528	95,872	0
<b>11</b>	Fees for services (nonemployees):				
<b>a</b>	Management . . . . .	0	0	0	0
<b>b</b>	Legal . . . . .	6,134	0	6,134	0
<b>c</b>	Accounting . . . . .	86,078	40,933	45,145	0
<b>d</b>	Lobbying . . . . .	0	0	0	0
<b>e</b>	Professional fundraising services. See Part IV, line 17 . . . . .	0			0
<b>f</b>	Investment management fees . . . . .	0	0	0	0
<b>g</b>	Other. (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.) . . . . .	254,376	150,817	103,559	0
<b>12</b>	Advertising and promotion . . . . .	0	0	0	0
<b>13</b>	Office expenses . . . . .	1,544,865	1,440,338	104,427	100
<b>14</b>	Information technology . . . . .	227,703	199,365	24,552	3,786
<b>15</b>	Royalties . . . . .	0	0	0	0
<b>16</b>	Occupancy . . . . .	672,527	471,958	200,569	0
<b>17</b>	Travel . . . . .	392,573	381,725	10,848	0
<b>18</b>	Payments of travel or entertainment expenses for any federal, state, or local public officials . . . . .	0	0	0	0
<b>19</b>	Conferences, conventions, and meetings . . . . .	8,774	0	8,774	0
<b>20</b>	Interest . . . . .	3,790	0	3,790	0
<b>21</b>	Payments to affiliates . . . . .	0	0	0	0
<b>22</b>	Depreciation, depletion, and amortization . . . . .	629,813	444,830	184,983	0
<b>23</b>	Insurance . . . . .	105,113	78,394	26,719	0
<b>24</b>	Other expenses. Itemize expenses not covered above (List miscellaneous expenses on line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.) . . . . .				
<b>a</b>	MEDICAL PROVIDER ASSESSMENT AND STATE USE COMMISSIONS . . . . .	626,501	626,501	0	0
<b>b</b>	COMMUNITY EDUCATION . . . . .	25,427	3,174	17,045	5,208
<b>c</b>	MEDICINES & DRUGS . . . . .	134,516	117,536	16,980	0
<b>d</b>	DUES AND SUBSCRIPTIONS . . . . .	57,918	1,869	56,049	0
<b>e</b>	All other expenses . . . . .	86,001	76,560	9,441	0
<b>25</b>	<b>Total functional expenses.</b> Add lines 1 through 24e . . . . .	18,871,614	16,479,782	2,382,738	9,094
<b>26</b>	<b>Joint costs.</b> Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720) . . . . .				

**Exhibit F. Audited Financials and 990 Tax**

**Part X Balance Sheet**

Check if Schedule O contains a response or note to any line in this Part X

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash—non-interest-bearing . . . . .	2,409	<b>1</b>	2,809
	<b>2</b> Savings and temporary cash investments . . . . .	3,038,495	<b>2</b>	5,016,252
	<b>3</b> Pledges and grants receivable, net . . . . .		<b>3</b>	
	<b>4</b> Accounts receivable, net . . . . .	1,520,287	<b>4</b>	1,458,154
	<b>5</b> Loans and other receivables from any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons . . . . .	0	<b>5</b>	0
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), and persons described in section 4958(c)(3)(B) . . . . .	0	<b>6</b>	0
	<b>7</b> Notes and loans receivable, net . . . . .		<b>7</b>	
	<b>8</b> Inventories for sale or use . . . . .	66,637	<b>8</b>	102,892
	<b>9</b> Prepaid expenses and deferred charges . . . . .	0	<b>9</b>	137,890
	<b>10a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D . . . . .	15,910,463		
	<b>b</b> Less: accumulated depreciation . . . . .	9,854,749		
	<b>11</b> Investments—publicly traded securities . . . . .	6,296,145	<b>10c</b>	6,055,714
	<b>12</b> Investments—other securities. See Part IV, line 11 . . . . .	16,576,154	<b>11</b>	18,043,826
	<b>13</b> Investments—program-related. See Part IV, line 11 . . . . .	0	<b>12</b>	0
	<b>14</b> Intangible assets . . . . .		<b>13</b>	0
	<b>15</b> Other assets. See Part IV, line 11 . . . . .	9,572	<b>14</b>	
<b>16</b> <b>Total assets.</b> Add lines 1 through 15 (must equal line 33) . . . . .	27,509,699	<b>15</b>	9,347	
		<b>16</b>	30,826,884	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .	983,211	<b>17</b>	3,123,163
	<b>18</b> Grants payable . . . . .		<b>18</b>	
	<b>19</b> Deferred revenue . . . . .		<b>19</b>	
	<b>20</b> Tax-exempt bond liabilities . . . . .		<b>20</b>	
	<b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .		<b>21</b>	
	<b>22</b> Loans and other payables to any current or former officer, director, trustee, key employee, creator or founder, substantial contributor, or 35% controlled entity or family member of any of these persons . . . . .	0	<b>22</b>	0
	<b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .		<b>23</b>	
	<b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .		<b>24</b>	
	<b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17–24). Complete Part X of Schedule D . . . . .	0	<b>25</b>	0
	<b>26</b> <b>Total liabilities.</b> Add lines 17 through 25 . . . . .	983,211	<b>26</b>	3,123,163
	<b>Net Assets or Fund Balances</b>	<b>Organizations that follow FASB ASC 958, check here</b> <input checked="" type="checkbox"/> <b>and complete lines 27, 28, 32, and 33.</b>		
<b>27</b> Net assets without donor restrictions . . . . .		24,238,806	<b>27</b>	25,477,951
<b>28</b> Net assets with donor restrictions . . . . .		2,287,682	<b>28</b>	2,225,770
<b>Organizations that do not follow FASB ASC 958, check here</b> <input type="checkbox"/> <b>and complete lines 29 through 33.</b>				
<b>29</b> Capital stock or trust principal, or current funds . . . . .			<b>29</b>	
<b>30</b> Paid-in or capital surplus, or land, building, or equipment fund . . . . .			<b>30</b>	
<b>31</b> Retained earnings, endowment, accumulated income, or other funds . . . . .			<b>31</b>	
<b>32</b> Total net assets or fund balances . . . . .		26,526,488	<b>32</b>	27,703,721
<b>33</b> Total liabilities and net assets/fund balances . . . . .	27,509,699	<b>33</b>	30,826,884	

**Exhibit F. Audited Financials and 990 Tax**

**Part XI Reconciliation of Net Assets**

Check if Schedule O contains a response or note to any line in this Part XI

<b>1</b>	Total revenue (must equal Part VIII, column (A), line 12) . . . . .	<b>1</b>	19,624,326
<b>2</b>	Total expenses (must equal Part IX, column (A), line 25) . . . . .	<b>2</b>	18,871,614
<b>3</b>	Revenue less expenses. Subtract line 2 from line 1 . . . . .	<b>3</b>	752,712
<b>4</b>	Net assets or fund balances at beginning of year (must equal Part X, line 32, column (A)) . . . . .	<b>4</b>	26,526,488
<b>5</b>	Net unrealized gains (losses) on investments . . . . .	<b>5</b>	424,521
<b>6</b>	Donated services and use of facilities . . . . .	<b>6</b>	
<b>7</b>	Investment expenses . . . . .	<b>7</b>	
<b>8</b>	Prior period adjustments . . . . .	<b>8</b>	
<b>9</b>	Other changes in net assets or fund balances (explain on Schedule O) . . . . .	<b>9</b>	0
<b>10</b>	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 32, column (B)) . . . . .	<b>10</b>	27,703,721

**Part XII Financial Statements and Reporting**

Check if Schedule O contains a response or note to any line in this Part XII

		Yes	No
<b>1</b> Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.			
<b>2a</b> Were the organization's financial statements compiled or reviewed by an independent accountant? . . . . . If "Yes," check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	<b>2a</b>		✓
<b>b</b> Were the organization's financial statements audited by an independent accountant? . . . . . If "Yes," check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both: <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis	<b>2b</b>	✓	
<b>c</b> If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? . . . . . If the organization changed either its oversight process or selection process during the tax year, explain on Schedule O.	<b>2c</b>	✓	
<b>3a</b> As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133? . . . . .	<b>3a</b>		✓
<b>b</b> If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why on Schedule O and describe any steps taken to undergo such audits . . . . .	<b>3b</b>		

**SCHEDULE A**  
**(Form 990 or 990-EZ)**

**Public Charity Status and Public Support**

OMB No. 1545-0047

**2019**

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ **Attach to Form 990 or Form 990-EZ.**

▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

Name of the organization  
**ADEC, INC.**

Employer identification number  
**35-1060633**

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 12, check only one box.)

- 1  A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2  A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ).)
- 3  A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4  A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state:
- 5  An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II.)
- 6  A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7  An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 8  A community trust described in **section 170(b)(1)(A)(vii)**. (Complete Part II.)
- 9  An agricultural research organization described in **section 170(b)(1)(A)(ix)** operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions). Enter the name, city, and state of the college or university:
- 10  An organization that normally receives: (1) more than 33<sup>1</sup>/<sub>3</sub>% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33<sup>1</sup>/<sub>3</sub>% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III.)
- 11  An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 12  An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g.
  - a  **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
  - b  **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
  - c  **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
  - d  **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
  - e  Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
- f Enter the number of supported organizations
- g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1–10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
(A)						
(B)						
(C)						
(D)						
(E)						
<b>Total</b>						



**Exhibit F. Audited Financials and 990 Tax**

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .						
<b>2</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
<b>3</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .						
<b>4 Total.</b> Add lines 1 through 3 . . . . .						
<b>5</b> The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . . . . .						
<b>6 Public support.</b> Subtract line 5 from line 4						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ►	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
<b>7</b> Amounts from line 4 . . . . .						
<b>8</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources . . . . .						
<b>9</b> Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .						
<b>10</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . . . .						
<b>11 Total support.</b> Add lines 7 through 10						
<b>12</b> Gross receipts from related activities, etc. (see instructions) . . . . .					<b>12</b>	
<b>13 First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . .						► <input type="checkbox"/>

**Section C. Computation of Public Support Percentage**

<b>14</b> Public support percentage for 2019 (line 6, column (f) divided by line 11, column (f)) . . . . .	<b>14</b>	%
<b>15</b> Public support percentage from 2018 Schedule A, Part II, line 14 . . . . .	<b>15</b>	%
<b>16a 33 1/3% support test—2019.</b> If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . .		► <input type="checkbox"/>
<b>b 33 1/3% support test—2018.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . .		► <input type="checkbox"/>
<b>17a 10%-facts-and-circumstances test—2019.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . .		► <input type="checkbox"/>
<b>b 10%-facts-and-circumstances test—2018.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . .		► <input type="checkbox"/>
<b>18 Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . .		► <input type="checkbox"/>

**Exhibit F. Audited Financials and 990 Tax**

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")	1,142,343	1,090,550	968,596	875,928	903,812	4,981,229
<b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose . . . .	16,840,613	16,863,915	17,562,731	18,356,948	18,191,209	87,815,416
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513						0
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						0
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .						0
<b>6 Total.</b> Add lines 1 through 5 . . . . .	17,982,956	17,954,465	18,531,327	19,232,876	19,095,021	92,796,645
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons . . . . .	0	0	0	0	0	0
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year . . . . .	0	0	0	0	0	0
<b>c</b> Add lines 7a and 7b . . . . .	0	0	0	0	0	0
<b>8 Public support.</b> (Subtract line 7c from line 6.) . . . . .						92,796,645

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
<b>9</b> Amounts from line 6 . . . . .	17,982,956	17,954,465	18,531,327	19,232,876	19,095,021	92,796,645
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties, and income from similar sources . . . . .	282,238	329,321	375,745	555,354	537,013	2,079,671
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 . . . . .						0
<b>c</b> Add lines 10a and 10b . . . . .	282,238	329,321	375,745	555,354	537,013	2,079,671
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on . . . . .						0
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI.) . . . . .	11,704	9,735	47,975	2,559	393	72,366
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12.) . . . . .	18,276,898	18,293,521	18,955,047	19,790,789	19,632,427	94,948,682
<b>14 First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ▶ <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2019 (line 8, column (f), divided by line 13, column (f)) . . . . .	<b>15</b>	97.73 %
<b>16</b> Public support percentage from 2018 Schedule A, Part III, line 15 . . . . .	<b>16</b>	97.98 %

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for <b>2019</b> (line 10c, column (f), divided by line 13, column (f)) . . . . .	<b>17</b>	2.19 %
<b>18</b> Investment income percentage from <b>2018</b> Schedule A, Part III, line 17 . . . . .	<b>18</b>	1.92 %
<b>19a 33 1/3% support tests—2019.</b> If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization . . . . . ▶ <input checked="" type="checkbox"/>		
<b>b 33 1/3% support tests—2018.</b> If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
<b>20 Private foundation.</b> If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions . . . . . ▶ <input type="checkbox"/>		

**Exhibit F. Audited Financials and 990 Tax**

**Part IV Supporting Organizations**

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

		Yes	No
<b>1</b>	Are all of the organization's supported organizations listed by name in the organization's governing documents? <i>If "No," describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.</i>		
<b>2</b>	Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? <i>If "Yes," explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).</i>		
<b>3a</b>	Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? <i>If "Yes," answer (b) and (c) below.</i>		
<b>b</b>	Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? <i>If "Yes," describe in Part VI when and how the organization made the determination.</i>		
<b>c</b>	Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? <i>If "Yes," explain in Part VI what controls the organization put in place to ensure such use.</i>		
<b>4a</b>	Was any supported organization not organized in the United States ("foreign supported organization")? <i>If "Yes," and if you checked 12a or 12b in Part I, answer (b) and (c) below.</i>		
<b>b</b>	Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? <i>If "Yes," describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.</i>		
<b>c</b>	Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? <i>If "Yes," explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.</i>		
<b>5a</b>	Did the organization add, substitute, or remove any supported organizations during the tax year? <i>If "Yes," answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed; (ii) the reasons for each such action; (iii) the authority under the organization's organizing document authorizing such action; and (iv) how the action was accomplished (such as by amendment to the organizing document).</i>		
<b>b</b>	<b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
<b>c</b>	<b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control?		
<b>6</b>	Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? <i>If "Yes," provide detail in Part VI.</i>		
<b>7</b>	Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (as defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
<b>8</b>	Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? <i>If "Yes," complete Part I of Schedule L (Form 990 or 990-EZ).</i>		
<b>9a</b>	Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? <i>If "Yes," provide detail in Part VI.</i>		
<b>b</b>	Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? <i>If "Yes," provide detail in Part VI.</i>		
<b>c</b>	Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? <i>If "Yes," provide detail in Part VI.</i>		
<b>10a</b>	Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? <i>If "Yes," answer 10b below.</i>		
<b>b</b>	Did the organization have any excess business holdings in the tax year? <i>(Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)</i>		

**Exhibit F. Audited Financials and 990 Tax**

**Part IV Supporting Organizations** *(continued)*

	Yes	No
<b>11</b> Has the organization accepted a gift or contribution from any of the following persons?		
<b>a</b> A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	<b>11a</b>	
<b>b</b> A family member of a person described in (a) above?	<b>11b</b>	
<b>c</b> A 35% controlled entity of a person described in (a) or (b) above? <i>If "Yes" to a, b, or c, provide detail in Part VI.</i>	<b>11c</b>	

**Section B. Type I Supporting Organizations**

	Yes	No
<b>1</b> Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? <i>If "No," describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.</i>	<b>1</b>	
<b>2</b> Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? <i>If "Yes," explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.</i>	<b>2</b>	

**Section C. Type II Supporting Organizations**

	Yes	No
<b>1</b> Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? <i>If "No," describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).</i>	<b>1</b>	

**Section D. All Type III Supporting Organizations**

	Yes	No
<b>1</b> Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	<b>1</b>	
<b>2</b> Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? <i>If "No," explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).</i>	<b>2</b>	
<b>3</b> By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? <i>If "Yes," describe in Part VI the role the organization's supported organizations played in this regard.</i>	<b>3</b>	

**Section E. Type III Functionally Integrated Supporting Organizations**

<b>1</b> Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).		
<b>a</b> <input type="checkbox"/> The organization satisfied the Activities Test. Complete <b>line 2</b> below.		
<b>b</b> <input type="checkbox"/> The organization is the parent of each of its supported organizations. Complete <b>line 3</b> below.		
<b>c</b> <input type="checkbox"/> The organization supported a governmental entity. Describe in <b>Part VI</b> how you supported a government entity (see instructions).		
<b>2</b> Activities Test. <b>Answer (a) and (b) below.</b>		
<b>a</b> Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? <i>If "Yes," then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.</i>	<b>2a</b>	
<b>b</b> Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? <i>If "Yes," explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.</i>	<b>2b</b>	
<b>3</b> Parent of Supported Organizations. <b>Answer (a) and (b) below.</b>		
<b>a</b> Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? <i>Provide details in Part VI.</i>	<b>3a</b>	
<b>b</b> Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? <i>If "Yes," describe in Part VI the role played by the organization in this regard.</i>	<b>3b</b>	

**Exhibit F. Audited Financials and 990 Tax**

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

**1**  Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). **See instructions.** All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

<b>Section A—Adjusted Net Income</b>		(A) Prior Year	(B) Current Year (optional)
<b>1</b> Net short-term capital gain	<b>1</b>		
<b>2</b> Recoveries of prior-year distributions	<b>2</b>		
<b>3</b> Other gross income (see instructions)	<b>3</b>		
<b>4</b> Add lines 1 through 3.	<b>4</b>		
<b>5</b> Depreciation and depletion	<b>5</b>		
<b>6</b> Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	<b>6</b>		
<b>7</b> Other expenses (see instructions)	<b>7</b>		
<b>8 Adjusted Net Income</b> (subtract lines 5, 6, and 7 from line 4)	<b>8</b>		
<b>Section B—Minimum Asset Amount</b>		(A) Prior Year	(B) Current Year (optional)
<b>1</b> Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):			
<b>a</b> Average monthly value of securities	<b>1a</b>		
<b>b</b> Average monthly cash balances	<b>1b</b>		
<b>c</b> Fair market value of other non-exempt-use assets	<b>1c</b>		
<b>d Total</b> (add lines 1a, 1b, and 1c)	<b>1d</b>		
<b>e Discount</b> claimed for blockage or other factors (explain in detail in <b>Part VI</b> ):			
<b>2</b> Acquisition indebtedness applicable to non-exempt-use assets	<b>2</b>		
<b>3</b> Subtract line 2 from line 1d.	<b>3</b>		
<b>4</b> Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions).	<b>4</b>		
<b>5</b> Net value of non-exempt-use assets (subtract line 4 from line 3)	<b>5</b>		
<b>6</b> Multiply line 5 by .035.	<b>6</b>		
<b>7</b> Recoveries of prior-year distributions	<b>7</b>		
<b>8 Minimum Asset Amount</b> (add line 7 to line 6)	<b>8</b>		
<b>Section C—Distributable Amount</b>			Current Year
<b>1</b> Adjusted net income for prior year (from Section A, line 8, Column A)	<b>1</b>		
<b>2</b> Enter 85% of line 1.	<b>2</b>		
<b>3</b> Minimum asset amount for prior year (from Section B, line 8, Column A)	<b>3</b>		
<b>4</b> Enter greater of line 2 or line 3.	<b>4</b>		
<b>5</b> Income tax imposed in prior year	<b>5</b>		
<b>6 Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions).	<b>6</b>		
<b>7</b> <input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions).			







**Exhibit F. Audited Financials and 990 Tax**

**Part VI**

Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information. (See instructions.)

Return Reference - Identifier	Explanation						
SCHEDULE A, PART III, LINE 12 - OTHER INCOME	Other Income Type	(a) 2015	(b) 2016	(c) 2017	(d) 2018	(e) 2019	(f) Total
	(1) OTHER INCOME	11,704	9,735	3,375	2,559	393	27,766
	(2) GAMING REVENUE	0	0	44,600	0	0	44,600

Schedule B
(Form 990, 990-EZ,
or 990-PF)
Department of the Treasury
Internal Revenue Service

Schedule of Contributors

OMB No. 1545-0047

2019

Attach to Form 990, Form 990-EZ, or Form 990-PF.
Go to www.irs.gov/Form990 for the latest information.

Name of the organization
ADEC, INC.

Employer identification number
35-1060633

Organization type (check one):

Filers of:

Section:

- Form 990 or 990-EZ [x] 501(c)( 3 ) (enter number) organization
[ ] 4947(a)(1) nonexempt charitable trust not treated as a private foundation
[ ] 527 political organization
Form 990-PF [ ] 501(c)(3) exempt private foundation
[ ] 4947(a)(1) nonexempt charitable trust treated as a private foundation
[ ] 501(c)(3) taxable private foundation

Check if your organization is covered by the General Rule or a Special Rule.

Note: Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule. See instructions.

General Rule

- [x] For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, contributions totaling \$5,000 or more (in money or property) from any one contributor. Complete Parts I and II. See instructions for determining a contributor's total contributions.

Special Rules

- [ ] For an organization described in section 501(c)(3) filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), that checked Schedule A (Form 990 or 990-EZ), Part II, line 13, 16a, or 16b, and that received from any one contributor, during the year, total contributions of the greater of (1) \$5,000; or (2) 2% of the amount on (i) Form 990, Part VIII, line 1h; or (ii) Form 990-EZ, line 1. Complete Parts I and II.
[ ] For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, total contributions of more than \$1,000 exclusively for religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals. Complete Parts I, II, and III.
[ ] For an organization described in section 501(c)(7), (8), or (10) filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions exclusively for religious, charitable, etc., purposes, but no such contributions totaled more than \$1,000. If this box is checked, enter here the total contributions that were received during the year for an exclusively religious, charitable, etc., purpose. Don't complete any of the parts unless the General Rule applies to this organization because it received nonexclusively religious, charitable, etc., contributions totaling \$5,000 or more during the year . . . . . \$ \_\_\_\_\_

Caution: An organization that isn't covered by the General Rule and/or the Special Rules doesn't file Schedule B (Form 990, 990-EZ, or 990-PF), but it must answer "No" on Part IV, line 2, of its Form 990; or check the box on line H of its Form 990-EZ or on its Form 990-PF, Part I, line 2, to certify that it doesn't meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF).

**Exhibit F. Audited Financials and 990 Tax**

Name of organization <b>ADEC, INC.</b>	Employer identification number <b>35-1060633</b>
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**Part I** **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
1	----- ----- -----	\$ ----- <b>550,250</b>	<b>Person</b> <input checked="" type="checkbox"/> <b>Payroll</b> <input type="checkbox"/> <b>Noncash</b> <input type="checkbox"/> (Complete Part II for noncash contributions.)
2	----- ----- -----	\$ ----- <b>92,727</b>	<b>Person</b> <input checked="" type="checkbox"/> <b>Payroll</b> <input type="checkbox"/> <b>Noncash</b> <input type="checkbox"/> (Complete Part II for noncash contributions.)
3	----- ----- -----	\$ ----- <b>120,113</b>	<b>Person</b> <input checked="" type="checkbox"/> <b>Payroll</b> <input type="checkbox"/> <b>Noncash</b> <input type="checkbox"/> (Complete Part II for noncash contributions.)
4	----- ----- -----	\$ ----- <b>15,000</b>	<b>Person</b> <input checked="" type="checkbox"/> <b>Payroll</b> <input type="checkbox"/> <b>Noncash</b> <input type="checkbox"/> (Complete Part II for noncash contributions.)
5	----- ----- -----	\$ ----- <b>10,000</b>	<b>Person</b> <input checked="" type="checkbox"/> <b>Payroll</b> <input type="checkbox"/> <b>Noncash</b> <input type="checkbox"/> (Complete Part II for noncash contributions.)
6	----- ----- -----	\$ ----- <b>10,000</b>	<b>Person</b> <input checked="" type="checkbox"/> <b>Payroll</b> <input type="checkbox"/> <b>Noncash</b> <input type="checkbox"/> (Complete Part II for noncash contributions.)

**Exhibit F. Audited Financials and 990 Tax**

Name of organization <b>ADEC, INC.</b>	Employer identification number <b>35-1060633</b>
---	---

**Part I** **Contributors** (see instructions). Use duplicate copies of Part I if additional space is needed.

(a) No.	(b) Name, address, and ZIP + 4	(c) Total contributions	(d) Type of contribution
7	----- ----- -----	\$ ----- 5,000	Person <input checked="" type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
-----	----- ----- -----	\$ -----	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
-----	----- ----- -----	\$ -----	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
-----	----- ----- -----	\$ -----	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
-----	----- ----- -----	\$ -----	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
-----	----- ----- -----	\$ -----	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)
-----	----- ----- -----	\$ -----	Person <input type="checkbox"/> Payroll <input type="checkbox"/> Noncash <input type="checkbox"/> (Complete Part II for noncash contributions.)

**Exhibit F. Audited Financials and 990 Tax**

Name of organization <b>ADEC, INC.</b>	Employer identification number <b>35-1060633</b>
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**Part II** **Noncash Property** (see instructions). Use duplicate copies of Part II if additional space is needed.

(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-----	----- ----- -----	\$-----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-----	----- ----- -----	\$-----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-----	----- ----- -----	\$-----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-----	----- ----- -----	\$-----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-----	----- ----- -----	\$-----	-----
(a) No. from Part I	(b) Description of noncash property given	(c) FMV (or estimate) (See instructions.)	(d) Date received
-----	----- ----- -----	\$-----	-----

**Exhibit F. Audited Financials and 990 Tax**

Name of organization <b>ADEC, INC.</b>	Employer identification number <b>35-1060633</b>
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**Part III** **Exclusively religious, charitable, etc., contributions to organizations described in section 501(c)(7), (8), or (10) that total more than \$1,000 for the year from any one contributor.** Complete columns (a) through (e) and the following line entry. For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **\$1,000 or less** for the year. (Enter this information once. See instructions.) ▶ \$ \_\_\_\_\_  
 Use duplicate copies of Part III if additional space is needed.

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	-----	-----	-----

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
-----	-----
-----	-----

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	-----	-----	-----

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
-----	-----
-----	-----

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	-----	-----	-----

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
-----	-----
-----	-----

(a) No. from Part I	(b) Purpose of gift	(c) Use of gift	(d) Description of how gift is held
-----	-----	-----	-----

(e) Transfer of gift	
Transferee's name, address, and ZIP + 4	Relationship of transferor to transferee
-----	-----
-----	-----



**Exhibit F. Audited Financials and 990 Tax**

**SCHEDULE C**  
**(Form 990 or 990-EZ)**

**Political Campaign and Lobbying Activities**

OMB No. 1545-0047

**2019**

Department of the Treasury  
Internal Revenue Service

**For Organizations Exempt From Income Tax Under section 501(c) and section 527**  
 ▶ **Complete if the organization is described below.** ▶ **Attach to Form 990 or Form 990-EZ.**  
 ▶ **Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.**

**Open to Public Inspection**

**If the organization answered "Yes," on Form 990, Part IV, line 3, or Form 990-EZ, Part V, line 46 (Political Campaign Activities), then**

- Section 501(c)(3) organizations: Complete Parts I-A and B. Do not complete Part I-C.
- Section 501(c) (other than section 501(c)(3)) organizations: Complete Parts I-A and C below. Do not complete Part I-B.
- Section 527 organizations: Complete Part I-A only.

**If the organization answered "Yes," on Form 990, Part IV, line 4, or Form 990-EZ, Part VI, line 47 (Lobbying Activities), then**

- Section 501(c)(3) organizations that have filed Form 5768 (election under section 501(h)): Complete Part II-A. Do not complete Part II-B.
- Section 501(c)(3) organizations that have NOT filed Form 5768 (election under section 501(h)): Complete Part II-B. Do not complete Part II-A.

**If the organization answered "Yes," on Form 990, Part IV, line 5 (Proxy Tax) (see separate instructions) or Form 990-EZ, Part V, line 35c (Proxy Tax) (see separate instructions), then**

- Section 501(c)(4), (5), or (6) organizations: Complete Part III.

Name of organization <b>ADEC, INC.</b>	Employer identification number <b>35-1060633</b>
---	---

**Part I-A Complete if the organization is exempt under section 501(c) or is a section 527 organization.**

- 1 Provide a description of the organization's direct and indirect political campaign activities in Part IV. (see instructions for definition of "political campaign activities")
- 2 Political campaign activity expenditures (see instructions) . . . . . ▶ \$
- 3 Volunteer hours for political campaign activities (see instructions) . . . . .

**Part I-B Complete if the organization is exempt under section 501(c)(3).**

- 1 Enter the amount of any excise tax incurred by the organization under section 4955 . . . . . ▶ \$
- 2 Enter the amount of any excise tax incurred by organization managers under section 4955 . . . . . ▶ \$
- 3 If the organization incurred a section 4955 tax, did it file Form 4720 for this year? . . . . .  Yes  No
- 4a Was a correction made? . . . . .  Yes  No
- b If "Yes," describe in Part IV.

**Part I-C Complete if the organization is exempt under section 501(c), except section 501(c)(3).**

- 1 Enter the amount directly expended by the filing organization for section 527 exempt function activities . . . . . ▶ \$
- 2 Enter the amount of the filing organization's funds contributed to other organizations for section 527 exempt function activities . . . . . ▶ \$
- 3 Total exempt function expenditures. Add lines 1 and 2. Enter here and on Form 1120-POL, line 17b . . . . . ▶ \$
- 4 Did the filing organization file **Form 1120-POL** for this year? . . . . .  Yes  No
- 5 Enter the names, addresses and employer identification number (EIN) of all section 527 political organizations to which the filing organization made payments. For each organization listed, enter the amount paid from the filing organization's funds. Also enter the amount of political contributions received that were promptly and directly delivered to a separate political organization, such as a separate segregated fund or a political action committee (PAC). If additional space is needed, provide information in Part IV.

(a) Name	(b) Address	(c) EIN	(d) Amount paid from filing organization's funds. If none, enter -0-.	(e) Amount of political contributions received and promptly and directly delivered to a separate political organization. If none, enter -0-.
(1)				
(2)				
(3)				
(4)				
(5)				
(6)				

**Exhibit F. Audited Financials and 990 Tax**

**Part II-A Complete if the organization is exempt under section 501(c)(3) and filed Form 5768 (election under section 501(h)).**

- A** Check  if the filing organization belongs to an affiliated group (and list in Part IV each affiliated group member's name, address, EIN, expenses, and share of excess lobbying expenditures).
- B** Check  if the filing organization checked box A and "limited control" provisions apply.

<b>Limits on Lobbying Expenditures</b> <b>(The term "expenditures" means amounts paid or incurred.)</b>		(a) Filing organization's totals	(b) Affiliated group totals												
<b>1a</b>	Total lobbying expenditures to influence public opinion (grassroots lobbying) . . . . .														
<b>b</b>	Total lobbying expenditures to influence a legislative body (direct lobbying) . . . . .														
<b>c</b>	Total lobbying expenditures (add lines 1a and 1b) . . . . .														
<b>d</b>	Other exempt purpose expenditures . . . . .														
<b>e</b>	Total exempt purpose expenditures (add lines 1c and 1d) . . . . .														
<b>f</b>	Lobbying nontaxable amount. Enter the amount from the following table in both columns.														
	<table border="1"> <thead> <tr> <th align="left">If the amount on line 1e, column (a) or (b) is:</th> <th align="left">The lobbying nontaxable amount is:</th> </tr> </thead> <tbody> <tr> <td>Not over \$500,000</td> <td>20% of the amount on line 1e.</td> </tr> <tr> <td>Over \$500,000 but not over \$1,000,000</td> <td>\$100,000 plus 15% of the excess over \$500,000.</td> </tr> <tr> <td>Over \$1,000,000 but not over \$1,500,000</td> <td>\$175,000 plus 10% of the excess over \$1,000,000.</td> </tr> <tr> <td>Over \$1,500,000 but not over \$17,000,000</td> <td>\$225,000 plus 5% of the excess over \$1,500,000.</td> </tr> <tr> <td>Over \$17,000,000</td> <td>\$1,000,000.</td> </tr> </tbody> </table>	If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:	Not over \$500,000	20% of the amount on line 1e.	Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.	Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.	Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.	Over \$17,000,000	\$1,000,000.		
If the amount on line 1e, column (a) or (b) is:	The lobbying nontaxable amount is:														
Not over \$500,000	20% of the amount on line 1e.														
Over \$500,000 but not over \$1,000,000	\$100,000 plus 15% of the excess over \$500,000.														
Over \$1,000,000 but not over \$1,500,000	\$175,000 plus 10% of the excess over \$1,000,000.														
Over \$1,500,000 but not over \$17,000,000	\$225,000 plus 5% of the excess over \$1,500,000.														
Over \$17,000,000	\$1,000,000.														
<b>g</b>	Grassroots nontaxable amount (enter 25% of line 1f) . . . . .														
<b>h</b>	Subtract line 1g from line 1a. If zero or less, enter -0- . . . . .														
<b>i</b>	Subtract line 1f from line 1c. If zero or less, enter -0- . . . . .														
<b>j</b>	If there is an amount other than zero on either line 1h or line 1i, did the organization file Form 4720 reporting section 4911 tax for this year? . . . . .	<input type="checkbox"/> Yes <input type="checkbox"/> No													

**4-Year Averaging Period Under Section 501(h)**  
**(Some organizations that made a section 501(h) election do not have to complete all of the five columns below. See the separate instructions for lines 2a through 2f.)**

<b>Lobbying Expenditures During 4-Year Averaging Period</b>					
Calendar year (or fiscal year beginning in)	(a) 2016	(b) 2017	(c) 2018	(d) 2019	(e) Total
<b>2a</b> Lobbying nontaxable amount					
<b>b</b> Lobbying ceiling amount (150% of line 2a, column (e))					
<b>c</b> Total lobbying expenditures					
<b>d</b> Grassroots nontaxable amount					
<b>e</b> Grassroots ceiling amount (150% of line 2d, column (e))					
<b>f</b> Grassroots lobbying expenditures					

**Exhibit F. Audited Financials and 990 Tax**

**Part II-B Complete if the organization is exempt under section 501(c)(3) and has NOT filed Form 5768 (election under section 501(h)).**

For each "Yes" response on lines 1a through 1i below, provide in Part IV a detailed description of the lobbying activity.

	(a)		(b)
	Yes	No	Amount
<b>1</b> During the year, did the filing organization attempt to influence foreign, national, state, or local legislation, including any attempt to influence public opinion on a legislative matter or referendum, through the use of:			
<b>a</b> Volunteers?		✓	
<b>b</b> Paid staff or management (include compensation in expenses reported on lines 1c through 1i)?		✓	
<b>c</b> Media advertisements?		✓	
<b>d</b> Mailings to members, legislators, or the public?		✓	
<b>e</b> Publications, or published or broadcast statements?		✓	
<b>f</b> Grants to other organizations for lobbying purposes?		✓	
<b>g</b> Direct contact with legislators, their staffs, government officials, or a legislative body?		✓	
<b>h</b> Rallies, demonstrations, seminars, conventions, speeches, lectures, or any similar means?		✓	
<b>i</b> Other activities?	✓		2,567
<b>j</b> Total. Add lines 1c through 1i			2,567
<b>2a</b> Did the activities in line 1 cause the organization to be not described in section 501(c)(3)?		✓	
<b>b</b> If "Yes," enter the amount of any tax incurred under section 4912			
<b>c</b> If "Yes," enter the amount of any tax incurred by organization managers under section 4912			
<b>d</b> If the filing organization incurred a section 4912 tax, did it file Form 4720 for this year?			

**Part III-A Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6).**

	Yes	No
<b>1</b> Were substantially all (90% or more) dues received nondeductible by members?	1	
<b>2</b> Did the organization make only in-house lobbying expenditures of \$2,000 or less?	2	
<b>3</b> Did the organization agree to carry over lobbying and political campaign activity expenditures from the prior year?	3	

**Part III-B Complete if the organization is exempt under section 501(c)(4), section 501(c)(5), or section 501(c)(6) and if either (a) BOTH Part III-A, lines 1 and 2, are answered "No" OR (b) Part III-A, line 3, is answered "Yes."**

<b>1</b> Dues, assessments and similar amounts from members	<b>1</b>	
<b>2</b> Section 162(e) nondeductible lobbying and political expenditures (do not include amounts of political expenses for which the section 527(f) tax was paid).		
<b>a</b> Current year	<b>2a</b>	
<b>b</b> Carryover from last year	<b>2b</b>	
<b>c</b> Total	<b>2c</b>	
<b>3</b> Aggregate amount reported in section 6033(e)(1)(A) notices of nondeductible section 162(e) dues	<b>3</b>	
<b>4</b> If notices were sent and the amount on line 2c exceeds the amount on line 3, what portion of the excess does the organization agree to carryover to the reasonable estimate of nondeductible lobbying and political expenditure next year?	<b>4</b>	
<b>5</b> Taxable amount of lobbying and political expenditures (see instructions)	<b>5</b>	

**Part IV Supplemental Information**

Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions); and Part II-B, line 1. Also, complete this part for any additional information.

[SEE NEXT PAGE](#)

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**Exhibit F. Audited Financials and 990 Tax**

**Part IV**

**Supplemental Information.** Provide the descriptions required for Part I-A, line 1; Part I-B, line 4; Part I-C, line 5; Part II-A (affiliated group list); Part II-A, lines 1 and 2 (see instructions); and Part II-B, line 1. Also, complete this part for any additional information.

Return Reference - Identifier	Explanation
SCHEDULE C, PART II-B, LINE 1 - DETAILED DESCRIPTION OF THE LOBBYING ACTIVITY	THE ORGANIZATION INDIRECTLY INFLUENCES LEGISLATION THROUGH ITS ANNUAL DUES PAID TO THE INDIANA ASSOCIATION OF REHABILITATION FACILITIES (INARF); 15% OF DUES PAID WERE USED FOR SPECIFIC LOBBYING PURPOSES.

SCHEDULE D (Form 990)

Supplemental Financial Statements

OMB No. 1545-0047

2019

Open to Public Inspection

Department of the Treasury Internal Revenue Service

Complete if the organization answered "Yes" on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b. Attach to Form 990.

Go to www.irs.gov/Form990 for instructions and the latest information.

Name of the organization

ADEC, INC.

Employer identification number

35-1060633

Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.

Complete if the organization answered "Yes" on Form 990, Part IV, line 6.

Table with 3 columns: Question number, (a) Donor advised funds, (b) Funds and other accounts. Includes questions 1-6 regarding donor advised funds.

Part II Conservation Easements.

Complete if the organization answered "Yes" on Form 990, Part IV, line 7.

Table with 3 columns: Question number, Description, Held at the End of the Tax Year. Includes questions 1-9 regarding conservation easements.

Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.

Complete if the organization answered "Yes" on Form 990, Part IV, line 8.

Table with 3 columns: Question number, Description, Amount. Includes questions 1a, 1b, 2 regarding art and historical treasures.

**Exhibit F. Audited Financials and 990 Tax**

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets (continued)**

- 3** Using the organization's acquisition, accession, and other records, check any of the following that make significant use of its collection items (check all that apply):
- a**  Public exhibition
  - b**  Scholarly research
  - c**  Preservation for future generations
  - d**  Loan or exchange program
  - e**  Other \_\_\_\_\_
- 4** Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.
- 5** During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection?  **Yes**  **No**

**Part IV Escrow and Custodial Arrangements.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

- 1a** Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X?  **Yes**  **No**
- b** If "Yes," explain the arrangement in Part XIII and complete the following table:
- |   | Amount |
|---|--------|
| <b>1c</b> Beginning balance             |        |
| <b>1d</b> Additions during the year     |        |
| <b>1e</b> Distributions during the year |        |
| <b>1f</b> Ending balance                |        |
- 2a** Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability?  **Yes**  **No**
- b** If "Yes," explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII

**Part V Endowment Funds.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
<b>1a</b> Beginning of year balance	1,975,852	1,880,795	1,773,606	1,652,682	1,708,749
<b>b</b> Contributions	390	390	390	462	498
<b>c</b> Net investment earnings, gains, and losses	94,226	160,824	139,877	219,651	24,247
<b>d</b> Grants or scholarships					
<b>e</b> Other expenditures for facilities and programs	66,173	66,157	33,078	99,189	80,812
<b>f</b> Administrative expenses					
<b>g</b> End of year balance	2,004,295	1,975,852	1,880,795	1,773,606	1,652,682

**2** Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

- a** Board designated or quasi-endowment  0.00 %
- b** Permanent endowment  82.54 %
- c** Term endowment  17.46 %

The percentages on lines 2a, 2b, and 2c should equal 100%.

**3a** Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

	Yes	No
<b>(i)</b> Unrelated organizations		✓
<b>(ii)</b> Related organizations		✓
<b>b</b> If "Yes" on line 3a(ii), are the related organizations listed as required on Schedule R?		

**4** Describe in Part XIII the intended uses of the organization's endowment funds.

**Part VI Land, Buildings, and Equipment.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
<b>1a</b> Land		516,316		516,316
<b>b</b> Buildings		10,688,992	6,376,109	4,312,883
<b>c</b> Leasehold improvements		438,156	65,213	372,943
<b>d</b> Equipment		4,247,359	3,413,427	833,932
<b>e</b> Other		19,640		19,640
<b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c.)				6,055,714



**Exhibit F. Audited Financials and 990 Tax**

**Part VII Investments—Other Securities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives . . . . .		
(2) Closely held equity interests . . . . .		
(3) Other _____		
(A) _____		
(B) _____		
(C) _____		
(D) _____		
(E) _____		
(F) _____		
(G) _____		
(H) _____		
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 12.) . ▶		

**Part VIII Investments—Program Related.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 13.) . ▶		

**Part IX Other Assets.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 15.) . . . . . ▶	

**Part X Other Liabilities.**

Complete if the organization answered "Yes" on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25.

1. (a) Description of liability	(b) Book value
(1) Federal income taxes	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
<b>Total.</b> (Column (b) must equal Form 990, Part X, col. (B) line 25.) . . . . . ▶	0

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FASB ASC 740. Check here if the text of the footnote has been provided in Part XIII .



**Exhibit F. Audited Financials and 990 Tax**

**Part XIII**

**Supplemental Information.** Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

Return Reference - Identifier	Explanation
SCHEDULE D, PART V, LINE 4 - INTENDED USES OF ENDOWMENT FUNDS	THE PURPOSE OF THE ENDOWMENT FUND IS TO FACILITATE DONORS' DESIRES TO MAKE SUBSTANTIAL LONG-TERM GIFTS TO THE ORGANIZATION TO DEVELOP A SIGNIFICANT SOURCE OF REVENUE TO SUPPORT ENDEAVORS OF THE ORGANIZATION. 100% OF INCOME FROM THE ENDOWMENT IS USED TO PROVIDE SERVICES TO CLIENTS IN KEEPING WITH THE ORGANIZATION'S MISSION.
SCHEDULE D, PART X, LINE 2 - FIN 48 (ASC 740) FOOTNOTE	<p>THE ORGANIZATION IS EXEMPT FROM INCOME TAXES ON INCOME FROM RELATED ACTIVITIES UNDER SECTION 501(C)(3) OF THE U.S. INTERNAL REVENUE CODE AND CORRESPONDING STATE TAX LAW. ACCORDINGLY, NO PROVISION HAS BEEN MADE FOR FEDERAL OR STATE INCOME TAXES.</p> <p>U.S. GAAP REQUIRES THAT A TAX POSITION IS RECOGNIZED AS A BENEFIT ONLY IF IT IS "MORE LIKELY THAN NOT" THAT THE TAX POSITION WOULD BE SUSTAINED IN A TAX EXAMINATION, WITH A TAX EXAMINATION BEING PRESUMED TO OCCUR. THE AMOUNT RECOGNIZED IS THE LARGEST AMOUNT OF TAX BENEFIT THAT IS GREATER THAN 50% LIKELY OF BEING REALIZED ON EXAMINATION. FOR TAX POSITIONS NOT MEETING THE "MORE LIKELY THAN NOT" TEST, NO TAX BENEFIT IS RECORDED.</p> <p>THE ORGANIZATION'S FORM 990 HAS NOT BEEN SUBJECT TO EXAMINATION BY THE INTERNAL REVENUE SERVICE OR THE STATE OF INDIANA FOR THE LAST THREE YEARS. THE ORGANIZATION DOES NOT EXPECT THE TOTAL AMOUNT OF UNRECOGNIZED TAX BENEFITS TO SIGNIFICANTLY CHANGE IN THE NEXT 12 MONTHS. THE ORGANIZATION RECOGNIZES INTEREST AND/OR PENALTIES RELATED TO INCOME TAX MATTERS IN INCOME TAX EXPENSE. THE ORGANIZATION DID NOT HAVE ANY AMOUNTS ACCRUED FOR INTEREST AND PENALTIES AT JUNE 30, 2020 AND 2019.</p>

**Exhibit F. Audited Financials and 990 Tax**

**SCHEDULE J  
(Form 990)**

**Compensation Information**

OMB No. 1545-0047

For certain Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees

**2019**

▶ Complete if the organization answered "Yes" on Form 990, Part IV, line 23.

▶ Attach to Form 990.

▶ Go to [www.irs.gov/Form990](http://www.irs.gov/Form990) for instructions and the latest information.

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

Name of the organization

ADEC, INC.

Employer identification number

35-1060633

**Part I Questions Regarding Compensation**

	Yes	No
<p><b>1a</b> Check the appropriate box(es) if the organization provided any of the following to or for a person listed on Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.</p> <p> <input type="checkbox"/> First-class or charter travel                      <input type="checkbox"/> Housing allowance or residence for personal use  <input type="checkbox"/> Travel for companions                                      <input type="checkbox"/> Payments for business use of personal residence  <input type="checkbox"/> Tax indemnification and gross-up payments              <input type="checkbox"/> Health or social club dues or initiation fees  <input type="checkbox"/> Discretionary spending account                              <input type="checkbox"/> Personal services (such as maid, chauffeur, chef)                 </p>		
<p><b>b</b> If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain . . . . .</p>	<b>1b</b>	
<p><b>2</b> Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all directors, trustees, and officers, including the CEO/Executive Director, regarding the items checked on line 1a? . . . . .</p>	<b>2</b>	
<p><b>3</b> Indicate which, if any, of the following the organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director, but explain in Part III.</p> <p> <input type="checkbox"/> Compensation committee                                      <input type="checkbox"/> Written employment contract  <input type="checkbox"/> Independent compensation consultant                      <input checked="" type="checkbox"/> Compensation survey or study  <input type="checkbox"/> Form 990 of other organizations                              <input checked="" type="checkbox"/> Approval by the board or compensation committee                 </p>		
<p><b>4</b> During the year, did any person listed on Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:</p>		
<p><b>a</b> Receive a severance payment or change-of-control payment? . . . . .</p>	<b>4a</b>	✓
<p><b>b</b> Participate in, or receive payment from, a supplemental nonqualified retirement plan? . . . . .</p>	<b>4b</b>	✓
<p><b>c</b> Participate in, or receive payment from, an equity-based compensation arrangement? . . . . .</p> <p>If "Yes" to any of lines 4a–c, list the persons and provide the applicable amounts for each item in Part III.</p>	<b>4c</b>	✓
<p><b>Only section 501(c)(3), 501(c)(4), and 501(c)(29) organizations must complete lines 5–9.</b></p>		
<p><b>5</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:</p>		
<p><b>a</b> The organization? . . . . .</p>	<b>5a</b>	✓
<p><b>b</b> Any related organization? . . . . .</p> <p>If "Yes" on line 5a or 5b, describe in Part III.</p>	<b>5b</b>	✓
<p><b>6</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:</p>		
<p><b>a</b> The organization? . . . . .</p>	<b>6a</b>	✓
<p><b>b</b> Any related organization? . . . . .</p> <p>If "Yes" on line 6a or 6b, describe in Part III.</p>	<b>6b</b>	✓
<p><b>7</b> For persons listed on Form 990, Part VII, Section A, line 1a, did the organization provide any nonfixed payments not described on lines 5 and 6? If "Yes," describe in Part III . . . . .</p>	<b>7</b>	✓
<p><b>8</b> Were any amounts reported on Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III . . . . .</p>	<b>8</b>	✓
<p><b>9</b> If "Yes" on line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)? . . . . .</p>	<b>9</b>	

**Exhibit F. Audited Financials and 990 Tax**

**Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported on Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that aren't listed on Form 990, Part VII.

**Note:** The sum of columns (B)(i)–(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name and Title		(B) Breakdown of W-2 and/or 1099-MISC compensation			(C) Retirement and other deferred compensation	(D) Nontaxable benefits	(E) Total of columns (B)(i)–(D)	(F) Compensation in column (B) reported as deferred on prior Form 990
		(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation				
DONNA L BELUSAR 1 PRESIDENT/CEO	(i)	148,401	11,587	500	8,748	28,196	197,432	0
	(ii)	0	0	0	0	0	0	0
2	(i)							
	(ii)							
3	(i)							
	(ii)							
4	(i)							
	(ii)							
5	(i)							
	(ii)							
6	(i)							
	(ii)							
7	(i)							
	(ii)							
8	(i)							
	(ii)							
9	(i)							
	(ii)							
10	(i)							
	(ii)							
11	(i)							
	(ii)							
12	(i)							
	(ii)							
13	(i)							
	(ii)							
14	(i)							
	(ii)							
15	(i)							
	(ii)							
16	(i)							
	(ii)							

**Exhibit F. Audited Financials and 990 Tax**

<b>SCHEDULE O (Form 990 or 990-EZ)</b>  Department of Treasury Internal Revenue Service	<b>Supplemental Information to Form 990 or 990-EZ</b> Complete to provide information for responses to specific questions on Form 990 or 990-EZ or to provide any additional information. ▶ Attach to Form 990 or 990-EZ. ▶ Go to <a href="http://www.irs.gov/Form990">www.irs.gov/Form990</a> for the latest information.	OMB No. 1545-0047  <b>2019</b> Open to Public Inspection
	Name of the Organization <b>ADEC, INC.</b>	Employer Identification Number <b>35-1060633</b>

Return Reference - Identifier	Explanation
FORM 990, PART III, LINE 1 - ORGANIZATION'S MISSION	<p>(CONTINUED FROM PART III, LINE 1)</p> <p>SINCE 1952, ADEC'S MISSION AND WORK HAS INCLUDED PROVIDING INDIVIDUALS WITH INTELLECTUAL AND DEVELOPMENTAL DISABILITIES THE ABILITY TO LIVE LIVES FULL OF INFORMED CHOICE AND POSSIBILITY AND FREE FROM EXPLOITATION AND ABUSE. ADEC CLIENTS ARE MEMBERS OF THE COMMUNITIES IN WHICH THEY LIVE AND CONTRIBUTE THROUGH WORK AND VOLUNTEERING.</p> <p>TODAY, THAT MISSION INCLUDES:</p> <ul style="list-style-type: none"> <li>- HELPING FAMILIES WHO HAVE CHILDREN DIAGNOSED WITH A DISABILITY GET CONNECTED TO RESOURCES INCLUDING UNDERSTANDING THEIR RIGHTS, LINKING UP WITH AN APPROPRIATE THERAPIST AND HAVING ACCESS TO EXTENDED DAY AND SUMMER CAMP.</li> <li>- RESIDENTIAL SERVICES FOR INDIVIDUALS WHO BENEFIT FROM A GROUP HOME ENVIRONMENT AND A SUPPORTED LIVING ENVIRONMENT.</li> <li>- EMPLOYMENT SERVICES THAT INCLUDE A SHELTERED WORKSHOP AND COMMUNITY EMPLOYMENT WHERE ADEC CLIENTS FEEL THE PRIDE OF EARNING A PAYCHECK AND INTERACTING WITH THEIR CO-WORKERS. THEN CHANGING TO INTEGRATED COMMUNITY EMPLOYMENT AS OF JUNE 2020.</li> <li>- DAY SERVICE PROGRAMS IN FIVE LOCATIONS THAT PROVIDE VOCATIONAL TIME WHERE ADEC CLIENTS GET TO FLEX THEIR CREATIVE MUSCLES AND HAVE THE OPPORTUNITY OF SELLING THEIR CREATIONS TO THE PUBLIC.</li> <li>- A "GAINING GROUNDS COFFEE SHOP" INCLUDES SPECIALIZED CONFERENCE/MEETING ROOMS IN THE BRISTOL FACILITY.</li> <li>- A GUARDIANSHIP PROGRAM THAT PROVIDES MUCH NEEDED ADVOCATES WHEN A CLIENT'S OWN FAMILY IS UNABLE TO BE THERE.</li> </ul> <p>ADEC SERVES OVER 1,000 INDIVIDUALS WITH THE INTENT TO CREATE A SPACE AND PROGRAMS WHERE INDIVIDUALS WITH DISABILITIES ARE CARED FOR AND ENCOURAGED TO TRY NEW THINGS. OUR MISSION INCLUDES "COMMUNITY" BECAUSE WE'VE BELIEVED SINCE OUR INCEPTION THAT PEOPLE WITH DISABILITIES BELONG IN THE COMMUNITY AND ARE A VALUABLE PART OF THE COMMUNITIES IN WHICH WE ALL LIVE. ADEC CLIENTS ROUTINELY VOLUNTEER IN THE COMMUNITY, ATTEND COMMUNITY EVENTS AND INTERACT WITH OTHERS IN OUR COMMUNITY.</p> <p>SINCE 1952, ADEC HAS EVOLVED TO FIT THE NEEDS OF THOSE WE SERVE WHILE CONTINUING TO ADVOCATE AND SUPPORT OUR CLIENTS.</p>
FORM 990, PART III, LINE 4A - RESIDENTIAL AND DAY SERVICES	<p>(CONTINUED FROM PART III, LINE 4A)</p> <p>THESE SERVICES ARE MEANT TO HELP CLIENTS GAIN COMMUNITY CONNECTIONS AND EVENTUALLY BE INDEPENDENT IN THE COMMUNITY. THESE SERVICES ARE PROVIDED TO PEOPLE THAT LIVE WITH FAMILY OR IN THEIR OWN HOMES/APARTMENTS. ADEC PROVIDES SUPPORT IN THE FOLLOWING AREAS; FINANCIAL MANAGEMENT, COMMUNITY INTEGRATION, HEALTH CARE COORDINATION, TRANSPORTATION, AND COMMUNITY ADVOCACY. ADEC ALSO PROVIDES SUPPORT IN OTHER AREAS THAT MAY BE CLIENT SPECIFIC SUCH AS PERSONAL HYGIENE, MEAL PREPARATION ETC.</p> <p>ADEC'S GREATEST GOAL IS TO HELP PEOPLE WE WORK WITH REALIZE THEIR DREAMS AND BE INDEPENDENT IN THE COMMUNITY. ADEC'S STAFF SCHEDULES ARE DRIVEN BY THE NEEDS OF THE SPECIFIC PERSON BEING SERVED. THOSE USING SUPPORTED LIVING CAN CHOOSE TO DEVELOP A VARIETY OF SERVICES TO PURSUE THEIR INDIVIDUAL INTERESTS AND NEEDS WITHIN THE COMMUNITY.</p> <p>ADEC'S SUPPORTED LIVING SERVICES ALLOW ADULTS WITH INTELLECTUAL DISABILITIES TO LIVE IN THEIR OWN HOME OR APARTMENT WITH THE SUPPORT OF TRAINED STAFF ASSISTANCE. THOSE USING SUPPORTED LIVING SERVICES CAN CHOOSE TO DEVELOP A VARIETY OF SERVICES TO PURSUE THEIR INDIVIDUAL INTERESTS AND NEEDS WITHIN THE COMMUNITY.</p> <p>ADEC'S DAY SERVICES UTILIZE COMMUNITY BASED AND FACILITY BASED ACTIVITIES TO ASSIST ADULTS WITH INDIVIDUAL GOALS IN AREAS OF SELF-HELP, COMMUNICATION, AND SOCIALIZATION. THOSE SERVED HAVE OPPORTUNITIES TO:</p> <ul style="list-style-type: none"> <li>-VOLUNTEER IN THE COMMUNITY;</li> <li>-TAKE PART IN ORGANIZED COMMUNITY RECREATIONAL OPPORTUNITIES SUCH AS INDIVIDUAL AND TEAM SPORTS;</li> <li>-ENJOY MUSIC THERAPY AND SOCIAL EVENTS;</li> <li>-PATRONIZE COMMUNITY SHOPS, SERVICES, AND RESOURCES.</li> </ul>



**Exhibit F. Audited Financials and 990 Tax**

Return Reference - Identifier	Explanation
<p>FORM 990, PART III, LINE 4B - ADULT TRAINING AND VOCATIONAL SERVICES</p>	<p>(CONTINUED FROM PART III, LINE 4B)            ADEC'S SKILLS TRAINING PROGRAM IS DESIGNED TO HELP BRIDGE THE GAP BETWEEN EDUCATION AND EMPLOYMENT. THE PROGRAM, WHICH LAUNCHED IN MAY 2018, IS OPEN TO ANY INDIVIDUALS WITH DISABILITIES INTERESTED IN JOINING THE WORKFORCE, BUT IS AIMED AT UPCOMING AND RECENT HIGH SCHOOL GRADUATES.</p> <p>OVER THE PAST YEAR IN ELKHART AND ST. JOSEPH COUNTIES, WE HAVE SERVED APPROXIMATELY 300 CLIENTS IN VARIOUS STAGES OF EMPLOYMENT SERVICES INCLUDING DISCOVERY, JOB PLACEMENT, SUPPORTED EMPLOYMENT, AND EXTENDED SERVICES.</p> <p>ADEC'S ADULT HABILITATION SERVICES ARE DESIGNED TO PROVIDE ADULTS LIVING WITH AN INTELLECTUAL DISABILITY A MEANINGFUL DAY, EVERY DAY. WE ACCOMPLISH THIS BY TAKING TIME TO DISCOVER THE ABILITIES AND INTERESTS OF THE PEOPLE WE SERVE, AND THEN CHALLENGING THEM TO WORK AT DEVELOPING THOSE SKILLS, ABILITIES AND INTERESTS. THE KEY OBJECTIVES IN ADEC'S DAY SERVICE PROGRAM ARE TO PROVIDE OPPORTUNITIES FOR PRODUCTIVITY, RECREATION AND SOCIALIZATION EACH DAY. PRODUCTIVITY IS ACCOMPLISHED BY PROVIDING A VARIETY OF ACTIVITIES, INCLUDING; WOODWORKING, ART, BAKING AND COOKING, PHOTOGRAPHY, SEWING, AND OTHER "VOCATIONAL" ACTIVITIES. 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.). SOCIALIZATION IS ACCOMPLISHED BY OFFERING VOLUNTEER OPPORTUNITIES IN THE COMMUNITY, PARTICIPATING IN ORGANIZED SOCIAL EVENTS AND PATRONIZING COMMUNITY SHOPS, SERVICES AND RESOURCES SUCH AS THE LIBRARY, PARKS AND RESTAURANTS. ADEC'S ASSISTIVE TECHNOLOGY PROGRAM INTEGRATES THE USE OF TECHNOLOGY TO HELP PROMOTE INDEPENDENCE IN THOSE WE SERVE. THIS IS ACCOMPLISHED THROUGH TRAINING STAFF AND CLIENTS ON TECHNOLOGIES THAT WILL GIVE THOSE WITH DISABILITIES GREATER INDEPENDENCE, RESEARCHING AND IMPLEMENTING ASSISTIVE TECHNOLOGIES IN OUR PROGRAMS AND DEVELOPING OUR OWN TECHNOLOGICAL SOLUTIONS WHERE THERE IS NO EXISTING SOLUTION.</p> <p>ADEC INDUSTRIES PROVIDES EMPLOYMENT IN A FACTORY ENVIRONMENT. EMPLOYEES WORK ON A VARIETY OF PACKAGING AND ASSEMBLY PROJECTS SERVING LOCAL INDUSTRY.</p> <p>THROUGH REGULAR COACHING, ADEC MONITORS EMPLOYEE PROGRESS AND PROVIDES SUPPORT AS NEEDED TO ASSURE SUCCESS ON THE JOB. ADEC INDUSTRIES MANUFACTURES AND SELLS OUR SILVER LININGS PRODUCTS; TRASH LINERS THAT COME IN A VARIETY OF SIZES AND STRENGTHS. THE SALES FROM THE SILVER LININGS BRAND TRASH BAGS HELP SUPPORT THE PROGRAM TO CONTINUE IN ITS MISSION.</p>
<p>FORM 990, PART III, LINE 4B - PROGRAM SERVICE DESCRIPTION</p>	<p>ACCOMMODATIONS, SELF-ADVOCACY, AND ASSISTANCE WITH INTERPERSONAL AND COMMUNICATION SKILLS. (CONTINUED ON SCHEDULE O)</p>
<p>FORM 990, PART III, LINE 4C - FAMILY SERVICES</p>	<p>(CONTINUED FROM PART III, LINE 4C)            ADEC'S FAMILY SERVICES REFERRAL COORDINATOR HELPS GUIDE PARENTS THROUGH THE PROCESS OF FINDING SERVICES THROUGH ADEC OR REFERRAL TO OTHER ORGANIZATIONS THAT FIT THEIR NEEDS. ADEC RECREATIONAL AND MUSIC THERAPY AND BEHAVIORAL SERVICES ARE DELIVERED BY QUALIFIED PROFESSIONALS WHO ARE FORMALLY TRAINED, CREDENTIALLED THROUGH NATIONAL TESTING, AND ARE BOARD CERTIFIED.</p> <p>OUR THERAPISTS ARE COMMITTED TO PROVIDING YOU OR YOUR LOVED ONE WITH THE BEST POSSIBLE SERVICES BY USING A TEAM APPROACH AND REMAINING EASILY ACCESSIBLE FOR YOUR THERAPY NEEDS. RELIEF AND ASSISTANCE FOR FAMILIES WITH CHILDREN OF ALL AGES AND/OR ADULTS WITH DISABILITIES AND/OR EMOTIONAL/MENTAL ILLNESS IS ALSO PROVIDED THROUGH ADEC'S RESPITE SERVICES.</p> <p>WE OFFER:</p> <p>THE TYPE AND AMOUNT OF SERVICES ARE INDIVIDUALLY DESIGNED TO MEET THE NEEDS OF EACH CHILD AND FAMILY. FAMILIES PLAY A KEY ROLE IN DECIDING WHAT SERVICES ARE NEEDED TO HELP THEIR CHILD.</p> <p>SERVICES FOLLOWING EVALUATION ARE FUNDED THROUGH THE STATE, FEDERAL, MEDICAID AND CHARITABLE DONATIONS.</p>
<p>FORM 990, PART III, LINE 4D - DESCRIPTION OF OTHER PROGRAM SERVICES</p>	<p>(EXPENSES \$587,278 INCLUDING GRANTS OF \$0)(REVENUE \$144,821)</p> <p>TRANSPORTATION SERVICES IN ELKHART COUNTY ARE PROVIDED TO ADEC DAY SERVICES CLIENTS WHO LIVE AT HOME AND USE SERVICES AT THE ELKHART AND BRISTOL CAMPUSES, AS WELL AS OUR GOSHEN AND MIDDLEBURY DAY SERVICE LOCATIONS. GROUP HOME AND SUPPORTED LIVING STAFF PROVIDE TRANSPORTATION FOR RESIDENTS IN THOSE SERVICES. TRANSPORTATION BRINGS CLIENTS WHO LIVE AT HOME AND WORK DAILY AT ADEC INDUSTRIES IN INTEGRATED COMMUNITY EMPLOYMENT.</p>

**Exhibit F. Audited Financials and 990 Tax**

Return Reference - Identifier	
FORM 990, PART VI, LINE 1A - DELEGATE BROAD AUTHORITY TO A COMMITTEE	THE EXECUTIVE COMMITTEE SHALL CONSIST OF THE CHAIRPERSON, VICE CHAIRPERSON, SECRETARY, TREASURER, AND IMMEDIATE PAST CHAIRPERSON. THE EXECUTIVE COMMITTEE SHALL HAVE THE AUTHORITY TO CONDUCT THE AFFAIRS OF THE CORPORATION IN THE INTERIM BETWEEN MEETINGS OF THE BOARD OF DIRECTORS, SUBJECT TO POLICY ESTABLISHED AND REGULATED BY THE BOARD OF DIRECTORS. THE EXECUTIVE COMMITTEE SHALL FORMULATE AND PROPOSE POLICY STATEMENTS TO THE BOARD OF DIRECTORS RELATIVE TO GOVERNANCE AND THE USE AND PROTECTION OF THE CORPORATION'S ASSETS, AND SHALL FORMULATE POLICY WITH RESPECT TO MATTERS OF FINANCE. THE GOVERNANCE COMMITTEE AND FINANCE COMMITTEE SHALL SERVE AS A RESOURCE TO THE EXECUTIVE COMMITTEE ON THESE MATTERS. THE EXECUTIVE COMMITTEE WILL ALSO PROVIDE OVERSIGHT TO AND FOR THE PRESIDENT/CHIEF EXECUTIVE OFFICER OF THE CORPORATION IN THE PERFORMANCE OF HIS/HER DUTIES. AT LEAST THREE OFFICERS SHALL CONSTITUTE A QUORUM OF THE EXECUTIVE COMMITTEE FOR THE TRANSACTION OF ANY BUSINESS IN PERSON OR BY PROXY. REGULAR MEETINGS OF EXECUTIVE COMMITTEE MAY BE HELD AS A PART OF THE BOARD MEETING IN EXECUTIVE SESSION AT A PLACE AND TIME DESIGNATED BY THE CHAIRPERSON.
FORM 990, PART VI, LINE 11B - REVIEW OF FORM 990 BY GOVERNING BODY	THE ORGANIZATION'S MANAGEMENT PERFORMS A DETAILED REVIEW OF A DRAFT OF THE FORM 990. A BOARD MEETING IS THEN HELD WHERE A FINAL DRAFT OF THE FULL FORM 990, INCLUDING ALL APPLICABLE SCHEDULES, IS PRESENTED TO EACH MEMBER OF THE GOVERNING BODY. AT THE BOARD MEETING, THE FULL FORM 990, ALONG WITH A SUMMARY OF KEY POINTS OF THE RETURN, ARE PRESENTED AND BOARD MEMBERS ARE ALLOWED TO ASK ANY QUESTIONS THEY MAY HAVE ABOUT THE RETURN. ONCE REVIEWED AND APPROVED BY THE BOARD OF DIRECTORS, THE RETURN IS THEN FILED WITH THE IRS.
FORM 990, PART VI, LINE 12C - CONFLICT OF INTEREST POLICY	A CONFLICT OF INTEREST QUESTIONNAIRE IS SENT OUT ANNUALLY TO EACH OFFICER AND DIRECTOR OF THE ORGANIZATION. THE QUESTIONNAIRE REQUIRES EACH PERSON TO ANSWER A SERIES OF QUESTIONS RELATED TO VARIOUS POTENTIAL CONFLICTS OF INTEREST THAT ARE SPECIFICALLY ASKED ON THE FORM 990. THE ORGANIZATION'S COMPLIANCE OFFICER MONITORS THE RESPONSES FOR ANY POTENTIAL CONFLICTS OF INTEREST AND SHARES RESPONSES WITH THE PRESIDENT/CEO AND THE CHAIRPERSON OF THE BOARD WHO THEN DETERMINES WHETHER OR NOT AN ACTUAL CONFLICT OF INTEREST EXISTS. ANYONE WHO IS DETERMINED TO HAVE A CONFLICT OF INTEREST IS NOT ALLOWED TO VOTE ON ANY MATTERS INVOLVING THE RELATED CONFLICT OF INTEREST. THE COMPLIANCE OFFICER ATTENDS ALL BOARD MEETINGS TO ENSURE COMPLIANCE WITH THESE GUIDELINES.
FORM 990, PART VI, LINE 15A - PROCESS TO ESTABLISH COMPENSATION OF TOP MANAGEMENT OFFICIAL	THE BOARD CHAIRPERSON REVIEWS INDIANA ASSOCIATION OF REHABILITATION FACILITIES (INARF) COMPENSATION SURVEYS, AS WELL AS PERFORMANCE EVALUATIONS PROVIDED BY BOARD MEMBERS, IN DETERMINING THE COMPENSATION FOR THE ORGANIZATION'S CEO. THE EXECUTIVE FINANCE COMMITTEE THEN REVIEWS THE FINDINGS, DELIBERATES AND ESTABLISHES THE AMOUNT OF COMPENSATION. THIS PROCESS WAS LAST PERFORMED AND DOCUMENTED IN JULY OF 2019.
FORM 990, PART VI, LINE 15B - PROCESS USED TO ESTABLISH COMPENSATION OF OTHER OFFICERS/KEY EMPLOYEES	ADEC'S HUMAN RESOURCES DEPARTMENT AND CEO REVIEW INDIANA ASSOCIATION OF REHABILITATION FACILITIES (INARF) COMPENSATION SURVEYS, ELKHART COUNTY CHAMBER WAGE SURVEY, AND OTHER OUTSIDE COMPENSATION SURVEYS IN ORDER TO DETERMINE APPROPRIATE COMPENSATION FOR ALL OTHER OFFICERS AND EMPLOYEES. THIS PROCESS IS PERFORMED ON AN ONGOING BASIS.
FORM 990, PART VI, LINE 19 - REQUIRED DOCUMENTS AVAILABLE TO THE PUBLIC	THE ORGANIZATION MAKES ITS GOVERNING DOCUMENTS, CONFLICTS OF INTEREST POLICY, AND AUDITED FINANCIAL STATEMENTS AVAILABLE TO THE PUBLIC UPON REQUEST.



*Exhibit G. FY21 Budget CEO Whitepaper and Budget*

## **ADEC Board of Directors**

### **Fiscal Year 2021 – Proposed Budget**

Submitted June 18, 2020

For Review and Approval at the June 25, 2020 Meeting

## **Budget White-Paper**

Donna L. Belusar, Ph.D.

President / Chief Executive Officer

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## Introduction

On behalf of ADEC – our employees and persons served - I am pleased to present to you the proposed budget for Fiscal Year 2021. This Budget White-Paper provide you a narrative, an overview of our achievements, what we expect in the upcoming fiscal year, the reach and depth of our clients and employees, our financial strength and the success factors to achieve the budget commitments.

Since March 5, 2020, our lives have been changed, our way of living and all the necessities we seek and need – either with businesses or services – has been significant redefined and a potential longer-term new normal is evident. As of mid-June, ADEC is gradually phasing in suspended services while continuing to address COVID-19 issues for both employees and clients. Despite the pandemic, I am pleased to report that our programs continue to serve individuals and families across both St. Joseph and Elkhart Counties with the highest of quality care. I am proud to be the leader of this great organization and the entire team is committed to our mission and legacy.

A humble and genuine “**Thank You**” to the extraordinary and dedicated ADEC team. Throughout the past several months, ADEC has been committed to focusing on our clients and so many employees have worked tirelessly while dealing with increasing anxiety over health and safety of our clients and themselves. I believe it is commendable that the teamwork and willingness of staff to shift roles and work schedules has helped ADEC maintain our residential programs and keep the agency operating. The flexibility to provide remote services by therapist and community employment and telehealth services by our nursing organization was very important. Plus, we witnessed heartwarming and eagerness of employees coming back to our reopened programs. The client smiles speak for the feelings and joy of returning.

Respectfully submitted by and recommended to the Board for **Approval** of the Fiscal Year 2021 Budget.



*Donna L. Belusar, Ph.D.*

President / Chief Executive Officer

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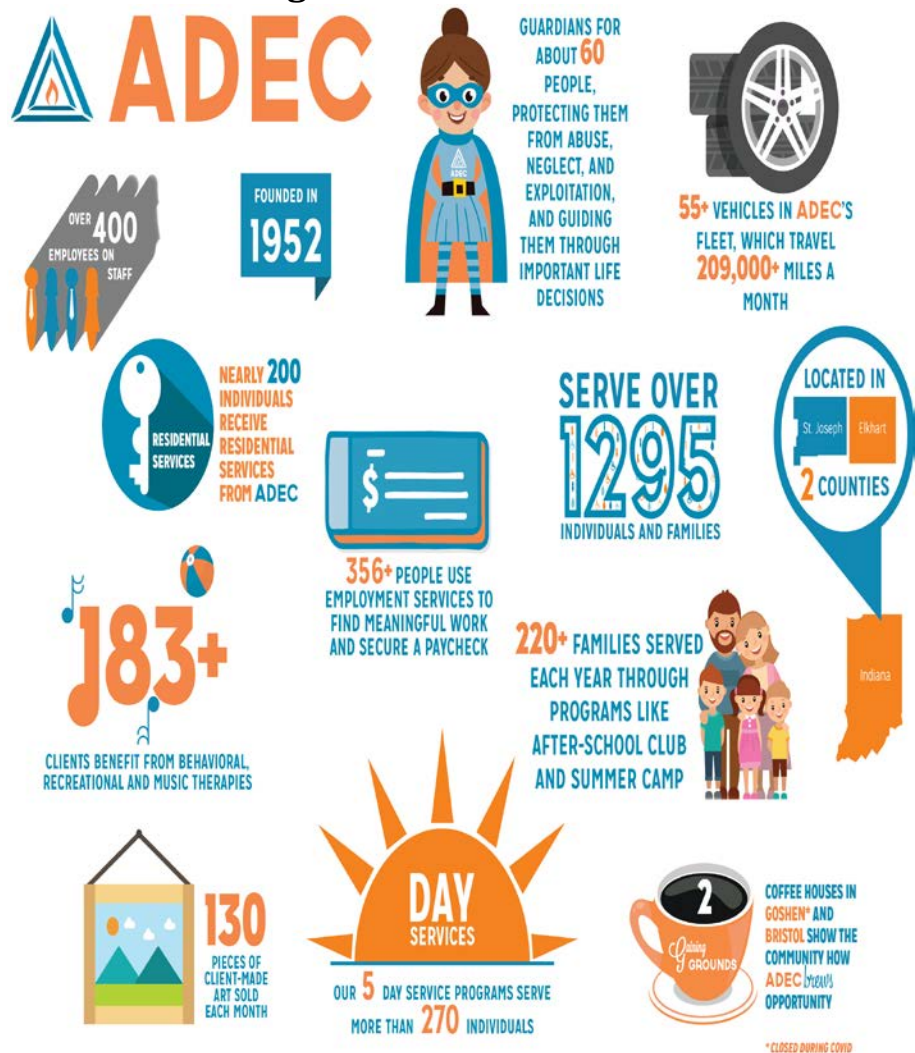
ADEC

ADEC, founded in 1952, with a quiet nod to our 68<sup>th</sup> birthday, continues to provide services with the same passion and commitment to our mission to provide informed choice and possibility to those we serve. Prior to COVID-19<sup>1</sup>, ADEC continued to grow serving nearly 1300 individual program participants from across St. Joseph and Elkhart Counties. ADEC's services meet the needs of people of all ages who experience developmental disabilities, intellectual disabilities and developmental delays. From children and youths to senior citizens, ADEC can provide direct services and information or referrals to help individuals and families meet the challenges of living with disabilities.

Leading into Fiscal Year 2021

ADEC has five separate facility-based day service program sites (6<sup>th</sup> one starting July 6), 14 group homes and 7 residential homes, multiple apartment-based and home-based clients, youth programs, and employment with nearly 400 employees.

We are integral to the quality of life in our communities as partners in the many community, county and state level initiatives. We seek to remain a dedicated Community Impact Partner with United Way, and member of many activities and community group discussion panels, such as the Elkhart and Goshen City Planning / Housing Councils, the Elkhart Education Business Roundtable, Rotary, Chambers of Commerce membership both counties and



<sup>1</sup> Prior to March 5, 2020 Pre-Coronavirus Virus Pandemic – ADEC service/program metrics



active participation in our two trade associations – INARF and The Arc.

ADEC's Mission is to proudly advocate for and serve people with developmental and intellectual disabilities so they live lives full of **INFORMED** choice and possibility. The four letters of ADEC's name represent the four core values that guide the organization, every day: **A** – A life of their own, **D** - Dignity, **E** – Employment, and **C** - Community. We believe that every individual deserves the chance to make their own choices and pursue their passions; are entitled to respect and professionalism as their daily needs are met; are provided the tools to find dignity and meaning in work; and should be active members of the communities in which they live.

With a firm Mission Statement, a strong and defined set of Core Values and identified Strategic Initiatives as our guidance, ADEC is strong and solidly positioned to continue our mission despite the significant uncertainty due to COVID-19 and other external factors.

### Strategic Initiatives Our Guidance

**Mission**  
Choice. Possibility.

**Core Values**  
A. D. E. C.



Targeted, Smart Growth

Great Workforce. Great Workplace.

Outstanding Client Satisfaction and Excellence in Service.

Highest Quality Standards.

Financial Sustainability and Stewardship.

## President / CEO Message

Fiscal Year 2020 was a rollercoaster of actions and external events that has redefined our world and has temporarily set a 'new normal'. ADEC has experienced an assemblage ranging from a settling calm with full inclusion of former Goldenrod clients moving into new ADEC owned Goshen homes; to honor in hosting our first annual luncheon with Keynote Speaker Lt. Governor Crouch; to jubilation with achieving a hard earned critical three-year accreditation and a three-year provider reverification; to anticipation of growth and expansion with a new three year Strategic plan; to a near halting uncertainty of an unprecedented worldwide pandemic; to confirmation of the strength of advocacy for our clients and employees; to humble gratitude towards the true heroes – essential workers – #teamadec.

Through all of this, Fiscal Year 2020, 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.

Muted in all of this, is the quiet recognition that ADEC had its 68<sup>th</sup> birthday. We aged with grace during a period of uncertainty, surreal changes, with the lights of Aux Chandelle burning bright and clear to guide us.

We hear the needs of those we serve. We hear the voices of our employees. We hear the embrace of our communities.

### **Fiscal Year 2020 Highlights**

The following are some of Fiscal Year 2020 highlights in advocating, programming, governance, and engagement. Our ongoing commitment to programs and initiatives are building community inclusion, employee engagement, reduction in turnover and enhanced culture:

- Hosted 20 separate CEO/CFO Townhalls at all day service facilities to share an update with all employees on budget, financials, accomplishments and goals for the next year;
- Interactive partnership with Elkhart County Parks Department featuring Bonneyville Mill, including hands-on milling by clients and a special joint Parks/ADEC label for the ADEC BowWow Dog Bones;
- Sponsored Employee Appreciation week at the Elkhart County Fair;

- Implemented Human Resources comprehensive management training and development including:
  - Small Group Manager Round Tables ,
  - All Manager's retreat, offsite, with external speaker, and
  - the #teamADEC tool kit;
- Introduction of new Board members, Mr. Jeremy Gillespie, HR Partner, Beacon Health System and Mr. Carey Kelsey, former extraordinary ADEC employee and ambassador;
- Refreshed the new Goshen Homes and a complete remodel of the College Ave Home, leveraging the hearts and arms of volunteers to turn an administration facility into a fully remodeled rental home for waiver clients;
- Submitted joint proposal for IHCDA initiative with LaCasa and ADEC (*subsequently proposal was not awarded the state funding*);
- Held special DSP Appreciation survey to gather input on what 'awards and rewards speak of genuine appreciation' to field staff and shared 'winners' during Direct Support Professional Week;
- Implemented a new three-year strategic plan;
- Held first annual ADEC community employment recognition luncheon;
- Hosted annual ADEC celebration, new this year – luncheon – with keynote speaker Lt. Governor Crouch;
- Hosted live Pulse FM Polar Express Remote at Gaining Grounds which brought in over 30 different (*and many new*) community members into Coffee Shop and Art by ADEC;
- Wrapped and had delivered over 425 gifts to individuals served as part of the Wish-List donations
- Informed by Elkhart County Commissioners an increase in annual county funding from \$450,000 to \$650,000 to support ADEC's mission (*receive monthly amount*);
- Successfully showcased ADEC's Social Enterprise to events such as Hall of Heroes Comic Con and local Holiday Bazaars;
- Media Spotlight Campaign – all day – Pulse FM – focusing on advocacy and hearing the voices of families;
- Sold out all NAP credits, with funding used to support family and children services, such as afterschool and summer camp;
- Participated in Work to Include: Employment First Summit by the Indiana Work to Include Coalition in support of the Governor's Council for People with Disabilities
- Achieved three-year CARF accreditation across all home and community based funded programs;

- Successful three-year provider re-approval / re-verification;
- ADEC hosted first joint 'Celebration of Thanks' with Program / Service Leadership and Board of Directors;
- Received Gold Star in GuideStar and earned Better Business Accreditation;
- Fulfilled outcomes with Project Search – partnership with Memorial Hospital and ADEC;
- Recognized employee service with annual dinner and awards;
- Joined hundreds of IDD advocates, individuals and providers at annual Valentine's Day event at State house;
- Hosted Family Resource Fair at Goshen College; and
- Completed vetted Investment Broker changes - ending relationship with Indiana Trust and setting up the Elkhart-based Stifel Group.

ADEC President and CEO demonstrate strong engagement and active participation in INARF and The Arc and FSSA/DDRS:

- Facilitated self-advocates joining in at the SAI Annual Picnic;
- Attended several DDRS Building Bridges: Supporting Families and Self-Advocates;
- Elected to Board of Directors, Ability Indiana;
- Selected as member of the 1102 Task Force Employment Work Group with reporting up to the Lt. Governor's 1102 Task Force;
- Elected to The Arc's Governance Committee;
- Third year member of the Membership and Chapter Committee for The Arc;
- Participated in DDRS Waiver Redesign subgroup;
- Active as an INARF PAC member meeting with local and state level elected officials;
- Attended in person or via webinars over 24 different INARF professional and member forums and 18 The Arc meetings ... Excluding the COVID-19 related calls;
- Several personal tours, facilitated by The Arc, with elected officials at both a state and local level; and
- Had active voice and listening at Third Houses held in Goshen, Elkhart and South Bend.

Other notable operational attainments include:

- Managing health care costs to hold premiums flat and maintain an affordable and comprehensive full health benefits option;
- Facilitating key staffing changes with hiring of new controller, revamping and staffing of entire mission advancement organization – new graphics, new communications,

new donor and a new role – VP Community Outreach, and just hired a new grant writer;

- Ongoing training for guardianship and supportive decision making at annual NGA conference;
- Improved overall strength of Quality Assurance with identified Framework a new quality policy; and
- Ongoing hiring with successful recruitment.

On a more local level, the President/CEO continued weekly engagement with The Rotary, volunteered in annual Taste of the Gardens at Wellfield Gardens, active member of CEO Non-profit roundtables, attended Community Foundation and United Way annual events; represented ADEC as a guest presenter at both Kiwanis and Rotary; attended Vibrant community updates as well as State of the Region Economic Updates; volunteered at annual Christmas Bell Ringing and Gala for the Salvation Army and provided input into the Community Development Block Grant processes in both Elkhart and Goshen; and Annual Elkhart Chamber of Commerce.

**All the above was leading up to** a projected outstanding fiscal year for ADEC, strong financials, great market returns, full caseloads, day service locations at capability, with so much more planned for the year such as client appreciative inquiries, and more.

Then the world came to a halt. March 5, 2020 – ADEC attends a special briefing at Indiana Statehouse - **The Coronavirus Pandemic of 2020.**

### **Coronavirus Pandemic Impact**

**As of today, June 18, 2020,** ADEC is blessed to have no active COVID-19 positive cases with clients. We had 3 clients tested – all negative. With the relaxing of self-isolation and reopening of community activities and businesses, we have experienced an increase in employee exposure: 44 tested – 4 Positive, 5 Pending, 1 Quarantined. We know that this could all change tomorrow, especially in Elkhart County where cases of positive COVID-19 are rising.

ADEC has...

- Been a proactive, transparent, preventative, decisive and influential advocate and provider at both state and federal levels – with several person 1-on-1 discussions with Governor Holcomb, Lt. Governor Crouch, Congresswoman Walorski, Senator Braun, Senator Blake and many more;

- Leveraged strong partnership with The Arc and INARF with active twice weekly calls;
- Received support from businesses and community for PPE – glasses, disinfectant, sewed masks, gowns and surgical/N95 masks;
- Engaged Board of Directors Executive Committee with weekly updates;
- Demonstrated full transparency of communication across all media with employees, individuals and families, DDRS / BDDS and case management;
- Achieved high level of employee support of our mission – with over 78% of employees participating in the personnel re-assignment with the suspension of facility and community based non-residential programs; and
- Successfully deployed telehealth services, remote service delivery, for wellness coordination, therapies and community employment.

ADEC suspended non-residential services on March 23, the following is the impact on clients and employees:

Exhibit 1: COVID-19 Program / Client Impact

<b>Suspended through June 1, 2020</b>		
	<b>As of March 1, 2020</b>	
<b>Effective March 23, 2020</b>	<b>Clients Served</b>	<b>Employees</b>
<b>Individuals in Suspended Programs</b>	<b>FSW/CIH/ICF</b>	<b>Impacted</b>
Day Services - 5 Locations	274	59
Therapies - Music, Recreational, Behaviorial - Remote 4/1/2020		
ADEC Industries - 14C Facility	50	10
Community Employment - Remote 4/1/2020		
Transportation	107	7
After School, Young Adult Services, Respite - 3/16/2020	118	13
<b>Total in Suspended Programs</b>	<b>549</b>	<b>89</b>
<b>Effective April 1, 2020 - Remote Service Delivers</b>		
Therapies - Music, Recreational, Behaviorial	84	8
Community Employment	310	15
<b>Total in Remote Service Delivery</b>	<b>394</b>	<b>23</b>
<b>Grand Total - Suspended and/or Remote Delivery</b>	<b>943</b>	<b>112</b>
<i>Available Personnel re-assignment of staff to work in residential settings during days, afternoons, and weekend shifts to minimize staffing impact of COVID-19</i>		<i>105</i>
<b>Individuals in restrictive residential 'social distancing' and 'self-isolation'</b>		
Supervised Group Living	112	
Supportive Living	77	
<b>Total residential with 'Stay At Home' Services</b>	<b>189</b>	
<b>ADEC Clients Served - Impacted by COVID-19</b>	<b>1132</b>	





Through this process, with significant advocating, providers of IDD services are considered essential workers. This was confirmed through Indiana State Executive Orders as well as interpreted from the federal level stimulus acts.

To date, there were four major coronavirus stimulus packages implemented at a federal level. President Trump and Congress have managed to bridge partisan divides and developed several legislative packages to address the expanding impact of the coronavirus (COVID-19) on America's public health system and the broader economy.

- Phase 1— Coronavirus Preparedness and Response Supplemental Appropriations Act, 2020 - the supplemental appropriations bill - March 6, 2020
- Phase 2—Families First Act (Families First Coronavirus Response Act) - targeted relief for individuals, including paid family leave - March 18, 2020
  - Indiana Executive Order 20-19 identifies IDD providers temporarily, for the pandemic timeline, to the health care workers. Therefore, FFCRA is not applicable
  - ADEC announces alternative Paid Time Off Policy 12.0
- Phase 3—CARES Act (Coronavirus Aid, Relief, and Economic Security Act) - broader economic stimulus designed to deliver cash to individuals to help them weather the downturn, as well as industry-specific relief – March 27
- Phase 4- Paycheck Protection Program and Health Care Enhancement Act – April 24, 2020
  - ADEC applies and received PPP from 1<sup>st</sup> Source Bank, \$2.0(million) loan with potential for forgiveness.

ADEC has completed and implemented five 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 - ADEC COVID-19 Temporary Paid Time Office Policy
- Policy 12.1 - ADEC Reopening Plan for Suspended Program Services
- Policy 12.2 - ADEC Administrative Infrastructure Support Functions
- Policy 12.3 - COVID-10 Waiver Release Form
- Policy 12.4 – ADEC Residential Procedures

These policies address the comprehensive plans and procedures for reopening. Content reflects the expert guidance and directions received from ISDH, FSSA, CDC and local

department of health. ADEC's hopeful date of reopening facility and community based suspended programs:

- June 1, 2020 –for waiver funded individuals with the Family Support Waiver (FSW), the Community Integration Waiver (CIH) waiver, and individuals with intellectual and developmental disabilities receiving residential services from non-ADEC providers; all five-day services will open
- June 8, 2020 – for ADEC Summer Camp program only – to be held at Roosevelt Center, Elkhart
- July 6, 2020 – for ADEC residential services in Supervised Group Living (ADEC group homes); and
- July 6, 2020 – new opportunity, “The Hub” (new alternative as 14-C, shelter workshop is not yet opening as demand is significant down)
- July 6, 2020 – Gaining Grounds Center reopens to public in Bristol

In addition,

- June 1, 2020 – competitive integrated employment at ADEC Industries, “The Shop”. *(This is former client workers, who are now full ADEC employees, who will be earning competitive wages and not piece-rate. The 14-C, shelter workshop, component of ADEC Industries is not operating currently.)*

We will continue to monitor state plans and any changes that may shift our tentative plans to reopen. In addition, we will continue to monitor the number of clients returning to our facility-based and community-based programs.

As reported in the May financials, the financial impact to ADEC has been significant. Operations are negatively impacted by approximately a negative (\$851,283) from March – May. Furthermore, the uncertainty in the financial markets resulted in extraordinary ‘mood swings’ - losses in market valuations, followed by some recovery in subsequent weeks as the positive message of re-opening the economy, helped offset this operating loss to a slight degree. During weekly meetings (webinars) with INARF, The Arc and FSSA/DDRS, there has been much discussion that potentially many agencies in Indiana will not be able to survive the devastating impact this has had. At the June 18, 1102 Task Force meeting (webinar) with the Lt. Governor, the concern of some providers not being able to survive was presented by John Barth, the new Executive Director of INARF.

As reported in ADEC financials, the financial impact from increase PPE, to loss of revenue, to staggering overtime – all agencies are facing a daunting financial future.

However, I believe the proposed fiscal budget for 2021 is based on optimism for programs with a balanced perspective of realistic precautions.

What we do know - is that we are



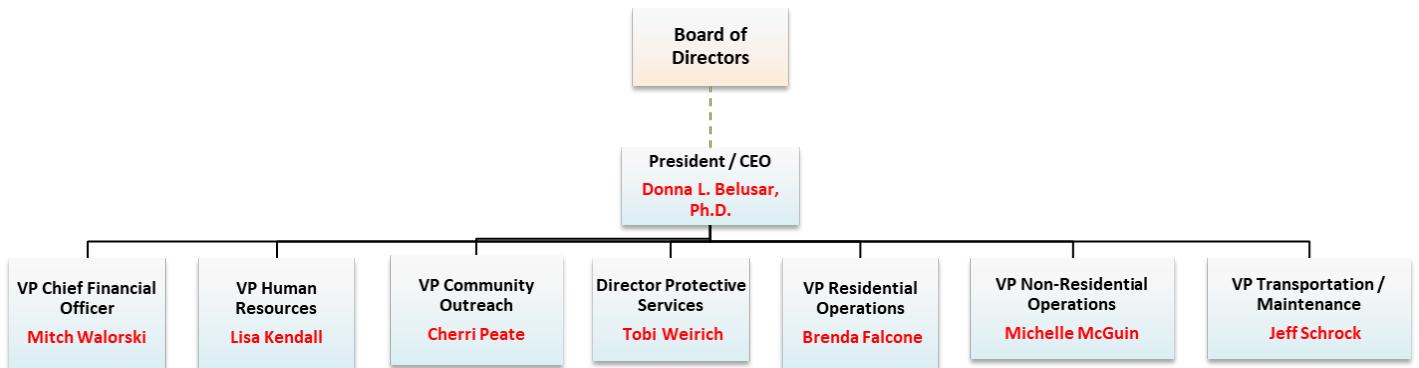
Prior to COVID-19, ADEC was serving nearly 1300 individual program participants from across St. Joseph and Elkhart Counties. ADEC's services responded to the needs of people of all ages who experience developmental disabilities and delays by full participation in five discreet day service program sites, 14 group homes, multiple apartment-based and home-based clients, youth programs, and employment, ADEC Industries, transportation.

Going forward, we have had to make some changes to programs and staffing as we execute on the phase-in of programming and intentional preventive "new norm" in operations. New internal cost centers and project codes are implemented to capture financials to better record the value of effort to programming. Some administrative staff level changes have been made in the non-residential programs to better align costs with revenues and to simplify the organization. In addition, given the economic impact on manufacturing customers, ADEC Industries will not be reopening to full capacity in the near term. Therefore, some identified production leads and working clients (*under 14-C work certificate*), will not be returning to ADEC Industries in the near term. If a role was eliminated, all employees were given an opportunity to apply for open agency roles. All client workers were either offered to return to competitive integrated employment or will be attending the new "The Hub" in July.

## **Organization Structure:**

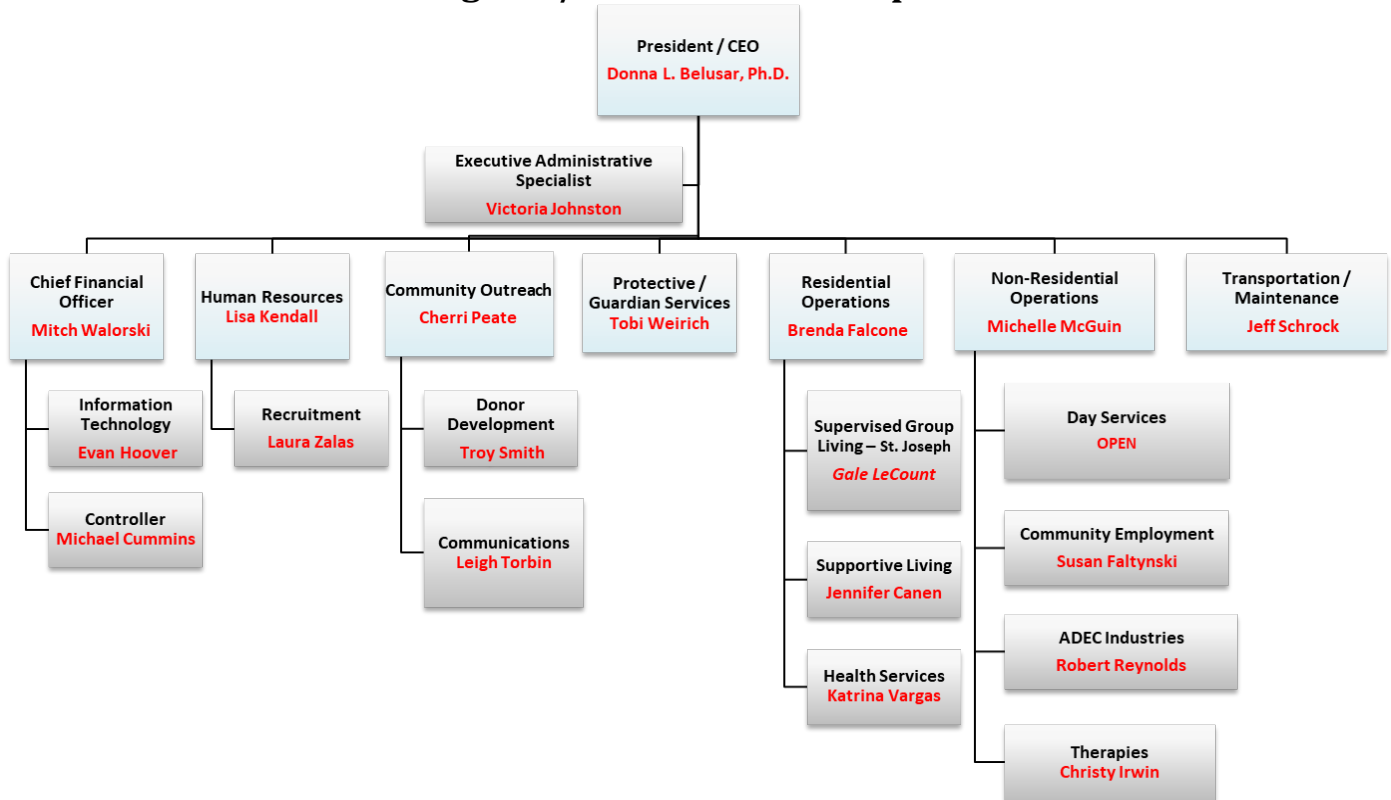
The Executive Leadership Team, including the President / CEO, is fully staffed, with seven direct reports, with combined total of over 109 years of service.

### **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**



The detail budget is the result of comprehensive line-item input and iterative changes across all **thirty-six** cost centers. This level of detail and complexity:

- ensures that we have the accountability, governance and operational understanding to provide decision making in staffing levels, expense and capital requirements;
- provides ADEC the ability to meet the client specific needs of those that have chosen ADEC services and stay true to our mission and strategic direction;
- is detailed, and we believe each leader will be able to assert that they own their budgets and understand what goes into them, with a greater focus on managing controllable expenses; and
- captures all ADEC reporting deliverables.

Exhibit 2: Agency Program Reporting Structure

Cost Centers	Internal Management	External Reporting
1	110 ELKHART RESIDENTIAL ADMINISTRATION	<b>Community Living Services</b>
2	115 ASHLEY COURT	
3	120 BRIDLEWOOD	
4	125 FOSTER AVENUE	
5	130 GOSHEN MEN	
6	135 HAWTHORNE	
7	145 MIDDLEBURY	
8	150 PARK SIDE	
9	155 TERRACE PARK	
10	160 VILLAGE MEN	
11	165 VILLAGE WOMEN NORTH	
12	180 ST. JOSEPH RESIDENTIAL ADMINISTRATION	
13	182 TARA	
14	184 HEATHER LAKE	
15	186 LUTZ	
16	188 MACKEY	
17	230 SUPPORTED LIVING ELKHART	
18	915 RENTAL PROPERTY BRISTOL	
19	250 SUPPORTED LIVING GOSHEN / MIDDLEBURY	
20	925 RENTAL PROPERTY GOSHEN	
21	410 ADULT HABILITATION BRISTOL	<b>Supervised Group Living</b>
22	420 ADULT HABILITATION ELKHART	
23	425 ADULT HABILITATION GOSHEN	
24	430 ADULT HABILITATION MIDDLEBURY	
25	435 ADULT HABILITATION MISHAWAKA	
26	440 ADULT HABILITATION - 'THE HUB' <i>NEW 7/6/20</i>	
27	715 TRANSPORTATION & MAINTENANCE	
28	515 CHILDREN & YOUTH SERVICES	<b>Supported Living</b>
29	530 THERAPIES	
30	310 EMPLOYMENT SERVICES	<b>Adult Training &amp; Vocational Support</b>
31	311 ESTABLISHMENT PROJECT	
32	810 ADEC INDUSTRIES <i>THRU 5/31/20</i>	
33	825 ADEC INDUSTRIES - "THE SHOP" <i>NEW 6/1/20</i>	
34	215 PROTECTIVE SERVICES	<b>Day Services</b>
35	920 COMMUNITY OUTREACH	
36	910 ADMINISTRATION	<b>Transportation</b>
		<b>Family Services</b>
		<b>Employment Services</b>
		<b>Community Employment</b>
		<b>ADEC Industries</b>
		<b>Advocacy &amp; Agency Support</b>
		<b>Guardianship</b>
		<b>Fund Raising/Messaging/Advocacy</b>
		<b>HR, Finance, IT, Executive</b>

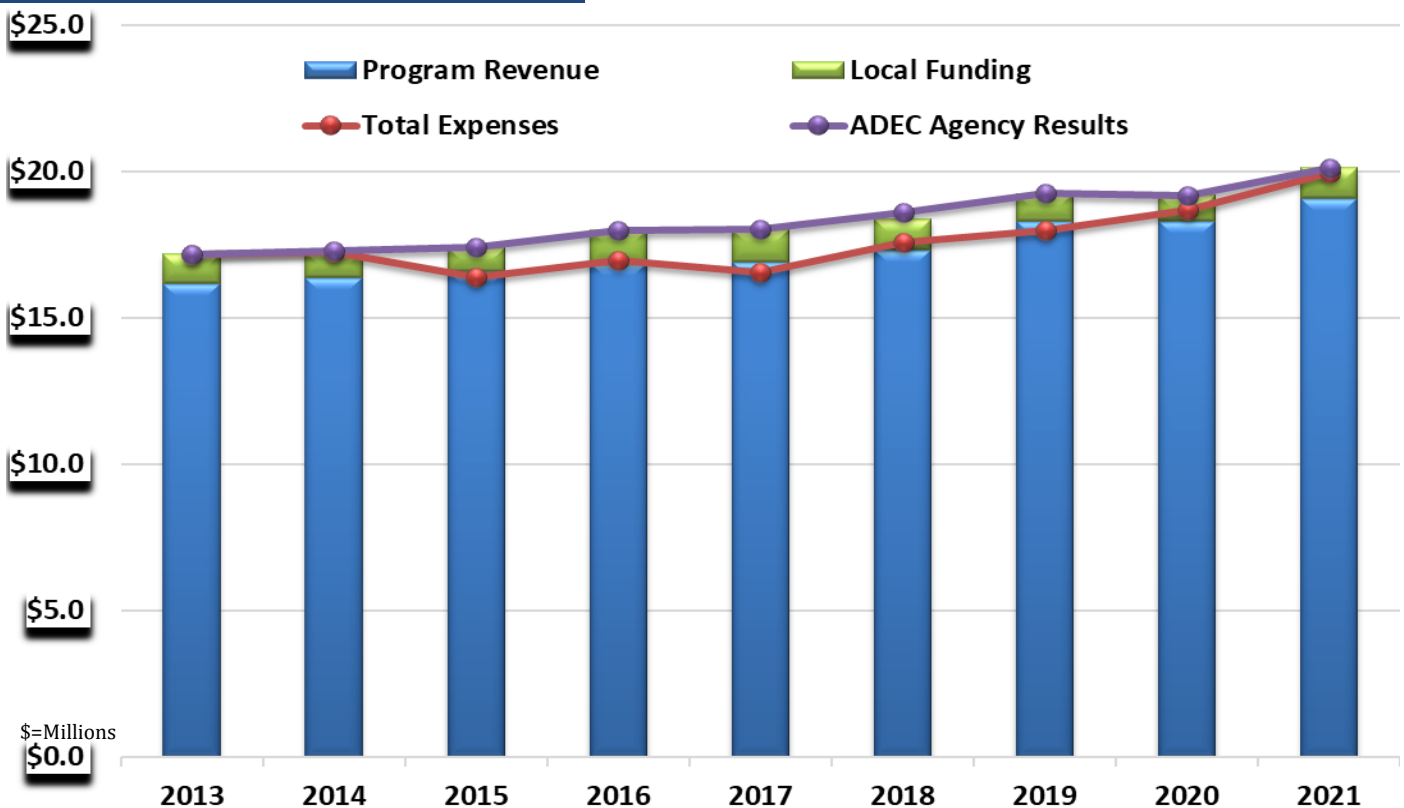
## Fiscal Year 2021 Budget

The proposed Fiscal Year 2021 Budget reflects an operational performance under the continue environment of COVID-19, less than ideal circumstances of uncertainty as to the number of waiver clients consistently being served, concern on potential positive virus impacts, potential unknown reduction in state level service reimbursement rates, state level budget cuts, and more. Despite this, the team, the program leaders, have all supported the detail budget commitments.

We are not proposing a ‘worst-case scenario’ budget based on fear. Instead, we remain positive on our clients returning and realistic to the additional expenses we will incur due to the pandemic, with the goal of keeping ADEC strong internally and in the community.

The following exhibit shows the trends from 2013 to projected 2020 for program revenue, local funding, total expenses and ADEC agency results. The past seven years has delivered sustained financially solid programming and growth.

*Exhibit 3: 2013 – 2021 Financial Trends*





Operationally, we plan on growth in total program revenue by 4% in Fiscal Year 2021. This reflects a steady solid client base, anticipated increase group home cost model rate increases, increase in therapy services, and no reduction in reimbursement services rates. We acknowledge that this is a key success factor – no reduction in rates. However, currently, there has been no direction from FSSA/DDRS of pending rate reductions. Discussions are being queued up to address in the upcoming legislative session.

Total expenses are projected to increase by 7% in fiscal year 2021, with much of that increase attributed to COVID-19 and increased technology costs. Our largest direct expense remains Total Compensation (*75% of total expenses*) is projected to grow by 7% from fiscal year 2020. We are into year four of the competitive performance-based wage program which includes the field support quarterly wage initiative and the agency-wide merit evaluation.

- 73% of the program service employees were eligible and received wage increases as a component of the quarterly competitive wage initiative
- With our emphasis on recognizing performance, based on feedback from employees to implement a merit-based system, 98% of all eligible employees received a merit increase averaging 2.8% in fiscal year 2020.
- We are budgeting an average of 2.0% in September 2020 for eligible employees.

Base wages have increased for all employees since we implemented a more defined and measurable compensation program. Since 2015, hourly average wages have increased 11% for administrative roles, 19% for field support employees and up to 25% for credential roles such as nursing. It is a strategic investment in our people, and I believe it should continue in some fashion that is sustainable.

Overall, from 2013 to 2021, total program revenue is projected to grow by 18% during this extended time period. Total expenses are projected to have grown by 16% during the equivalent period resulting in a balanced operational position.

Since 2013, there has been an extraordinary **1389% improvement / growth** in ADEC Agency Results (*this excludes market returns from our investment accounts*). We are all grateful of this achievement as this allows ADEC to sustain our programs, invest in our future, maintain our commitment to quality of care and program offerings and give back to our employees through competitive wages and benefits.

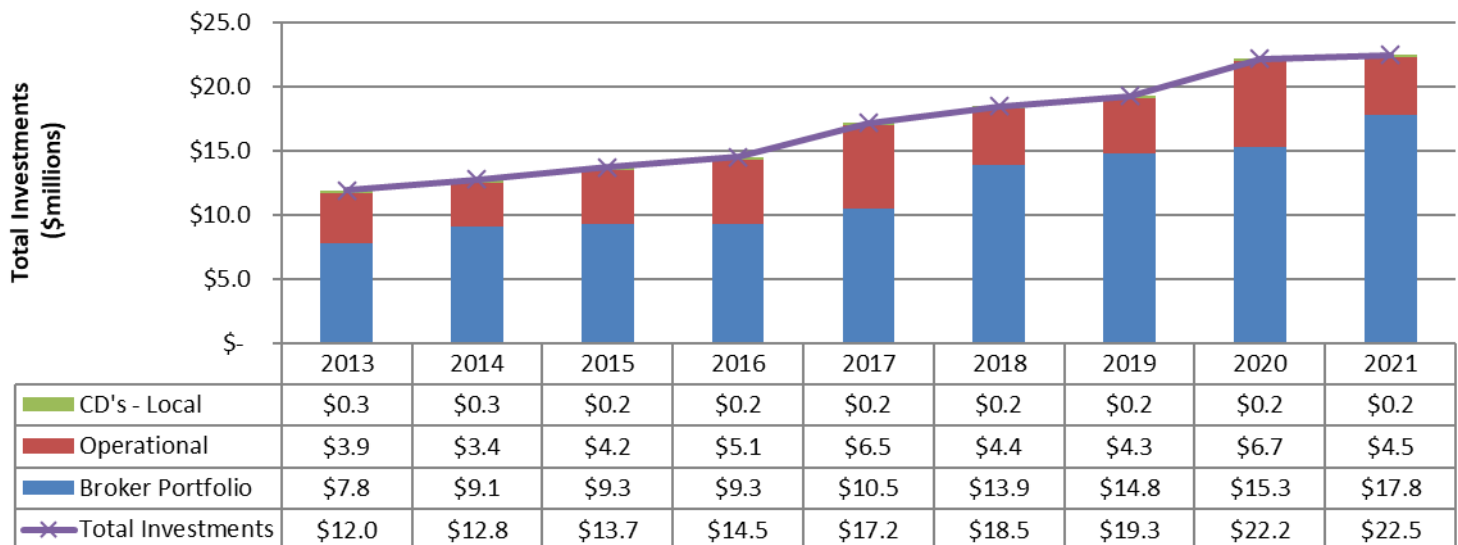
Investment returns were erratic and unpredictable in 2020, with some months reflecting more than **\$1.5(m)** loss in a single month to bouncing back to a positive position. This budget is recommending a modest, more likely, 2% return in fiscal 2021. Since 2013, total

investment accounts (*excludes operational cash*) is projected to grow from \$12.0 million to \$22.5 (million) in 2021.

In April 2020, as part of the CARES ACT, ADEC applied and received \$2.0(m) under the Payroll Protection Plan from 1<sup>st</sup> Source. This cash infusion helped sustain operations during the initial COVID-19 wave. As currently defined by the Act, we are projecting that this debt will be 80% forgiven and convert into a \$1.6(m) grant. At no time, since 2013, has ADEC needed to withdrawn funds from the Broker investment accounts.

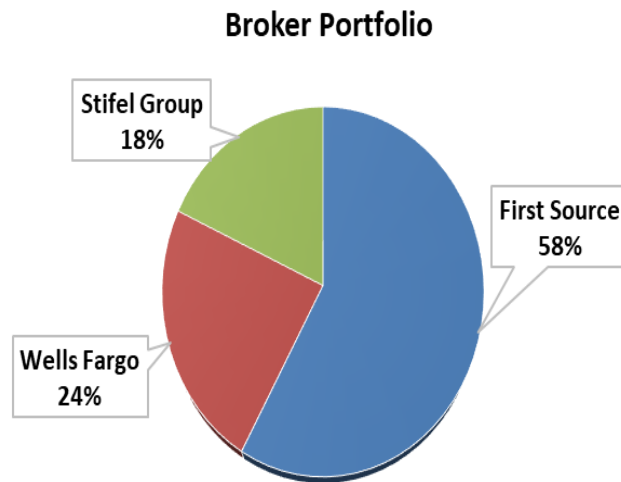
The following exhibit shows the trends from 2013 to projected 2021 for total financial holdings, both investment (broker accounts) and operational.

Exhibit 4: Financial Holdings – Investment and Operational



At the end of Fiscal Year 2021, ADEC is projected to have over \$22.5 (million) in financial liquid holdings, broker investment portfolios, and operational accounts. This includes a planned transfer of approximately \$2.2(m) from the low-earning operational cash equivalent account to the higher-return Broker Portfolio.

In fiscal year 2020, ADEC’s investment portfolio was reviewed and through a process of interviewing and receiving competitive financial portfolio analyses, an investment broker was switched out and a new relationship was established with The Stifel Group of Elkhart.

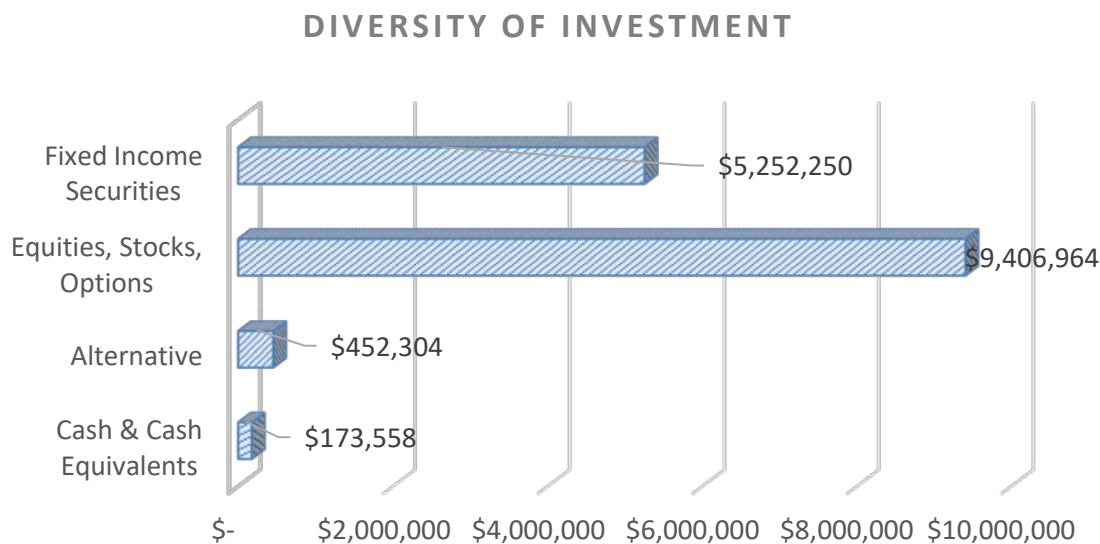


As of fiscal year-end 2020, the total Broker Portfolio was \$15.3 (million) and is held at:

- First Source \$8.9 (million),
- Wells Fargo \$3.6 (million), and
- Stifel Group \$2.8 (million).

The Finance Committee met in calendar year 2019 and strategically shifted ADEC holdings in anticipation of volatile market activity in 2019 and 2020.

ADEC is currently at 60% equity / mutual funds and 40% fixed income guidance. The committee has requested feedback from Brokers to determine if a more corrective conservative actions is needed (55%/45%).



The committee will be meeting again in the fall of 2020 for another detail broker discussion and review of the investment accounts.

The operational strength of the past several years has created the strong foundation that attributes to ADEC's ability to maintain operations and meet the needs of both our clients and our employees, during the past several months and years looking ahead. It is this foundation and the unrelenting support of the employees that will help us in fiscal year 2020.

A clear focus over the next year will be helping our employees handle the anxiety and stress that today's environment is having on many. We are planning in-depth professional management training and looking at new training and resources. We continue our benefit offering of an Employee Assistance Program to all employees.

Our biggest challenge is staffing, hiring fully dedicated employees to reduce the overtime and support growth of programs. We had to temporarily pause in developing future client, waiver growth, and expansion into St. Joseph County.

All our actions will be consistent with our Strategic Plan 2019 – 2021: initiatives and goals.

Some of the **key overall assumptions** that have been considered for the Fiscal Year 2021 budget include:

- No reduction in state level funding levels in waiver and group home programs;
- No additional suspension of programs from a resurgence of the coronavirus given implementation of new protocols and procedures in place;
- Some first half year delay in waiver clients returning to facility and community-based programs;
- Maintaining the strong referral system for residential to achieve 97% occupancy;
- Maintaining success in community employment referrals and placement;
- Continue affordable competitive performance-based wage structure;
- Ongoing expenditures for PPE related necessities;
- Increase technology costs to support operations;
- Building and cultivating positive staff recruitment and retention and engagement;
- Maintain Elkhart County funding at current levels;
- Delay by one year the board directed reduction in United Way grants; and
- Successful implementation of new funds development strategy.

The following is a summary of the overall Statement of Activities (Income Statement) showing actual fiscal year 2019, projected fiscal year 2020 and the proposed recommended fiscal year 2021 budget.

Exhibit 5: Statement of Activities – Income Statement

	FY'19 <u>Actual</u>	FY '20 <u>Projected</u>	FY '21 <u>Budget</u>	<u>Year over Year Change</u>	
				<u>Amount</u>	<u>%</u>
Total Program Revenue	\$18,268,161	\$18,285,747	\$19,082,193	\$796,446	4%
Total Local Funding	<u>\$967,274</u>	<u>\$880,501</u>	<u>\$1,044,000</u>	<u>\$163,499</u>	<u>19%</u>
Total Revenues	\$19,235,435	\$19,166,248	\$20,126,193	\$959,945	5%
Total Expenses	\$17,977,416	\$18,682,474	\$19,942,245	\$1,259,771	7%
<b>ADEC Agency Results</b>	<b>\$1,258,019</b>	<b>\$483,774</b>	<b>\$183,948</b>	<b>(\$299,826)</b>	<b>-62%</b>

The proposed budget reflects Program Revenue of \$19,082,193, Local Funding of \$1,044,000 and Total Expenses of \$19,942,245. This results in a positive \$183,948.

Looking at program revenue and program expenses, excluding local funding, results in negative operating results of **(\$860,052)**.

Looking at a program operational view, to be transparent in the operating performance, it is essential to note that 85% of the operating loss is directly attributed to the COVID-19 impact on ADEC – revenue loss and increase costs.

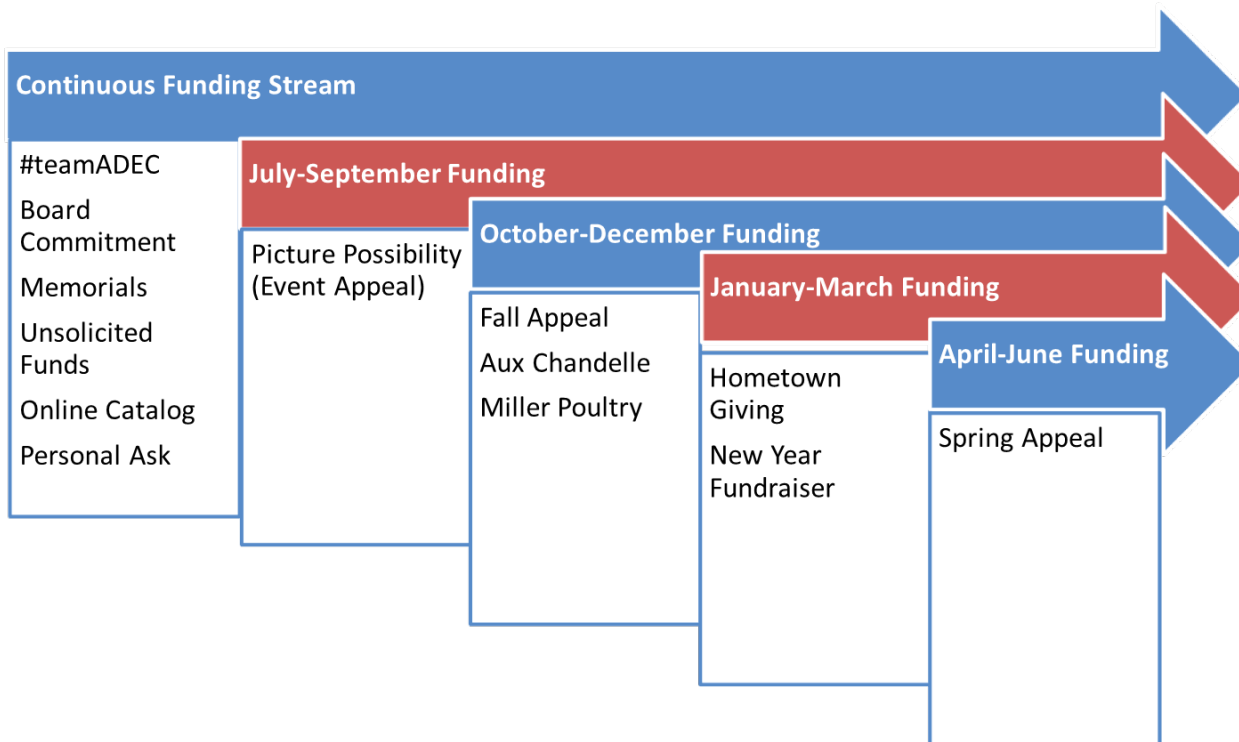
We have clients slowly returning so we are not at 100% waiver at any of our day services, transportation routes, and children’s services, such as summer camp.

	<u>FY '21 Budget</u>
Total Program Revenue	\$19,082,193
Total Expenses	<u>\$19,942,245</u>
<b>Operating Deficit / Surplus</b>	<b>(\$860,052)</b>
Total Local Funding	\$1,044,000
<b>ADEC Agency Results</b>	<b>\$183,948</b>

In addition, we are projecting higher expenses for unemployment claims, PPE costs and wages for coverage of shifts as employees are quarantined.

An important component of the Fiscal Year 2021 Budget is execution on the thorough plan development by the Community Outreach team, which is responsible for leading the obtainment of Total Local Funding.

Exhibit 6: Contributions Strategy



The multi-phased, quarterly approach lays out a strategy to achieve \$262,000 in donations, kicking off the new Picture Possibilities On-line event in July.

ADEC is also budgeting the continuation of funds from Elkhart County and the remaining to be a Community Impact Partner with United Way. With the suspension of the NAP Credits announced by Indiana State earlier this week, the need for achieving all element of local funding is essential.



Exhibit 7: Capital Investment

ADEC is planning a relatively low need for capital investments primarily maintenance items for the upcoming fiscal year. The proposed 2021 funding request is equally spread across the categories.

	<u>Equipment</u>	<u>Tech Equipment</u>	<u>Buildings</u>	<u>Vehicles</u>	<u>Land Improvements</u>	<u>Total</u>
<b>Asset Purchases</b>						
Supervised Group Living	\$ 42,400	-	\$ 32,800	-	\$ 32,000	\$107,200
Supported Living	-	-	\$ 8,800	\$ 13,000	-	\$ 21,800
Employment Services	-	-	-	-	-	\$ -
Protective Services	-	-	-	-	-	\$ -
Day Services	-	-	-	\$ 24,000	-	\$ 24,000
Family Services	-	-	-	-	-	\$ -
Transportation	-	-	-	-	-	\$ -
The Shop (ADEC Industries)	-	\$ 6,670	-	-	-	\$ 6,670
Administration	-	\$ 29,557	-	-	-	\$ 29,557
<b>Total Purchases</b>	<b>\$ 42,400</b>	<b>\$ 36,227</b>	<b>\$ 41,600</b>	<b>\$ 37,000</b>	<b>\$ 32,000</b>	<b>\$189,227</b>
	<b>22%</b>	<b>19%</b>	<b>22%</b>	<b>20%</b>	<b>17%</b>	<b>100%</b>

Rounding off the discussion of the financial aspects of the Fiscal Year 2020 budget is Balance Sheet and Cash Flow. This view is one of the most important views in understanding the financial strength and sustainability of ADEC.

The strength of our balance sheet and availability of Investments will protect the agency and achieve long term sustainability as we implement our strategic initiatives and future phases of the Master Plan.

Exhibit 8: Balance Sheet

ADEC's balance sheet is outstanding. Liquid assets exceed 82% of total net assets. ADEC tactically applied for the unique PPP 'loan' as defined by the CARES act to help fund wages, rent and utilities. This resulted in a debt of \$2,000,000. As discussed, we are anticipating that this loan will be forgiven and substantially converted to a grant. Liabilities are all current operational liabilities such as accounts payable, wages and near-term accrued expenses. Assets are tangible buildings and land as well as the investment portfolio, operational accounts receivable and inventory associated with our ADEC Industries liner business. Overall, ADEC generates a positive cash flow.

		Budget	
		Fiscal 2020	Fiscal 2021
<b>Key Balance Sheet</b>			
<b>Cash on Hand Opening Balance</b>		\$286,549	\$473,950
<b>Ending Balance</b>		\$473,950	\$709,666
<b>Key Assets</b>			
Accounts Receivable		\$1,341,940	\$1,400,389
Inventory		\$81,503	\$74,147
Prepaid Expenses/Deposits		\$93,423	\$98,094
Fixed Assets		\$15,784,158	\$15,973,385
Depreciation		(\$9,755,521)	(\$10,380,686)
Investment		\$22,168,509	\$22,463,088
<b>Key Liabilities</b>			
Accounts Payable		\$108,851	\$115,554
Wages & Payroll Taxes		\$888,736	\$942,060
Accrued Expenses		\$115,668	\$127,235
Debt		\$2,000,000	\$0
Net Assets		\$27,075,806	\$29,154,333

Exhibit 9: Cash Flow

Fiscal 2021 is projected to have a positive cash flow of \$235,716.

		Estimated	Budget
		Fiscal 2020	Fiscal 2021
<b>Cash Flow</b>			
<b>Net Surplus for the Period</b>		\$549,320	\$2,078,527
<b>Operating Act</b>			
Accounts Receivable		\$178,347	(\$58,449)
Inventory		(\$14,865)	\$7,356
Prepaid Expenses		(\$83,851)	(\$4,671)
Accounts Payable		\$16,217	\$6,703
Wages & Payroll Taxes		\$260,234	\$53,324
Accrued Expenses		(\$147,507)	\$11,567
<b>Investing</b>			
Activities:	<To> From Investments	(\$2,838,002)	(\$294,579)
	Fixed Assets	(\$227,382)	(\$189,227)
	Depreciation	\$494,890	\$625,165
<b>Financing</b>			
Activities:	Debt Receipts/<Payments>	\$2,000,000	(\$400,000)
	Debt Forgiveness*	\$0	(\$1,600,000)
<b>Net Change in Cash</b>		\$187,401	\$235,716

## Our Reach – Clients Served

ADEC is the one of the most comprehensive service providers in Northern Indiana with a full breath of services and programs to the extended communities in Elkhart and St. Joseph counties. The families and individuals we serve and the community outreach we do is the foundation of our actions. Our mission to *“proudly advocate for and serve people with developmental and intellectual disabilities so they live lives full of **INFORMED** choice and possibility,”* governs every decision and action we take. We **Open Hearts. Open Minds. Open Doors.**

Our clients and the quality of the client-specific services we provide to them are our top priorities. Prior to COVID-19, we were serving nearly 1300 clients in individual programs. Almost 950 were directly impacted by suspended programs and an addition 189 were self-isolated in ADEC supported residential settings.

### Exhibit 10: Clients Served

	Fiscal 2019		Fiscal 2020		Budget Fiscal 2021 by June 30
	December 2018	June 2019	December 2019	April 2020	
				Program Suspended	
<b>Clients Served (Duplicated)</b>					
Group Homes	112	111	112	111	<b>112</b>
Supported Living	50	77	77	75	<b>77</b>
Day Services	264	272	276	28 *	<b>282</b>
Family Services					
- Therapies	167	174	179	62 *	<b>180</b>
- Behavior Management	-	11	18	9 *	<b>30</b>
- Family Services	98	99	105	3 *	<b>101</b>
- Summer Camp	-	68	-	40 June	<b>60</b>
- Extended Day	17	20	19	-	<b>20</b>
Protective Services	61	58	60	60	<b>60</b>
Employment Services	297	295	290	160 *	<b>310</b>
ADEC Industries (14-C)	62	56	56	2 *	<b>- **</b>
Transportation	107	105	111	- *	<b>107</b>
<b>TOTAL</b>	<b>1,235</b>	<b>1,346</b>	<b>1,303</b>	<b>550</b>	<b>1,339</b>

In April, some telehealth, remote services could be provided and ADEC quickly offered these services.

Due to the economic impact of COVID-19 to our local manufacturing businesses, ADEC is currently not reopening the 14-C component of ADEC Industries. The Shop, which is the competitive integrated component of ADEC Industries did resume operations on June 1.

Effective July 6, all remaining clients have the option to return to our new facility, remodeled portion of ADEC Industries building, called The Hub. These clients will be given the opportunity for skills development and training as well as having an assigned community employment specialist to work with.

Residential programs include group homes which is limited to number of beds (112) and supportive living will slightly grow. Once clients fully return to programming, we anticipated client growth potential with The Hub alternative as well as in Therapies. There will be opportunity for afterschool expansion in Goshen and Elkhart.

Nearly 94% of ADEC Program Revenue is funded by the individuals who qualify for social entitlement programs as identified by the Bureau of Developmental Disabilities Services (BDDS) under the direction of FSSA/DDRS. The individuals qualify for services and BDDS assists them in receiving community supports and residential services through home and community-based Medicaid waivers.

All payments for services are established, regulated and audited through FSSA/DDRS. Reimbursement for services, also known as fee for service, are sent from the state agency back to the provider, such as ADEC. Revenue funding is dependent on the specific program ADEC offers and is selected by the individuals served. Strategically, ADEC has offered services that are not funded by these social entitlement programs, such as Guardianship. They are essentially unfunded yet are very critical and necessary programs meeting the needs throughout our communities.

In many cases, we know there are no other alternatives or options for families. However, ADEC is there to provide these programs.

Several ADEC programs have historically, for decades, operated discretely at a deficit loss, as the funding is much less than the costs incurred, such as Day Services, Transportation,

Guardianship and Family Services. However, it is these very programs, such as ADEC Transportation which enables individuals to be at ADEC. It is our Day Programs and Family Services that drawn families to choose ADEC and why families join our residential programs. Our residential programs – both group homes and supportive living are **CRITICAL**, and they account for **78%** of total program revenue. All three of these programs - Day Services, Transportation, and Family Services - are important feeders into ADEC residential programs.

For those programs operating with a deficit, additional local funding sources or the operating surplus from other programs, helps to offset the deficit.

It is clearly recognized that ADEC can be called on to serve the needs of individuals and families within our communities while providing a quality of care and options for clients.

Exhibit 11: Services Financial Overview

The following is a summary of the specific program and services offered.

	Supervised Group Living	Supported Living	Employment Services	Adult Habilitation	Protective Services	Family Services	Transport	ADEC Industries
<b>Total Program Revenue</b>	10,924,266	4,040,845	1,012,225	2,767,221	116,181	769,679	147,243	882,104
<b>Total Expenses</b>	10,609,350	4,036,667	757,028	2,766,142	196,035	836,320	840,123	967,851
<b>Program Operations</b>	314,916	4,178	255,197	1,079	(79,854)	(66,641)	(692,880)	(85,747)
<b>Total Local Funding</b>	0	0	32,800	0	104,650	49,200	545,350	0
<b>ADEC Agency Results</b>	314,916	4,178	287,997	1,079	24,796	(17,441)	(147,530)	(85,747)

<b>Clients Served</b>	<b>112</b>	<b>77</b>	<b>310</b>	<b>282</b>	<b>60</b>	<b>391</b>	<b>107</b>	<b>**</b>
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**Our Most Critical Resource – Our Employees**

ADEC is a social enterprise dedicated to a mission of informed **choice and possibility** for individuals and their families. Our services do span the entire lifetime of a client and it is

all dependent upon and possible because of our most important resource – **our employees - #teamadec**. This past year is a true testimony to the commit and belief we have in our mission.

Our long-term competitive performance base wage structure and the wage initiative program is also strongly favored by our field personnel. We believe it is fundamental to improving retention and employee engagement and reducing turnover. This is in addition to the wage initiative for field support.

Approximately 75% of our total expenses are in Wages and Benefits, which is projected to grow seven percent to \$14,911,116. Fully staffed, ADEC strives to achieve staffing levels up to a total of 470 employees. This is 40 employees more than prior years primarily driven by our Goshen based supportive living program. With an unknown local economy outlook and thousands of job openings or options for those seeking employment, or potentially a decline in available workers, we still project approximately 80 open positions.

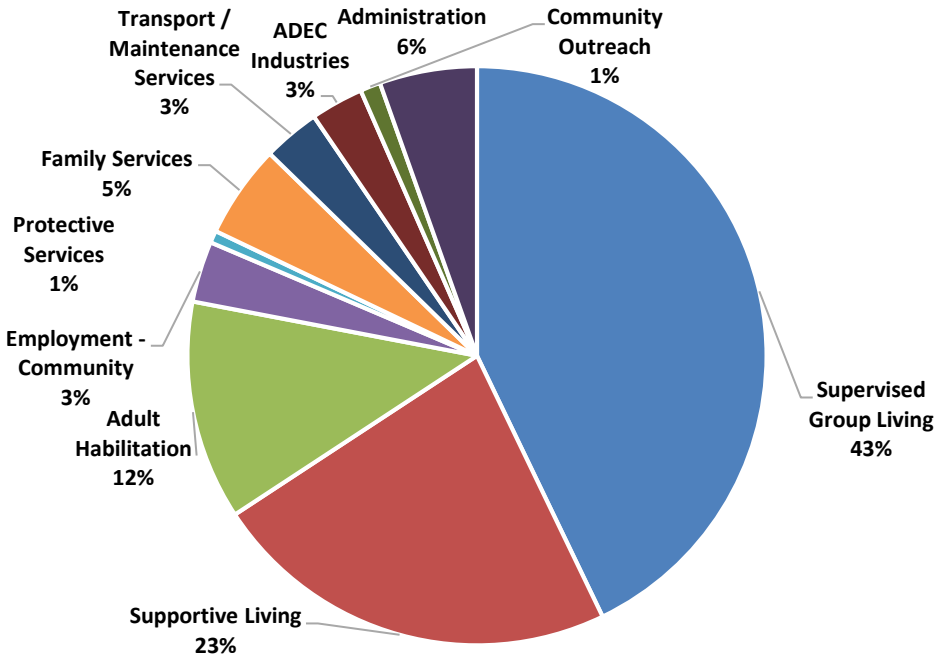
	Fiscal 2019		Fiscal 2020		Budget Fiscal 2021 by June 30
	December 2018	June 2019	December 2019	April 2020	
<b>Employees</b>					
Headcount	351	391	382	363	<b>390</b>
Open Positions	85	83	85	92	<b>80</b>
Turnover	26.9%	30.9%	38.9%	41.1%	<b>~ 35%</b>

It is acknowledged that the open positions result in overtime. It is practical and realistic that in the foreseeable future, we will not fill all our open positions. This gap is being filled with double digit overtime for critical needs. As a percent of wages, looking back to 2013, overtime remains over 10.5%. However, the field overtime, the direct support professionals in our 24x7 facilities that require evenings, weekends and holidays is as high as 22% in supportive living and 15% in supervised group living. We are making every attempt to be flexible to employees wanting part-time, to only working weekends, etc.

Program Directors and Executive Leadership monitor and receive monthly detail payroll reports by cost center with employee hours and compensation. Every attempt is made to ensure the health and safety of our clients and balance their needs and wishes for choices and participation in activities throughout the communities.



Exhibit 12: Headcount - #teamadec



To support employees in their roles, ADEC expenses over five-hundred thousand dollars in technology related support and systems, excluding I/T staff, annually.

**Key Success Factors**

ADEC is an important resource for families and individuals in the intellectual developmental and disabled field. We are also an important resource to our community and our employees. We are an important life-line for the individuals and their families and our employees. We are committed to making inroads to improve retention, stabilize our work force, maximize the Notice of Action of clients, and further improve individuals lives of choice and possibility.

The following is a summary of the key success factors as we work through Fiscal Year 2021 and take steps to accomplish our Strategic Initiatives and Goals:

**Strategic Initiatives**

**Our Guidance**



**Full Income Statement**

The following is the full income statement reflecting investment returns and the anticipated non-operating debt/conversion to/grant of \$1,600,000. The original PPP loan was taken in fiscal year 2020, however, the specific terms of forgiveness have not yet been finalized. Therefore, ADEC determined that it could not be taken / recorded in fiscal year 2020 at this time.

In addition, ADEC is pursuing INDOT Grant Vehicles. At this time, especially with the state directive to reduce department spending by 15% to 30% and slowdowns in post COVID vehicle manufacturing, it is not known with a high degree of certainty whether this will even

be realized in fiscal year 2021 (by end of June 2021). These grants valued at nearly \$280,598 and the associated depreciation are not included.

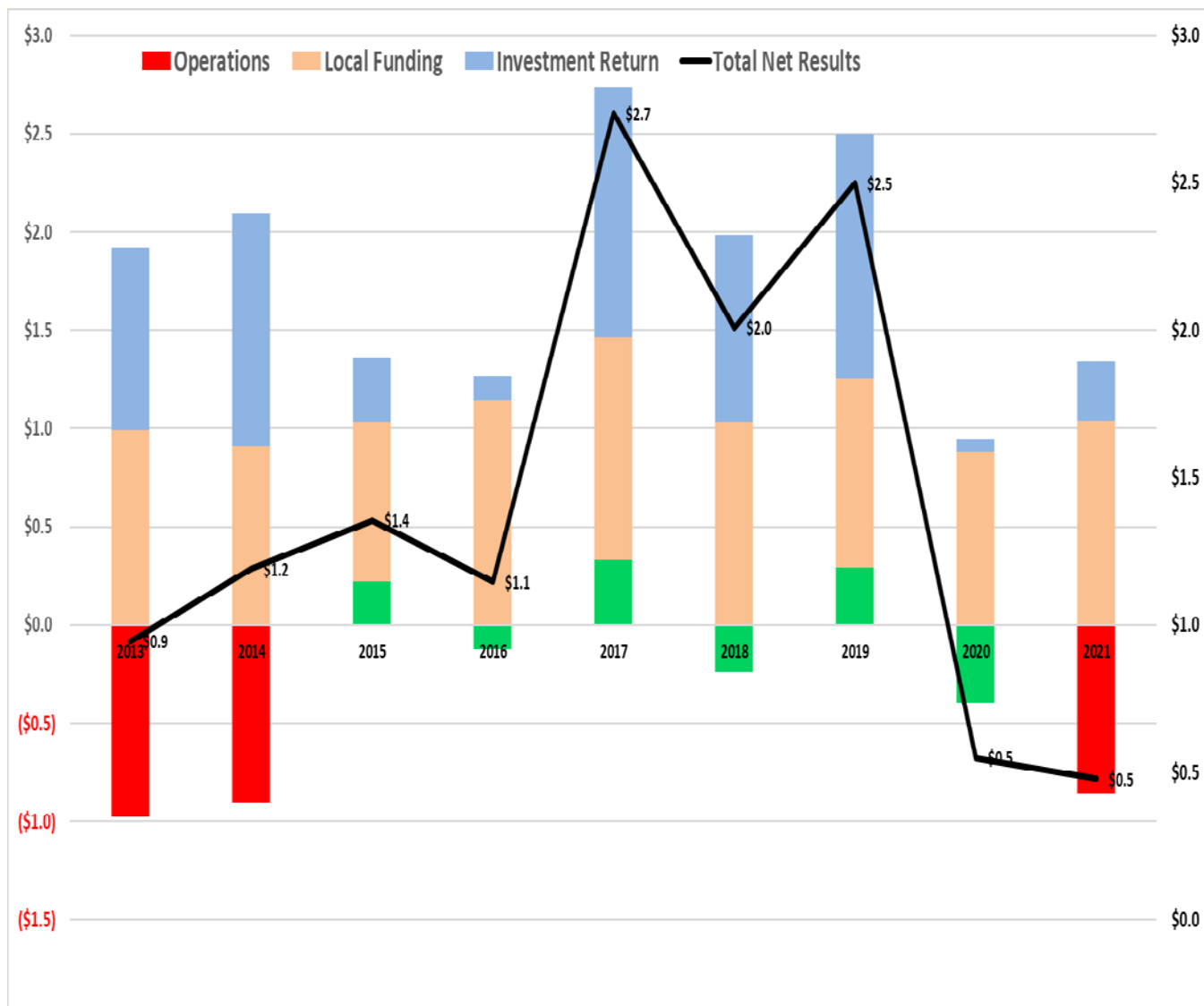
*Exhibit 13: Full Income Statement*

	FY'19 <u>Actual</u>	FY '20 <u>Projected</u>	FY '21 <u>Budget</u>	<u>Year over Year Change</u>	
				<u>Amount</u>	<u>%</u>
Total Program Revenue	\$18,268,161	\$18,285,747	\$19,082,193	\$796,446	4%
Total Local Funding	<u>\$967,274</u>	<u>\$880,501</u>	<u>\$1,044,000</u>	<u>\$163,499</u>	<u>19%</u>
Total Revenues	\$19,235,435	\$19,166,248	\$20,126,193	\$959,945	5%
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ADEC Agency Results	\$1,258,019	\$483,774	\$183,948	<b>(\$299,826)</b>	-62%
Investment Return	\$1,240,454	\$65,546	\$294,579	\$229,033	349%
Total Surplus <Deficit>	\$2,498,473	\$549,320	\$478,527	<b>(\$70,793)</b>	-13%
Non-Operational Grant from PPP Loan	\$0	\$0	\$1,600,000	\$1,600,000	n/a
Total Surplus with PPP Loan Grant	\$2,498,473	\$549,320	\$2,078,527	\$1,529,207	278%

We believe in and live by our mission.

**Our employees are so valuable to ADEC and we are Thankful.**

Exhibit 14: Total Net Financial Performance 2013-2021



End of Document

## ADEC Board of Directors

June 25, 2020

### Fiscal Year 2021 Budget Final/Approved

- ❑ COVID-19 Update
- ❑ Agency Landscape
- ❑ Budget Assumptions
- ❑ Statement of Activities
- ❑ Total Compensation
- ❑ Program Revenues / Expenses
- ❑ Contributions
- ❑ Sources / Uses of Funds
- ❑ Capital Investments
- ❑ Balance Sheet / Cash Flow
- ❑ Key Success Factors
- ❑ Services Overview
- ❑ Support Schedules Available in Portal

Prepared by:

Mitchell J. Walorski

Vice President Finance / Chief Financial Officer



# COVID-19 Update

Final/Approved

**ADEC has been directly impacted by the unprecedented worldwide coronavirus pandemic**

The health, safety and well-being of our staff and clients has been our #1 priority. Implemented new policies.

<b>Status:</b>		<u>Tested</u>	<u>Positive</u>	<u>Pending</u>	<u>Quarantined</u>
As of June 17, 2020	Clients	3	0	0	0
	Employees	44	4	5	1

Personal Protective Equipment - Good: ALL employees have access to PPE

**Timeline:**

- March 5 ADEC CEO attends Statehouse Briefing with Lt Governor
- March 6 - April 20 Global Pandemic, Indiana Executive Orders, National Emergency Families First and Cares Act for Relief
- March 6 - May 31 ADEC took action  
Emergency plans, cancellation of events, programs suspended
- June 1 Reopens Day Services and other Non-Residential Programs  
14-C not open; ADEC Industries competitive integrated employment
- June 8 Summer Camp begins, at about half the normal attendance
- July 6 Group Home individuals return to Day Services  
New Day Services - The HUB, opens at ADEC Industries

**YTD ADEC Agency Results financial impact from COVID-19 (\$851,000) with impacts into Fiscal 2021**





# Agency Landscape

Final/Approved

## Positive Momentum

Achieved 3 Year CARF accreditation and Provider Reapproval/Reverification

Elkhart County Commissioners increased annual county funding from \$450,000 to \$650,000

Maintained full service of Residential programs

Developed a new 3 Year Strategic Plan

New Investment broker relationship

1st Half of the Year

Reviewed real estate in St Joseph County for growth opportunities

On a trajectory to achieve budget

## Actions Taken

The Coronavirus Pandemic of 2020

Implemented Emergency Preparedness Plan

Cancelled Ride-a-Bike and events, restricted visitors and volunteers

Suspended facility and community-based programs

Offered Telehealth Services

Distributed PPE to employees

Applied for and received PPP loan

Phased reopening of NON-Residential services

June 1 - ADEC Industries resumes, 14-C not open

June 6 - The HUB, a 6th Day Services opens

Preparing for EVV (Electronic Visit Verification) for January 2021, affecting certain waiver services

## Community Outreach

Received GuideStar's Gold Star and Earned Better Business Award

ADEC invested in Technologies to meet our Mission in a more virtual environment



## Assumptions

### Fiscal Year 2021 Budget - Final/Approved

#### Revenues

- No changes in the state FSSA/DDRS reimbursement rates
- Normal increase in group home rates from cost rebasing model
- First half of fiscal year delay in some waiver clients returning from COVID-19
- Did not assume a suspension of programs from a resurgence of coronavirus

#### Expenses

- Competitive performance-based wage structure
- PPE expenditures expected to continue through first half of fiscal year
- Technology costs increase to support operations

#### Local Support

- Elkhart County Commissioners funding maintained at current rates
- ADEC an impact partner of United Way, propose holding current levels
- Due to COVID-19 the State has delayed NAP tax credits until further notice
- Developed a new strategy for Contributions

#### Capital Spending

- \$189,227 covers basic capital replacement needs

#### Other

- Investment Returns - estimating a modest 2% return after market volatility
- PPP Loan Forgiveness assumed at 80% or \$1.6M
- Pursuing INDOT Grant vehicles - slowdowns in post COVID vehicle manufacturing



# Statement of Activities

## Fiscal Year 2021 Budget - Final/Approved

	FY'19	FY '20	FY '20	FY '21	Year over Year Change	
	Actual	Budget	Projected	Budget	Amount	%
<b>Program Revenue</b>						
Day Service	\$ 2,020,047	\$ 2,426,067	\$ 1,859,336	\$ 2,338,742	\$ 479,406	26%
Residential Programs	15,066,970	15,414,172	15,217,602	15,597,954	380,352	2%
Industrial Sales	979,046	913,087	909,119	882,104	(27,015)	-3%
Other	202,098	297,020	299,690	263,393	(36,297)	-12%
<b>Total Program Revenue</b>	<b>18,268,161</b>	<b>19,050,346</b>	<b>18,285,747</b>	<b>19,082,193</b>	<b>796,446</b>	<b>4%</b>
<b>Local Support:</b>						
Grant Income	116,372	50,000	48,000	50,000	2,000	4%
United Way	135,871	110,871	92,728	82,000	(10,728)	-12%
County Commissioners	450,500	450,500	550,251	650,000	99,749	0
Contributions	264,531	261,500	189,522	262,000	72,478	38%
<b>Total Local Funding</b>	<b>967,274</b>	<b>872,871</b>	<b>880,501</b>	<b>1,044,000</b>	<b>163,499</b>	<b>19%</b>
<b>Total Revenues</b>	<b>19,235,435</b>	<b>19,923,217</b>	<b>19,166,248</b>	<b>20,126,193</b>	<b>959,945</b>	<b>5%</b>
<b>Expenses</b>						
Wages, Taxes & Benefits	13,149,355	13,876,458	13,922,297	14,911,116	988,819	7%
Outside Services	394,232	400,433	358,013	379,287	21,274	6%
Supplies	1,141,708	1,079,402	1,081,236	1,233,657	152,421	14%
Occupancy Costs	1,127,105	1,223,749	1,218,813	1,284,061	65,248	5%
Equipment Costs	213,404	212,595	207,027	182,687	(24,340)	-12%
Travel Costs	621,494	647,293	615,914	617,303	1,389	0%
Technology	474,839	459,638	421,826	503,288	81,462	19%
In-Kind Donations Expense	8,425	11,500	6,076	12,000	5,924	97%
Medicaid Provider Assess/State Use	620,019	626,138	626,461	635,594	9,133	1%
Other Agency Costs	226,835	333,926	224,811	183,252	(41,559)	-18%
<b>Total Expenses</b>	<b>17,977,416</b>	<b>18,871,132</b>	<b>18,682,474</b>	<b>19,942,245</b>	<b>1,259,771</b>	<b>7%</b>
<b>ADEC Agency Results</b>	<b>1,258,019</b>	<b>1,052,085</b>	<b>483,774</b>	<b>183,948</b>	<b>(299,826)</b>	<b>-62%</b>
Memo: Operating Results (Rev - Exp)	290,745	179,214	(396,727)	(860,052)	(463,325)	117%

**Exhibit G. FY21 Budget CEO Whitepaper and Budget**



**Total Surplus**

**Fiscal Year 2021 Budget - Final/Approved**

	<b>FY'19 Actual</b>	<b>FY '20 Budget</b>	<b>FY '20 Projected</b>	<b>FY '21 Budget</b>	<b>Year over Year Change</b>	
					<b>Amount</b>	<b>%</b>
<b>Total Program Revenue</b>	\$ 18,268,161	\$ 19,050,346	\$ 18,285,747	\$ 19,082,193	\$ 796,446	4%
<b>Total Local Funding</b>	967,274	872,871	880,501	1,044,000	163,499	19%
<b>Total Revenues</b>	19,235,435	19,923,217	19,166,248	20,126,193	959,945	5%
<b>Total Expenses</b>	17,977,416	18,871,132	18,682,474	19,942,245	1,259,771	7%
<b>ADEC Agency Results</b>	<b>1,258,019</b>	<b>1,052,085</b>	<b>483,774</b>	<b>183,948</b>	<b>(299,826)</b>	<b>-62%</b>
Investment Return	1,240,454	589,008	65,546	294,579	229,033	349%
<b>Total Surplus &lt;Deficit&gt;</b>	<b>2,498,473</b>	<b>1,641,093</b>	<b>549,320</b>	<b>478,527</b>	<b>(70,793)</b>	<b>-13%</b>
Non-Oper. Grant from PPP Loan *	-	-	-	1,600,000	1,600,000	n/m
<b>Total Surplus with PPP Loan Grant</b>	<b>\$ 2,498,473</b>	<b>\$ 1,641,093</b>	<b>\$ 549,320</b>	<b>\$ 2,078,527</b>	<b>\$ 1,529,207</b>	<b>278%</b>

\* Assumes 80% forgiveness

Exhibit G. FY21 Budget CEO Whitepaper and Budget



**Total Compensation**

**Fiscal Year 2021 Budget - Final/Approved**

	FY '19 Actual	FY '20 Budget	FY '20 Projected	FY '21 Budget	Year over Year Change	
					Amount	%
<b>Wages, Taxes &amp; Benefits</b>						
Regular Employee Salaries	\$10,645,667	\$11,158,515	\$11,352,273	\$12,019,083	\$666,810	6%
Temp & Relief Employees	362,796	348,514	381,896	521,036	139,140	36%
Total Salaries	11,008,463	11,507,029	11,734,169	12,540,118	805,949	7%
FICA Payroll Taxes	794,299	835,909	883,330	932,985	49,655	6%
Total Production / Client	150,440	152,540	125,866	-	(125,866)	-100%
Group Insurance	893,574	1,093,153	863,622	1,078,468	214,846	25%
ADEC Retirement Contributions	127,707	127,108	128,234	125,170	(3,064)	-2%
Workers Compensation Insurance	61,909	57,282	86,338	73,561	(12,777)	-15%
Unemployment Claims	12,800	7,258	21,221	60,000	38,779	183%
Staff Development & Retention	100,163	96,179	79,518	100,814	21,296	27%
Total Benefits	1,196,153	1,380,980	1,178,933	1,438,013	259,080	22%
<b>Total Compensation</b>	<b>\$ 13,149,355</b>	<b>\$ 13,876,458</b>	<b>\$ 13,922,298</b>	<b>\$ 14,911,116</b>	<b>\$ 988,818</b>	<b>7%</b>



## Program Revenues/Expenses

### Fiscal Year 2021 Budget - Final/Approved

**Revenues** in 2020 are expected to decrease approx. \$0.6M from impact of COVID-19. Fiscal 2021 assumes very modest recovery.  
**Expenses** in 2021 impacted by continued PPE costs, expected higher health/unemployment claims, wage and technology programs.

\$ In Millions	Total Program Revenues			Total Expenses		
	Estimated	Budget	Change	Estimated	Budget	Change
	2020	2021		2020	2021	
<b>TOTAL</b>	<b>\$ 18.3</b>	<b>\$ 19.1</b>	<b>\$ 0.8</b>	<b>\$ 18.7</b>	<b>\$ 20.0</b>	<b>\$ 1.3</b>
<u>Key Programs</u>						
Supervised Group Living	\$ 10.6	\$ 10.9	\$ 0.3	\$ 9.9	\$ 10.6	\$ 0.7
Supported Living	3.9	4.0	0.1	3.8	4.0	0.2
Employment Services	0.9	1.0	0.1	0.7	0.8	0.1
Adult Habilitation	2.6	2.8	0.2	2.7	2.8	0.1
Protective Services	0.1	0.1	-	0.2	0.2	-
Family Services	0.6	0.8	0.2	0.7	0.8	0.1
Transportation	0.1	0.1	-	0.7	0.8	0.1
ADEC Industries/The SHOP	0.9	0.9	-	1.2	1.0	(0.2)

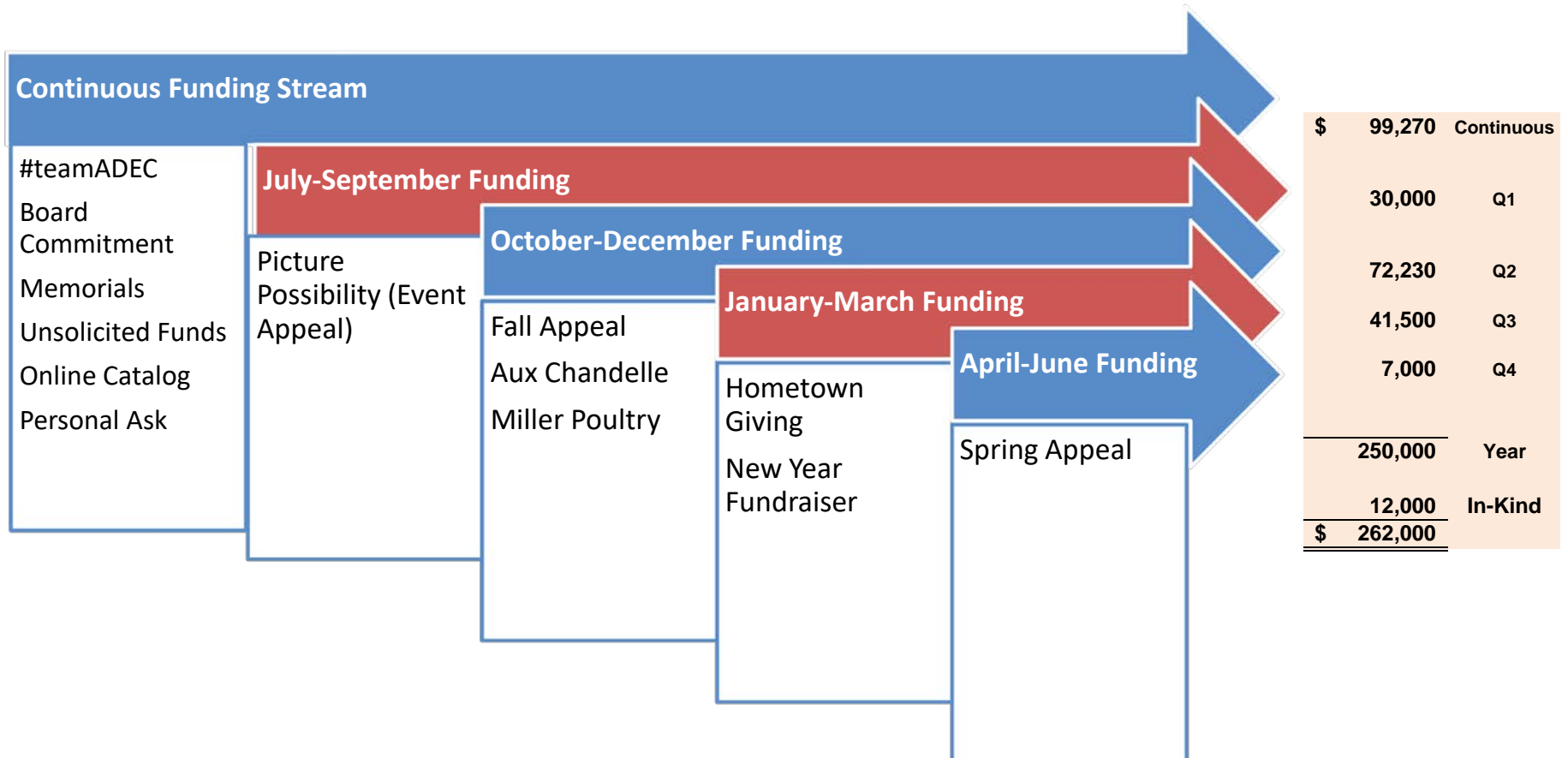




Fiscal Year 2021 Budget - Final/Approved

Contributions

Community Outreach

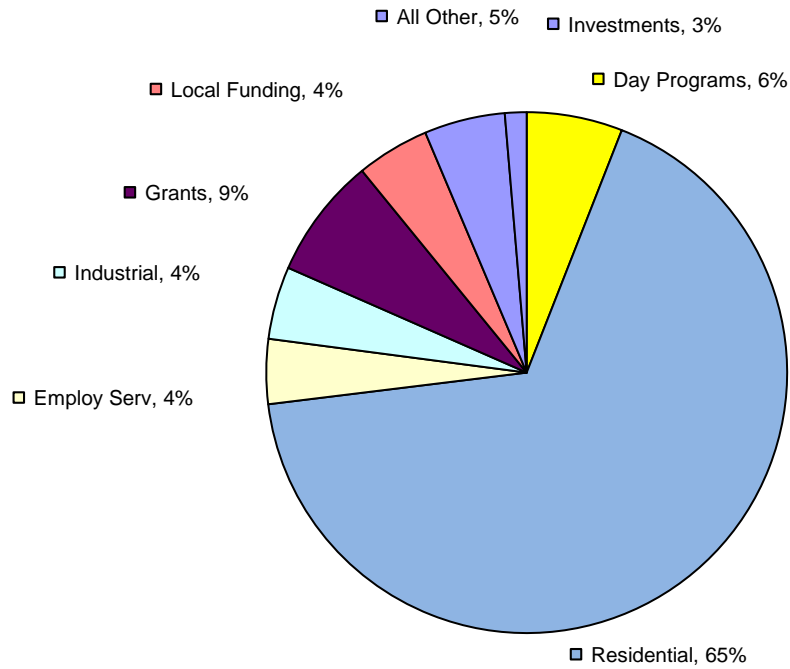




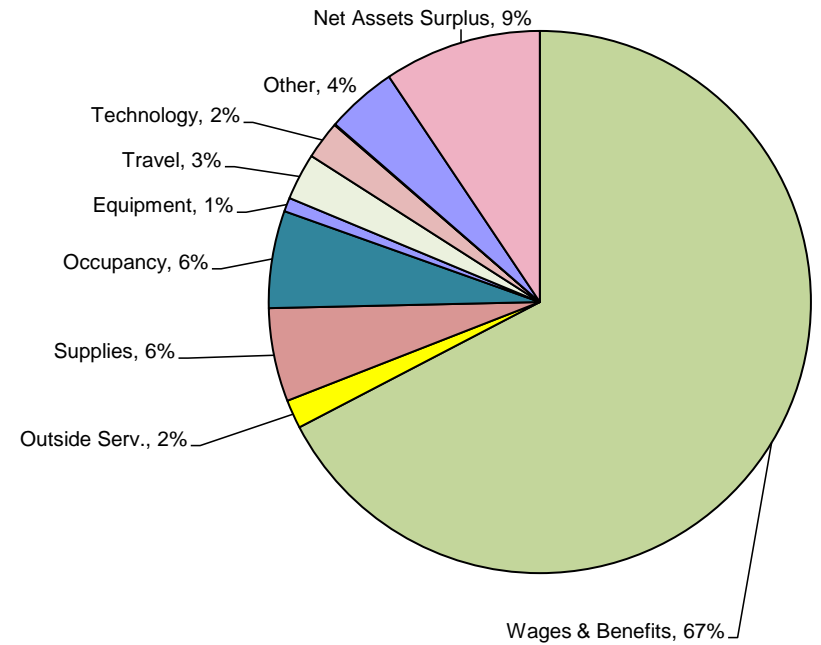
# Sources / Uses of Funds

## Fiscal Year 2021 Budget - Final/Approved

### Sources of Funds



### Uses of Funds



**Exhibit G. FY21 Budget CEO Whitepaper and Budget**



**Fiscal Year 2021 Budget - Final/Approved**

**Capital Investments**

<u>Asset Purchases</u>	<u>Equipment</u>	<u>Technology Equipment</u>	<u>Buildings</u>	<u>Vehicles</u>	<u>Land Improvements</u>	<u>Total</u>
Supervised Group Living	\$ 42,400	\$ -	\$ 32,800	\$ -	\$ 32,000	\$ 107,200
Supported Living	-	-	8,800	13,000	-	21,800
Employment Services	-	-	-	-	-	-
Protective Services	-	-	-	-	-	-
Day Services	-	-	-	24,000	-	24,000
Family Services	-	-	-	-	-	-
Transportation	-	-	-	-	-	-
The SHOP - ADEC Indus.	-	6,670	-	-	-	6,670
Administration	-	29,557	-	-	-	29,557
<b>Total Purchases</b>	<b>\$ 42,400</b> 22%	<b>\$ 36,227</b> 19%	<b>\$ 41,600</b> 22%	<b>\$ 37,000</b> 20%	<b>\$ 32,000</b> 17%	<b>\$ 189,227</b> 100%
<b>Total Depreciation</b>	<b>\$ 86,513</b>	<b>\$ 48,496</b>	<b>\$ 311,629</b>	<b>\$ 155,474</b>	<b>\$ 23,052</b>	<b>\$ 625,165</b>

**Major Projects**

Appliances, furniture, carpets, driveways
Windows in rental home, transit vehicle
Two vehicles coming off lease
Multi-function copy machine
Copy machine, computers, printers

Total Purchases	\$ 189,227
Total Depreciation	\$ 625,165
Net Cash Flow	\$ 435,938

**Exhibit G. FY21 Budget CEO Whitepaper and Budget**



**Balance Sheet / Cash Flow**

**Fiscal Year 2021 Budget - Final/Approved**

<b>Key Balance Sheet</b>		<b>Estimated Fiscal 2020</b>	<b>Budget Fiscal 2021</b>
<b>Cash on Hand</b>	Opening Balance	\$286,549	\$473,950
	Ending Balance	\$473,950	\$709,666
<b>Key Assets</b>	Accounts Receivable	\$1,341,940	\$1,400,389
	Inventory	\$81,503	\$74,147
	Prepaid Expenses/Deposits	\$93,423	\$98,094
	Fixed Assets	\$15,784,158	\$15,973,385
	Depreciation	(\$9,755,521)	(\$10,380,686)
	Investment	\$22,168,509	\$22,463,088
<b>Key Liabilities</b>	Accounts Payable	\$108,851	\$115,554
	Wages & Payroll Taxes	\$888,736	\$942,060
	Accrued Expenses	\$115,668	\$127,235
	Debt	\$2,000,000	\$0
	<b>Net Assets</b>	<b>\$27,075,806</b>	<b>\$29,154,333</b>

<b>Cash Flow</b>		<b>Estimated Fiscal 2020</b>	<b>Budget Fiscal 2021</b>
<b>Net Surplus for the Period</b>		\$549,320	\$2,078,527
<b>Operating Activities:</b>	Accounts Receivable	\$178,347	(\$58,449)
	Inventory	(\$14,865)	\$7,356
	Prepaid Expenses	(\$83,851)	(\$4,671)
	Accounts Payable	\$16,217	\$6,703
	Wages & Payroll Taxes	\$260,234	\$53,324
	Accrued Expenses	(\$147,507)	\$11,567
<b>Investing Activities:</b>	<To> From Investments	(\$2,838,002)	(\$294,579)
	Fixed Assets	(\$227,382)	(\$189,227)
	Depreciation	\$494,890	\$625,165
<b>Financing Activities:</b>	Debt Receipts/<Payments>	\$2,000,000	(\$400,000)
	Debt Forgiveness*	\$0	(\$1,600,000)
<b>Net Change in Cash</b>		<b>\$187,401</b>	<b>\$235,716</b>

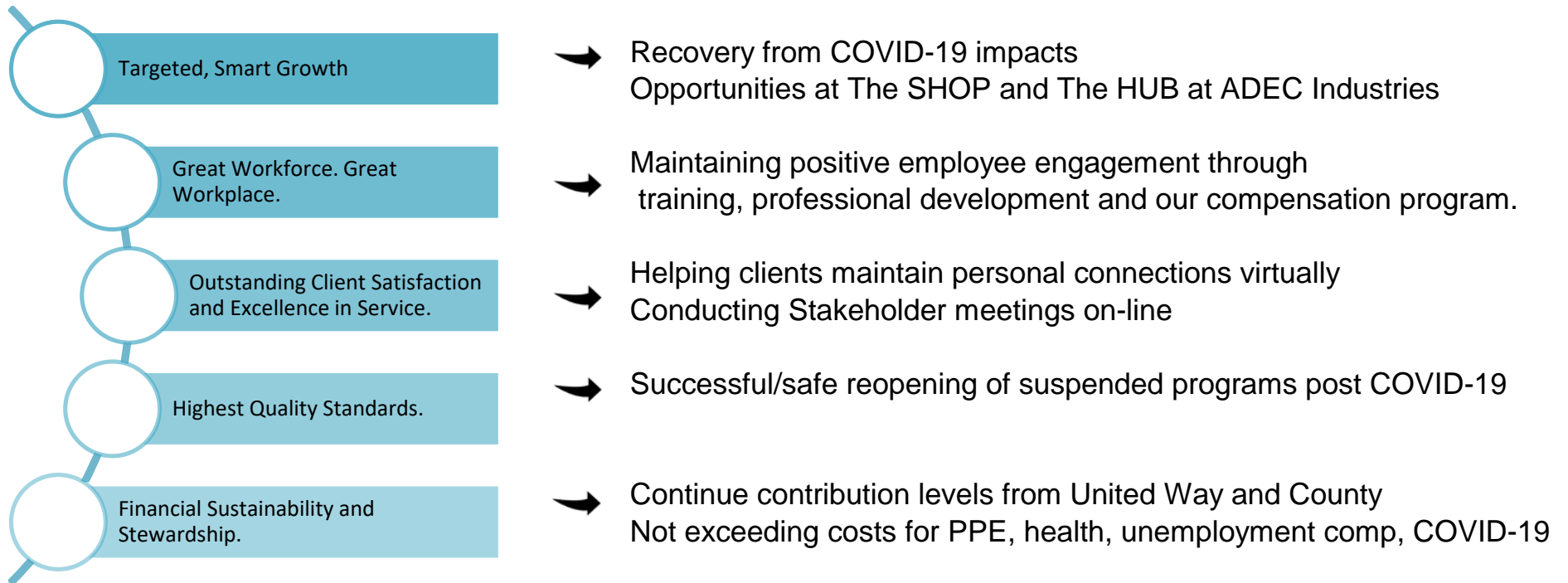
\* Amount of original PPP Loan recognized as grant income assuming 80% Loan Forgiveness. Grant income is included in net surplus.



## Key Success Factors

### Fiscal Year 2021 Budget - Final/Approved

#### Strategic Initiatives Our Guidance



**Exhibit G. FY21 Budget CEO Whitepaper and Budget**

**Consolidating Income Statement**



**Fiscal Year 2021 Budget - Final/Approved**

**Services Overview**

Shaded items represent areas that include revenues and expenses incurred between programs, requiring elimination	ADEC Total	ADEC Admin	Supervised Group Living	Supported Living	Employment Services	Adult Habilitation	Protective Services	Family Services	Transportation	ADEC Industries The SHOP	Community Outreach	Inter Dept. Eliminations
		910	Total	Total	Total	Total	215	Total	715	825	920	Total
<b>REVENUE</b>												
TOTAL DAY PROGRAM REVENUES	2,338,742	-	-	106,930	965,363	2,081,205	106,941	598,419	91,061	-	-	(1,611,177)
TOTAL RESIDENTIAL REVENUES	15,597,954	-	10,924,266	3,735,915	24,315	686,016	-	171,260	56,182	-	-	-
Total ADEC INDUSTRIES	882,104	-	-	-	-	-	-	-	-	882,104	-	-
TOTAL OTHER REVENUE	263,393	33,606	-	198,000	22,547	-	9,240	-	-	-	-	-
<b>TOTAL REVENUE</b>	<b>19,082,193</b>	<b>33,606</b>	<b>10,924,266</b>	<b>4,040,845</b>	<b>1,012,225</b>	<b>2,767,221</b>	<b>116,181</b>	<b>769,679</b>	<b>147,243</b>	<b>882,104</b>	<b>-</b>	<b>(1,611,177)</b>
<b>EXPENSES</b>												
TOTAL SALARIES / WAGES / BENEFITS	14,911,116	1,635,581	5,679,779	3,173,143	615,508	1,784,551	153,527	695,892	539,423	334,697	299,016	-
TOTAL OUTSIDE SERVICES	379,287	174,071	139,487	29,718	2,450	20,101	463	3,276	1,310	469	7,942	-
TOTAL SUPPLIES	1,233,657	89,391	659,045	10,197	4,060	73,583	125	9,215	805	382,985	4,250	-
TOTAL OCCUPANCY COSTS	1,284,061	150,174	432,679	157,526	8,803	431,504	6,861	6,718	6,898	77,237	5,661	-
TOTAL EQUIPMENT COSTS	182,687	29,340	90,407	3,478	209	15,350	-	423	580	42,652	248	-
TOTAL TRAVEL COSTS	617,303	20,786	250,634	77,020	1,000	63,377	5,000	2,377	185,855	10,753	500	-
Total TECHNOLOGY	503,288	104,937	121,901	79,370	30,515	70,896	7,971	24,563	13,259	25,282	24,595	-
Total IN-KIND DONATIONS	12,000	-	-	-	-	-	-	-	-	-	12,000	-
TOTAL OTHER AGENCY COSTS	818,846	99,143	2,075,218	64,779	11,697	4,285	650	2,400	120	28,667	25,570	(1,493,682)
<b>TOTAL EXPENSES</b>	<b>19,942,245</b>	<b>-</b>	<b>10,609,350</b>	<b>4,036,667</b>	<b>757,028</b>	<b>2,766,142</b>	<b>196,035</b>	<b>836,320</b>	<b>840,123</b>	<b>967,851</b>	<b>426,413</b>	<b>(1,493,682)</b>
<b>OPERATING SURPLUS &lt;DEFICIT&gt;</b>	<b>(860,052)</b>	<b>33,606</b>	<b>314,916</b>	<b>4,178</b>	<b>255,197</b>	<b>1,079</b>	<b>(79,854)</b>	<b>(66,641)</b>	<b>(692,880)</b>	<b>(85,747)</b>	<b>(426,413)</b>	<b>(117,495)</b>
<b>LOCAL SUPPORT</b>												
TOTAL GRANT REVENUE	50,000	-	-	-	-	-	-	-	-	-	50,000	-
UNITED WAY AND ELKHART COUNTY												
UNITED WAY	82,000	-	-	-	32,800	-	-	49,200	-	-	82,000	(82,000)
COUNTY COMMISSIONERS	650,000	-	-	-	-	-	104,650	-	545,350	-	650,000	(650,000)
<b>TOTAL UNITED WAY AND COUNTY</b>	<b>732,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>32,800</b>	<b>-</b>	<b>104,650</b>	<b>49,200</b>	<b>545,350</b>	<b>-</b>	<b>732,000</b>	<b>(732,000)</b>
TOTAL CONTRIBUTIONS	262,000	-	-	-	-	-	-	-	-	-	262,000	-
<b>TOTAL LOCAL SUPPORT</b>	<b>1,044,000</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>32,800</b>	<b>-</b>	<b>104,650</b>	<b>49,200</b>	<b>545,350</b>	<b>-</b>	<b>1,044,000</b>	<b>(732,000)</b>
<b>AGENCY RESULTS</b>	<b>183,948</b>	<b>33,606</b>	<b>314,916</b>	<b>4,178</b>	<b>287,997</b>	<b>1,079</b>	<b>24,796</b>	<b>(17,441)</b>	<b>(147,530)</b>	<b>(85,747)</b>	<b>617,587</b>	<b>(849,495)</b>
TOTAL INVESTMENT EARNINGS	294,579	294,579	-	-	-	-	-	-	-	-	-	-
<b>TOTAL SURPLUS &lt;DEFICIT&gt;</b>	<b>478,527</b>	<b>328,185</b>	<b>314,916</b>	<b>4,178</b>	<b>287,997</b>	<b>1,079</b>	<b>24,796</b>	<b>(17,441)</b>	<b>(147,530)</b>	<b>(85,747)</b>	<b>617,587</b>	<b>(849,495)</b>
Non-Operating Grant from PPP Loan Forgiveness	1,600,000	1,600,000										
<b>TOTAL SURPLUS &lt;DEFICIT&gt;</b>	<b>2,078,527</b>	<b>1,928,185</b>										



**End of Presentation**

*Thank You!*