



AMERICAN ACADEMY OF NEUROLOGY

EMPLOYEE HANDBOOK

About this Handbook:

This employee handbook contains information regarding many of the employment-related policies and procedures of the American Academy of Neurology.

NO PROVISION IN THIS HANDBOOK IS INTENDED TO CREATE A CONTRACT BETWEEN AN EMPLOYEE AND THE AMERICAN ACADEMY OF NEUROLOGY, AMERICAN ACADEMY OF NEUROLOGY INSTITUTE, OR AMERICAN BRAIN FOUNDATION (ACADEMY) OR UNITED COUNCIL FOR NEUROLOGIC SUBSPECIALTIES (UCNS), OR TO LIMIT THE RIGHTS OF THE ACADEMY AND ITS EMPLOYEES TO TERMINATE THE EMPLOYMENT RELATIONSHIP AT ANY TIME, WITH OR WITHOUT CAUSE. THIS HANDBOOK IS A GENERAL STATEMENT OF POLICY, TO BE MODIFIED AND APPLIED BY THE ACADEMY AT ITS DISCRETION. THIS HANDBOOK SUPERCEDES ANY PREVIOUS HANDBOOKS OR PREVIOUS GENERAL STATEMENTS OF POLICY.

The Academy values the many talents and abilities of its employees and seeks to foster an open, cooperative and dynamic environment where employees can thrive. If you would like further information or have questions about any of the policies and procedures outlined in this handbook, please contact Human Resources.

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INTRODUCTION

Welcome to the American Academy of Neurology (AAN). This employee handbook is intended to provide you with an overview of the basic personnel policies, procedures, and programs at the American Academy of Neurology, American Academy of Neurology Institute, American Brain Foundation and United Council for Neurologic Subsidiaries (collectively referred to as “Academy.”) All employees are AAN employees. The time worked by employees is allocated to a particular entity or among entities. Failure to comply with AAN policies and procedures may result in corrective action up to and including termination.

The handbook is intended as a general statement of policy to serve as a reference for AAN employees. The material in this handbook is not all-inclusive and is not intended to address all possible applications of, or exceptions to, the general policies and procedures described. This information supersedes and replaces any and all personnel policies, manuals, and handbooks previously distributed, made available, or made applicable to employees. Any future revisions will immediately supersede all previously communicated policies and be effective as noted. AAN reserves the right to modify, revoke, suspend, terminate, or change any or all of the policies included in this handbook in whole or in part, at any time, with or without notice.

If you have questions about a specific policy, or how it affects your employment with AAN, you are encouraged to talk with your supervisor, Executive Staff Member, or Human Resources.

This handbook is not intended to create, nor be construed to constitute, a contract of employment. Employees of AAN are employed "at will." This means that employees have the right to terminate their employment at any time and for any reason, and AAN retains the right to terminate employment at any time and for any lawful reason, or for no reason with or without cause or notice.

MISSION AND HISTORY

The American Academy of Neurology is a medical specialty society established in 1948 to advance the art and science of neurology, and thereby promote the best possible care for patients with neurological disorders. This is done by ensuring appropriate access to neurological care and supporting and advocating for an environment which ensures ethical, high quality neurological care. In addition, AAN provides excellence in professional education by offering a variety of programs in both the clinical aspects of neurology and the basic neurosciences to physicians and allied health professionals as well as supporting clinical and basic research in the neurosciences and related fields.

The activities of the Academy are performed within two tax exempt, nonprofit entities. The original entity formed in 1948 is now known as the American Academy of Neurology “Institute.” The AAN Institute is a 501(c)(3) public charity with a purpose focused on education and research. In order to expand the Academy’s advocacy efforts, a separate 501(c)(6) professional association was established in 2007 which now includes the AAN membership, and is known as the AAN. The purpose of the AAN is focused on membership, advocacy and publications. A political action committee known as BrainPAC was formed in affiliation with the AAN.

The American Brain Foundation, formerly the American Academy of Neurology Foundation established in 1993, is a separate 501(c)(3) public charity with a fundraising and research purpose focused on its vision to cure brain disease.

The United Council for Neurologic Subspecialties was established in 2003 to accredit training programs (fellowships) in neurologic subspecialties and to certify physicians who demonstrate their competence in these subspecialties.

AAN Vision

To be indispensable to our members

AAN Mission

To promote the highest quality patient-centered neurologic care and enhance member career satisfaction

Values

- **Leadership**
We demonstrate a spirit of service and dedication to the organization's mission and vision.
- **Integrity**
We are committed to honest and ethical conduct in all of our personal and professional capacities.
- **Professionalism**
We are dedicated to expanding our knowledge and exhibiting excellence in support of the organization's mission and vision.
- **Commitment**
We are dedicated to achieving the goals of the Academy in order to provide services that are indispensable to the organization as a whole.
- **Respect**
We embrace the dignity and uniqueness of others by honoring their diverse backgrounds and opinions to create a positive and productive community.
- **Compassion**
We are sensitive and empathetic to the needs of others. We assume positive intent.

A more detailed history of AAN is available through Human Resources, as well as a brochure entitled: *Core Values and Communication*, which provides more detail on our Academy values and responding to conflict.

STANDARD EMPLOYMENT PRACTICES

EMPLOYMENT AT WILL

This handbook has been developed to establish general policies relating to employment with the organization. It is not an employment contract and must not be used or interpreted as a contract under any circumstances.

It is the policy of the AAN that all employees who do not have a written employment contract with the organization for a specific, fixed term of employment are considered to be employed at will. This means that employment is for an indefinite period of time and employees are subject to termination at any time, for any reason, with or without cause or notice. Likewise, employees may terminate their employment at any time and for any reason.

This policy on at-will employment is not altered by statements made in other areas of this handbook or other materials including, but not limited to, recruiting materials, interviews, or letters or by statements made by Supervisors, Executive Staff Members, employees or any other AAN representative.

EQUAL EMPLOYMENT OPPORTUNITY

AAN strives to create a work environment of equal opportunity for all employees and applicants in accordance with all applicable laws, directives, and regulations of federal, state, and local governing bodies or agencies.

Equal employment opportunity is provided to all employees and applicants without regard to race, color, creed, religion, national origin, sex, sexual orientation, disability, age, marital status, status with regard to public assistance, membership or activity in local commissions, or veteran status except as permitted or required by law. All decisions made with respect to recruitment, advertising, and solicitation for employment, hiring, assignments, transfers, training, education, tuition assistance, social or recreational programs, compensation, benefits, promotions, demotions, reductions in workforce, disciplinary action, or termination, will be administered free from any illegal discriminatory practices. Employees with a disability who believe they need a reasonable accommodation to perform the essential functions of their job should contact Human Resources.

Anyone with questions or concerns regarding any type of discrimination must bring these issues to the attention of their supervisor or Human Resources and can do so without fear of retaliation.

Any employee of this organization who does not comply with the equal employment opportunity policies and procedures as set forth in this statement will be subject to disciplinary action, up to and including termination.

Employment Eligibility Verification

In compliance with the Immigration Reform and Control Act of 1986, each new employee, as a condition of employment, must complete the Employment Eligibility Verification I-9 Form and present documentation establishing identity of employment eligibility. Former employees who are rehired must also complete the form if they have not completed an I-9 with AAN within the past three years, or if their previous I-9 is no longer valid. Employees with questions on immigration issues are encouraged to contact Human Resources.

AFFIRMATIVE ACTION STATEMENT

This statement reaffirms the AAN's policy of providing Equal Opportunity to all employees and applicants for employment in accordance with all applicable Equal Employment Opportunity Affirmative Action laws, directives and regulations of Federal, State and Local governing bodies or agencies thereof, specifically including Chapter 139.50 and 141 of the Minneapolis Civil Rights Ordinance and the Rules and Regulations as applicable.

The AAN will not discriminate against any employee or applicant for employment because of race, color, creed, religion, national origin, sex, sexual orientation, disability, age, marital status, status with regard to public assistance, membership or activity in local commissions, or veteran status, or any other legally protected status.

The AAN will take Affirmative Action to ensure that all employment practices are free of such discrimination. Such employment practices include, but are not limited to, the following: hiring, upgrading, demotion, transfer, recruitment or recruitment advertising, selection, layoff, disciplinary action, termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship.

The AAN prohibits the harassment of any employee or job applicant on the basis of their protected class status.

The AAN will commit the necessary time and resources, both financial and human, to achieve the goals of Equal Employment Opportunity and Affirmative Action. The AAN will evaluate the performance of its management and supervisory personnel on the basis of their involvement in achieving these Affirmative Action objectives as well as other established criteria. Any employee of the AAN or its subcontractors who do not comply with the Equal Employment Opportunity Policies and Procedures set forth in this Statement and Plan will be subject to disciplinary action. As well, any subcontractor not complying with all 3 applicable Equal Employment Opportunity/ Affirmative Action laws, directives and regulations of the Federal, State and Local governing bodies or agencies thereof, specifically including Chapter 139.50 of the Minneapolis Civil Rights Ordinance, will be subject to appropriate legal sanctions.

The AAN has appointed - Senior Generalist, Human Resources Robin Peterson as EEO Coordinator to manage the Equal Employment Opportunity Program. The responsibilities will include monitoring all Equal Employment Opportunity activities and reporting the effectiveness of this Affirmative Action Program, as required by Federal, State and Local agencies. If any employee or applicant for employment believes he/she has been discriminated against, please contact Bruce Levi, General Counsel.

RECRUITMENT

AAN provides employees with opportunities for career growth and development through a job posting system that provides equal employment opportunity. In an attempt to provide an effective method of communication to all employees, job openings may be announced by e-mail and by the external AAN website. AAN reserves the right not to post a position and/or hire from the outside.

To be eligible to apply for a posted position, it is recommended that employees be in their current position for at least one year. Employees will be disqualified from consideration if they are on probation as a result of disciplinary action, have been excessively absent from work, and/or job performance is not currently fully satisfactory. If employees are unsure as to whether or not they are eligible to apply for a

vacancy, they should contact Human Resources. Employees interested in and qualified for an open position are encouraged to apply for the position by submitting a cover letter explaining their interest in the vacant position along with a recent resume. In addition, employees are encouraged to discuss their application with their current supervisor. Resumes will be reviewed along with the employee's past performance, attendance, and any other pertinent information to determine whether or not their qualifications appear to meet the position requirements of the vacancy. If the employee appears to meet the position qualifications, an interview will be arranged.

Generally, when an internal employee has accepted an offer, they should be released to their new position within ten to twenty working days after acceptance. When necessary, the releasing manager may negotiate an extension of the release date with the hiring manager. In most cases, release periods may not exceed one month from the date of acceptance.

JOB CLASSIFICATION

It is the intent of AAN to clarify the definitions of job classifications so employees understand their employment status and benefit eligibility. Each employee is designated as either non-exempt or exempt from federal and state wage and hour laws. Employees should refer to position descriptions for specific position classification. An employee's exempt or non-exempt classification may be changed only upon written notification from Human Resources.

Exempt Employees

If an employee is exempt as defined by law, the employee will not be paid overtime and will be required to work the hours necessary to perform the responsibilities of the job. Exempt employees are compensated on a fixed salary regardless of the number of hours actually worked. No additional compensation is involved.

Non-Exempt Employees

Non-exempt employees are paid based on their actual number of hours worked and must limit their workweek to their scheduled hours. Time worked in excess of the employee's scheduled hours requires prior authorization from the supervisor. Non-exempt employees are eligible to receive overtime pay for hours worked over a forty-hour workweek. Refer to the Overtime Policy for additional information.

In addition to the above categories, each employee may belong to one other employment category:

Regular Full-Time Employees

A regular full-time employee is an employee who is hired to work 40 hours per week and is an employee at-will. A regular full-time employee is eligible for benefits and paid leave offered by the AAN, subject to the terms, conditions, and limitations of each benefit program.

Regular Part-Time Employees

A regular part-time employee is an employee who is hired to work less than 40 hours per week and is an employee at-will. A part-time employee may be eligible for some benefits sponsored by the organization, subject to the terms, conditions and limitations of each benefit program and the number of hours worked.

Temporary/Contract Employees

A temporary/contract employee is one who is hired to work on either a temporary full or part-time basis in order to complete a specific job or for a specific time period and is an employee-at-will. Employment beyond any initially stated period does not in any way imply a change in employment status. While a temporary/contract employee will receive all legally-mandated benefits, they are not eligible for AAN's

other benefits or paid leave. If a temporary/contract employee accepts full-time or part-time employment, benefit eligibility will commence on the date of this status change.

Interns

An intern is a temporary employee who is hired for a designated period of time and is an employee at-will. An intern is not eligible for any benefits.

NOTICE OF RIGHTS TO ACCESS TO PERSONNEL FILE

In Minnesota, employees have various legal rights and remedies to the contents of their personnel files. As an employee of the AAN, these rights extend to you to the extent provided by statute and include the opportunity to:

- Review the contents of your personnel file, upon written request to Human Resources in good faith, once every six months as an active employee and once each year after termination of your employment for as long as the record(s) are maintained,
- Receive a copy of the contents of your personnel file, upon written request to Human Resources, and
- Dispute information that is contained in your file and request that the information be removed. If AAN does not agree with your request to have the information removed, you have the opportunity to include a statement that outlines your position to the extent provided by statute.

EMPLOYMENT OF RELATIVES

A member of an employee's immediate family will be considered for employment by AAN, based upon their qualifications. For purposes of this provision, the immediate family is defined as parents of employee, sister, brother, spouse, domestic partner, child, child's spouse, grandparent of employee, parents of spouse, sister or brother of spouse, or individual residing permanently in the employee's household.

An immediate family member may not be hired, however, if such employment would create a direct or indirect supervisor/subordinate relationship with a family member, or create either an actual conflict of interest or the appearance of a conflict of interest. AAN may also require that individuals holding certain sensitive or confidential positions not have relatives in other AAN positions. These criteria will also be considered when assigning, transferring, or promoting employees.

PAYROLL TOPICS

Direct Deposit

Employees may choose an automatic payroll deposit that may deposit all net pay into a checking or savings accounts, split net pay up to three accounts, or specify that a certain amount be deposited into checking and/or savings accounts with the remaining balance issued as a regular paycheck. Should an employee wish to take advantage of automatic payroll deposit, they should see Human Resources to complete the appropriate authorization form.

Overtime

When at all possible, work is to be scheduled within the normal workweek. When necessary, employees may be required to work overtime. Overtime will be calculated based on AAN workweek of Sunday through Saturday.

Overtime compensation is paid to all non-exempt employees in accordance with federal and state wage and hour restrictions. As required by law, overtime pay is based on actual hours worked in excess of 40 hours per workweek and will be compensated at 1.5 times the normal rate of pay. PTO or any other leave of absence will not be considered hours worked for purposes of performing overtime calculations. Paid holidays will be counted as hours worked for the purposes of determining whether overtime pay is owed. PTO is counted as hours NOT worked for the purpose of performing overtime pay.

Supervisors must first authorize overtime to be worked by non-exempt employees. These additional hours should be within budget constraints and supported by business necessity. Employees are required to record all overtime hours on their time sheet. Employees will be subject to discipline, up to and including discharge, for violating this policy.

Payroll Deductions

AAN must deduct federal and state income taxes from employee wages in accordance with the number of exemptions claimed on their W-4. Social Security (FICA) and Medicare taxes are also deducted as required by law. The amount of Social Security taxes deducted and a like amount paid by AAN is forwarded to the government and credited to the employee's Social Security benefit account.

AAN will withhold garnishments, child support, medical support, and/or spousal maintenance obligations from an employee's pay, as required by court order. Upon termination of employment, employees subject to court-ordered child support and medical support or spousal maintenance must notify AAN of the name and address of the employee's new employer, if applicable.

All other deductions that may be taken from an employee's paycheck must have employee approval. Examples of the pretax deductions may be contributions to their 401(k) account, flexible spending elections such as medical and/or dental premiums, miscellaneous out-of-pocket health expenses, and dependent care costs. Examples of the post-tax deductions may be medical and/or dental premiums for a domestic partner, payment of a computer loan, and charitable donations.

Pay Procedures

Employees are paid on a bi-weekly basis by check and/or direct deposit. Employees who discover a mistake in their paycheck, lose their paycheck, or have it stolen should notify the Payroll Department immediately. An employee who loses their check or has their check stolen is solely responsible for the monetary loss and AAN will not be responsible for the loss or theft of a check if payment cannot be stopped. If the payday falls on a non-working holiday, employees will be paid the day previous to the holiday unless otherwise notified. AAN does not issue early paychecks to employees in advance of the regular pay schedule.

Time Tracking

All employees are required to submit time sheets with accurate project codes on a weekly basis to their supervisor. These time sheets are AAN's means of maintaining a record of the hours employees work each week. All hours worked should be logged to the nearest quarter hour and recorded daily except when planned absences require time to be recorded in advance.

Employees and supervisors are responsible for ensuring that the time sheet honestly, accurately, and completely reflects time worked. In addition, if corrections or modifications are made to the time sheet, both the employee and the supervisor must verify the accuracy of the changes. Time sheets should be completed no later than Monday for the previous work week. Time sheets submitted after the payroll cutoff date may not be processed on the same schedule and payment may be delayed. Altering, falsifying, submission of incomplete or inaccurate time sheets or tampering with time sheets may result in disciplinary action, up to and including termination.

TELECOMMUTING

The AAN considers telecommuting to be a viable alternative work arrangement in cases where individual, job and supervisor characteristics are best suited to such an arrangement. Telecommuting allows an employee to work at home, on the road, or in a satellite location for all or part of their regular workweek. Telecommuting is a voluntary work alternative that may be appropriate for some employees and some jobs. It is not an entitlement; it is not an organization-wide benefit; and it in no way changes the terms and conditions of employment with the AAN.

1. Either an employee or a supervisor can suggest telecommuting as a possible work arrangement.
2. Telecommuting can be informal, such as working from home for a short-term project or on the road during business travel, or formal, as will be described below. Other informal, short-term arrangements may be made for employees on family or medical leave, to the extent practical for the employee and the organization, and with the consent of the employee's health care provider, if appropriate. All informal telecommuting arrangements are made on a case by case basis, focusing on the business needs of the organization first. Such informal arrangements are not the focus of this policy.
3. The Executive Staff Member, manager and human resources must approve individual telecommuting arrangements. Human resources will provide a summary report to the Executive Director.
4. Any telecommuting arrangement may be discontinued, at will, at any time at the request of either the telecommuter or the organization.
5. AAN employees are issued a laptop, docking station, mouse, and keyboard. Modifications to the standard equipment package may be made based upon employee job description and approval. Telecommuters are required to use AAN provided equipment for work purposes. High speed Internet access (DSL or cable) is required for all telecommuters and is not reimbursable by AAN. The AAN accepts no responsibility for damage or repairs to employee-owned equipment.
6. Consistent with the organization's expectations of information asset security for employees working at the office full-time, telecommuting employees will be expected to ensure the protection of proprietary organization and member information accessible from their home office. Steps include, but are not limited to, use of locked file cabinets, disk boxes and desks, regular password maintenance, Internet firewall, computer anti-virus software, and any other steps appropriate for the job and the environment.
7. The employee will establish an appropriate work environment within their home for work purposes. The AAN will not be responsible for costs associated with initial setup of the

employee's home office such as remodeling, furniture or lighting, nor for repairs or modifications to the home office space.

8. Injuries sustained by the employee while at their home work location and in conjunction with their regular work duties are normally covered by AAN's workers' compensation policy. Telecommuting employees are responsible for notifying the employer of such injuries in accordance with AAN worker's compensation procedures.
9. The employee, manager and Executive Staff Member will agree on the number of days of telecommuting allowed, the work schedule the employee will customarily maintain, and the manner and frequency of communication. The employee agrees to be accessible by phone, email and Lync within a reasonable time period during the agreed upon work schedule.
10. Telecommuting employees will be held to a higher standard of compliance than office-based employees due to the nature of the work arrangement.
11. Before entering into any telecommuting arrangement, the employee, manager and Executive Staff Member, with the assistance of the human resource department, will evaluate the suitability of such an arrangement paying particular attention to the following areas:
 - a. Needs of the department
 - b. Employee's personal situation
 - c. Need for adequate supervision of employee
 - d. Employee's current and past job performance
 - e. Effects on membership service
 - f. Positive/negative effects on the team
 - g. Availability of equipment and appropriate work space
 - h. Anticipated additional costs, if any
 - i. Ability to measure the work performed
 - j. Level of work skills, i.e., time management, organizational skills, self-motivation, and ability to work independently
12. Tax and other legal implications for the business use of the employee's home based on IRS and state and local government restrictions rests solely with the employee.
13. An appropriate level of communication between the telecommuter and manager will be agreed to as part of the discussion process. The manager and telecommuter will communicate at a level consistent with employees working at the office or in a manner and frequency that seems appropriate for the job and the individuals involved.
14. Telecommuting is NOT designed to be a replacement for appropriate child care. Although an individual employee's schedule may be modified to accommodate child care needs, the focus of the arrangement must remain on job performance and meeting business demands. Prospective telecommuters are encouraged to discuss expectations of telecommuting with family members prior to entering into a telecommuting arrangement.
15. Employees entering into a telecommuting arrangement may be required to forfeit use of a personal office or workstation in favor of a shared arrangement to maximize organization office space needs.

16. The availability of telecommuting as a flexible work arrangement for employees of the AAN can be discontinued at any time at the discretion of the employer. Every effort will be made to provide 30 days' notice of such a change to accommodate commuting, child care and other problems that may arise from such a change. There may be instances, however, where no notice is possible. Any exceptions to the policy must be granted by the Executive Director.

WORK PRODUCT OWNERSHIP

All AAN employees must be aware that, under the Copyright Act of 1976, AAN retains legal ownership of their intellectual work produced during the scope of their employment. No work product created while employed by AAN can be claimed, construed or presented as property of the individual, even after employment by AAN has been terminated or the relevant project completed. This includes, but is not limited to, written and electronic documents, audio and video recordings, system code, and any concepts, ideas or other intellectual property developed for AAN, regardless of whether the intellectual property is actually used by AAN. In addition, information classified as confidential must remain confidential even after the end of employment.

GENERAL POLICIES AND PROCEDURES

ALCOHOL AND DRUGS

It is AAN's desire to provide a healthy, safe, and productive workplace. To ensure that this objective is met, AAN supports the Drug-Free Workplace Act of 1988 and prohibits the use, possession, solicitation, manufacture, distribution, dispensation, transfer or sale of controlled substances (illegal drugs, including marijuana), or the unauthorized consumption or possession of alcoholic beverages anywhere on AAN's premises or on AAN business. Further, an employee is prohibited from reporting to work or conducting AAN business while impaired or under the influence of controlled substances or alcohol. Alcohol may be served at certain AAN sponsored events including committee and board receptions and dinners. Alcohol may be served at other third-party events hosted at the AAN headquarters through arrangement with a caterer holding a valid permit.

Violations of this policy may lead to disciplinary action, up to and including immediate termination of employment. Such violations may also have legal consequences. Exceptions may be granted under certain circumstances by the Executive Director.

AAN recognizes drug and alcohol dependency as an illness and a major health problem. Employees needing help in dealing with such problems are encouraged to seek confidential assistance and referrals from the Employee Assistance Program via their current health care provider and their physician. The Employee Assistance Program is designed to provide confidential assistance to employees seeking rehabilitation for alcohol or drug abuse or other problems, and to provide consultation to managers on these issues.

ANTI-HARASSMENT

Introduction and Purpose

AAN is committed to providing a work environment that is free from all forms of discrimination and harassment based on race, color, creed, religion, national origin, sex, sexual orientation, disability, age, marital status, status with regard to public assistance, membership or activity in local commissions, or veteran status, or any other legally protected status.

Such discrimination and harassment violates the law, creates an offensive working environment, decreases productivity, adversely affects positive working relationships, increases costs to AAN, and tarnishes the image of the organization and everybody associated with it. It is prohibited in any form in the workplace, at work-related functions, or outside of work.

Policy

No AAN employee may engage in verbal or physical conduct that denigrates or shows hostility or aversion toward an individual because of that person's legally protected status or that of the person's relatives, friends, or associates.

The following are examples of prohibited harassment (please note that this list is not exhaustive):

1. Epithets, slurs, or jokes that contain negative stereotypes;
2. Intimidating or hostile actions based upon a person's protected status;

3. Posting, displaying, or circulating any electronic media currently available or created in the future any written or graphic material that demeans or shows hostility or dislike towards a person or group based on their protected status. This includes, but is not limited to, graffiti, cartoons, websites, or radio or television programming.

Defining Sexual Harassment

One form of prohibited harassment is sexual harassment. Sexual harassment is defined as:

1. Either explicitly or implicitly making unwelcome sexual advances or requests for sexual favors or other verbal or physical conduct of a sexual nature a term or condition of employment; or
2. Making such conduct a factor in decisions that affect an individual's employment; or
3. Creating an intimidating, hostile or offensive working environment or otherwise substantially interfering with an individual's employment by such conduct; or

Examples of Prohibited Conduct

Sexual harassment does not refer to behavior or occasional compliments of a socially acceptable nature. Normal, courteous, mutually respectful, pleasant, non-coercive interactions between employees that are acceptable to both parties are not considered to be sexual harassment. Rather, sexual harassment is conduct that is not welcome, that is personally offensive, that fails to respect the rights of others, that lowers morale and that, therefore, interferes with our work effectiveness. Sexual harassment may take different forms. One specific form is the demand for sexual favors. Other forms of harassment may include, for example (please note that this list is not exhaustive):

- Sexist remarks about a person's clothing, body or sexual activities;
- Leering, ogling, or staring at a person's body;
- Sexually-oriented jokes, stories, or remarks;
- Descriptions of sex acts, boasting about sexual prowess, or posting of suggestive pictures, drawings, poems, limericks, etc.;
- Unnecessary touching or brushing against another person's body, patting , or pinching;
- Verbal harassment or abuse referring to a person's gender, sexual preference or sexual activities;
- Pressure for dates or sexual activities;
- Unwelcome telephone calls, e-mails, letters, or home visits with sexual overtones;
- Demands for sexual favors with implied threats related to job benefits or opportunities.

Employees who have any question about whether conduct is permissible under this policy should discuss it with their supervisor or Human Resources.

What to Do If You Are Being Harassed

An employee who believes he or she has been subjected to harassment prohibited by this policy (whether by a co-worker, a supervisor, a member, a client, a vendor, etc.) is encouraged, to communicate to the harasser that his/her conduct is inappropriate, offensive, or unwelcome. If that does not immediately and completely resolve the problem, if the employee has any further concern or objection about the alleged harasser, if the employee thinks he or she has experienced any retaliation, or if the employee is not comfortable confronting the harasser, then the employee must report the incident immediately to his or her supervisor, Human Resources, or the Executive Staff Member. Reporting must be done in order to ensure that the inappropriate behavior stops.

Supervisors who receive a complaint or observe improper conduct are required to immediately report that information to Human Resources. This reporting is mandatory, even if the person reporting the incident asks that no action is taken or the supervisor does not believe that an investigation is warranted.

All complaints will be handled in a timely manner. Human Resources will review all reports and, if necessary, conduct a prompt, thorough, impartial and discreet investigation. An investigation may include interviews with the person making the complaint, the accused person, and appropriate witnesses, depending on the specific circumstances. The complainant and any parties involved may be asked to make their statements in writing. All employees shall be protected from coercion, intimidation, interference, or discrimination for filing a complaint or assisting in an investigation. Failure to cooperate with or efforts to obstruct an investigation may result in corrective action, up to and including termination of employment.

If the investigation reveals that the complaint is valid, prompt disciplinary action, up to and including termination, and any other necessary action designed to stop the harassment immediately and to prevent its recurrence will be taken.

Protection Against Retaliation

No retaliation of any kind will occur because an employee has in good faith reported an incident of suspected harassment, or because an employee assists or participates in an investigation, proceeding or hearing related to a report of sexual harassment. The person to whom the complaint was made, and anyone involved in investigating or mediating the complaint, will work to establish mutually agreed upon safeguards against retaliation.

Any individual who retaliates against a person who complains or reports alleged harassment or other objectionable conduct, or who retaliates against any person who assists or participates in an investigation, proceeding or hearing related to a sexual harassment complaint, will be subject to discipline, up to and including termination.

Penalties for Prohibited Harassment

It is the AAN's policy that Human Resources will act immediately, appropriately and impartially to investigate all reported acts of discrimination or harassment, sexual or otherwise. A violation of this policy may be grounds for immediate discipline, up to and including termination. Sanctions, if any, will be determined on a case-by-case basis, after a review of relevant information.

How to Get More Information

Any questions regarding your obligations and those of others under this Policy should be directed to your supervisor or Human Resources.

ATTENDANCE

Employee absenteeism and tardiness increases the workload of fellow employees, interferes with the flow of business, and affects morale and the quality of service to AAN members. Each employee is expected to report for work on time and work their scheduled hours. Frequent absences and tardiness will have an impact on employee performance appraisals, salary increases, and promotion opportunities. Excessive tardiness and/or absenteeism may lead to disciplinary action, up to and including termination.

From time to time, it may be necessary for an employee to be absent from work. AAN is aware that situations arise that cannot be scheduled outside work hours. Employees who are unable to report to work, or will arrive late, should contact their supervisor within 30 minutes of their expected reporting time indicating the reason for being late or for their absence. In addition, they should tell their supervisor

when they expect to arrive or return to work. If an employee knows in advance that they will need to be absent, they are required to request this time off directly from their supervisor. If further absence is necessary, employees must notify their supervisor daily unless otherwise arranged. All absences must be charged to whichever paid and/or unpaid leave time that is appropriate. Refer to the Severe Weather policy for further information on absences due to inclement weather.

Employees who are absent for three consecutive working days without notifying their supervisor, area Executive Staff Member, or Human Resources, may be considered to have voluntarily terminated. In addition, if an employee is absent for three or more days due to illness or injury, certification of a health care provider and written authorization for their return to work may be required.

CONFIDENTIALITY

A strict standard of confidentiality is necessary to protect the confidential and proprietary information of AAN, employees, and members. Any unauthorized access to confidential and/or proprietary information and/or its dissemination or use for non-work related purposes, purposefully or inadvertently, is prohibited. All obligations related to confidential information are continuing and must be adhered to, even after employment ends. Breaches of the duty of confidentiality may be the subject of legal action. Access to confidential and database records will be restricted based on job relatedness and a need to know.

AAN employee and organizational information should be held in the strictest confidence. AAN information considered confidential includes, but is not limited to, AAN financial data, annual meeting abstracts, and press releases prior to embargo dates, draft practice parameters, technology assessments, position statements, and legal information. Employee information considered confidential includes, but is not limited to, employees' home addresses, telephone numbers, and information normally maintained in personnel files, including pay information. All requests from external sources for references or information related to employee status or work history should be referred to Human Resources. Member information that is considered to be confidential includes, but is not limited to, member social security numbers, information from the Member Census Form, education records, and information on dues paid or owed. Providing member addresses, telephone numbers, fax numbers or e-mail addresses to non-members, unless otherwise authorized, is also not allowed.

Employees who are unsure about the confidential nature of specific information are required to ask their supervisor for clarification. Violation of this policy is considered a serious offense and will result in corrective action, up to and including termination of employment.

CONFLICT OF INTEREST

Employees must be free from conflicts of interest that could adversely influence their judgment, objectivity or loyalty to AAN in performing their jobs. Engaging directly or indirectly in any conduct that conflicts with, or appears to conflict with the interests of AAN without disclosure and express written consent of the employee's supervisor is prohibited.

A potential or actual conflict of interest occurs if an employee is in a position to influence a decision that may result in a personal gain for the employee or an immediate family member as a result of AAN business dealings. It is implicit in these circumstances that gifts or the extension of hospitality must not influence purchasing or contractual decisions. Since it is impossible to describe all of the situations that may cause or give the appearance of a conflict of interest, the prohibitions included in this policy are not intended to be exhaustive and only include some of the more clear-cut examples.

Appearance of a Conflict of Interest

The perception of a conflict of interest can be extremely damaging to the reputation and credibility of AAN – even if there is no actual conflict. Accordingly, employees must be especially careful to avoid even the impression of a conflict of interest.

Financial Interest in Other Business

Employees and their immediate family may not borrow money from AAN suppliers or have suppliers serve as a guarantor for any loan, mortgage or lien. Employees may not own or hold any interest in a supplier or competitor of the AAN, except if such ownership or interest consists of securities in a publicly owned company, which securities are regularly traded on the open market or if the interest has been approved in advance, in writing, by the Executive Director.

Outside Employment and Activities

Employees' activities and conduct away from the job must not compete, conflict with or compromise AAN's interests or adversely affect job performance and the ability to fulfill all responsibilities to AAN. Therefore, employees must not engage in or participate as an employee, consultant, owner, partner, board member, volunteer or otherwise in any activity or outside employment that may reflect negatively on AAN or that may be construed to be a conflict of interest with AAN. It is each employee's responsibility to discuss with Human Resources, prior to entering into any relationship, any situation which could potentially violate this policy.

All employees will be judged by the same performance standards and will be subject to AAN's scheduling demands, regardless of any existing outside work or activity requirements. If AAN determines that an employee's outside work or activity interferes with performance or the ability to meet the requirements of AAN, the employee may be asked to terminate the outside employment or activity if he or she wishes to remain employed at AAN.

Honoraria

An employee who receives cash honoraria for a presentation, symposium participation or other activities or services performed that are closely related to AAN employment must report the honoraria to their executive staff member. Employees who receive cash gifts are encouraged to donate the gift to the American Brain Foundation or a charity of their choice.

Acceptance of Gifts

1. An employee may not accept, directly or indirectly, a gift from potential or actual members, suppliers, corporate supporters, or competitors unless authorized by the employee's Executive Staff Member (or, if executive staff, by the Executive Director). A gift is defined as travel, lodging, entertainment, or other form of compensation or personal benefits valued at more than \$100.
2. An employee may accept reasonable business meals, travel, and any related hospitality that are infrequent and related to AAN purposes. The following are examples of appropriate business-related activities:
 - a. A city provides free travel to AAN employees to meet with city and hotel representatives during the process for selecting an annual meeting site.
 - b. A hotel offers an employee a free room during a site visit prior to a board or committee meeting.
 - c. A vendor pays for an employee's lunch when the purpose of the luncheon meeting is to discuss AAN-related business.
 - d. A vendor pays for an employee's travel, lodging, and food expenses to attend an educational seminar sponsored by the vendor. The employee may also attend hosted social and entertainment activities if those activities are provided to all seminar attendees.

3. Employees who receive cash gifts are encouraged to donate the gift to the American Brain Foundation or charity of their choice.
4. Executive staff shall report all gifts (to them or reported to them pursuant to paragraph 1, above) to the Executive Director. The Executive Director shall submit a consolidated report to the Executive staff at least annually.
5. The Executive Director shall report all gifts to (paragraph 1, above) the President.

CONTRACTOR REQUIREMENTS

AAN may periodically notify employees of policy requirements of federal and other grants or contracts and may take appropriate action against employees that violate these policies. Examples of such requirements include the United States Government's policy prohibiting trafficking in persons, and policies that ban text messaging while driving AAN-rented or Government-owned vehicles or while driving privately-owned vehicles when performing work for or on behalf of the Government.

DESTRUCTION OF DOCUMENTS

AAN will comply with all state and federal investigations, audits, or civil or criminal actions. To ensure that this objective is met, an AAN employee may not destroy, alter, or falsify records in existing or contemplated state or federal investigations, audits, and civil or criminal actions. The term "records" includes, but is not limited to, the following: documentation such as paperwork, computer disks, spreadsheets, photographs, and emails. Such actions may also have legal consequences under the Sarbanes-Oxley Act of 2002, which makes it unlawful to knowingly alter, destroy, or falsify documents with the intent to impede, obstruct, or influence any federal investigation or bankruptcy proceeding.

While other AAN policies may regulate the length of time documents should be retained, any document destruction policies in place (such as the AAN Record Retention Policy and Schedule) are suspended when AAN is notified, or has reason to know, of a potential or actual investigation, audit, or civil or criminal action that could involve AAN records. Employees must adhere to the conditions of any "litigation hold" imposed by legal staff in order to preserve potential evidence.

EMERGENCY OFFICE CLOSINGS

Office Closing

Hazardous weather conditions, unforeseen natural emergencies, mechanical failures, etc., may cause an interruption of the normal work schedule. In order to provide the high quality service that AAN members have come to expect, it is very important for the AAN office to remain open whenever possible. The Chief Financial Officer, in collaboration if necessary with executive staff, the Facilities Manager and HR staff, will determine when a building closing is warranted. The Executive Director will be notified immediately if a decision to close the building has been made. The closing, once determined, will be communicated to employees by either the Chief Financial Officer, the Facilities Manager or HR staff.

If a weather or other emergency situation exists that suggests the building should be closed, or opening of the building should be delayed, a voicemail announcement will be delivered to your contact telephone number provided to HR in the ADP system between 6am and 7am. An all-staff email will also be distributed.

In the event a weather or an emergency situation exists at the start of a work day and the building is closed for all or part of that day, employees scheduled to work during that period of closing will receive their regular pay for that time period. If the building reopens, the employees who do not report for work will be required to use PTO time for the remaining hours.

If a weather or other emergency situation develops or worsens during the work day, the Chief Financial Officer in collaboration with executive staff, the Facilities Manager, and HR staff will determine if and when the regular work day should end and the building closed.

If the building closes prior to the end of the work day due to severe weather or other emergency, all employees who are still working at closing time will receive compensation for the normal work day. Employees who chose to leave prior to closing will be required to use PTO time for the remaining hours unless they continue to work at home. These "emergency hours" will not be included in the hours worked when calculating overtime. If possible, an opportunity will be made available for employees to make up lost work hours. Employees who are absent for the entire work day for any reason will be charged with PTO time for their entire normal work day.

Severe Weather When No Office Closing

If the building is not closed on a severe weather day, employees must decide whether or not it is safe to attempt to get to work. Staff should work with their supervisor to decide if working outside of the office is an option for their situation. If an employee believes they cannot get to work safely, they are required to discuss their options with their supervisor before their scheduled starting time or as soon after their scheduled starting time as possible. Employees will either work from home or take a PTO day.

EVACUATION PLAN FIRE EMERGENCY

IF YOU SMELL SMOKE – DIAL 911

- REMAIN CALM: Do Not Panic - Walk: Do Not Run - Assist one another as needed
- EVACUATE THE BUILDING AT EMERGENCY EXITS - North and South Stairwells only – Avoid Main Stairwell
 - Elevators will STOP working when the system detects smoke. Each cab will drop to 1st floor and doors will open and remain open.
 - Fire Doors at Elevator Lobbies will close when smoke is detected
 - 5th Floor Fire Curtain will drop at top of main stairway when smoke is detected
- ASSEMBLY AREA: PROCEED TO OPEN PLAZA ACROSS 2ND STREET BETWEEN SPOON RIVER & GUTHRIE
- WAIT FOR FURTHER INSTRUCTIONS FROM EMERGENCY FIRST RESPONDERS OR AAN FIRE CAPTAINS

Area of Refuge/Rescue

The AAN Headquarters building is equipped with a two-way intercom communication rescue system called Area of Refuge/Rescue (AOR). An AOR intercom is located in each elevator lobby and in the north and south fire stairwell landings on floors 2-5. The AOR concept was established to provide a location for building occupants who cannot navigate the stairs without assistance, to be able to move to an AOR exit and await assistance or instructions by First Responders. Providing a clearly marked AOR is a fire required ordinance for each floor above the “ground” floor, and provides a two-way intercom communication system to a central control point (Communication

Center) located at the reception desk. The Communication Center is monitored 24 hours a day by a fire monitoring service. The AOR communication system provides hands-free, two-way communication, an audible and visible signal to indicate communication has occurred and indicates to the receiver the location sending the signal.

Evacuation Using Area of Refuge/Rescue

- Push button in Area of Refuge/Rescue located in elevator lobbies, and north and south stairwell on floors 2 thru 5
- This activates a signal sent to the Communication Center near the reception desk.
- Receptionist if available, communicates with the caller and reports to Facilities Management. If the caller does not receive a verbal response immediately, the caller should wait for First Responders.
- Signal is also received by the monitoring service, Allstate Communication. Allstate will attempt to contact the Facility to determine if an emergency or false alarm.
- If emergency is determined, Emergency First Responders (911) are called. Emergency First Responders will check the panel to find the location of the AOR caller.

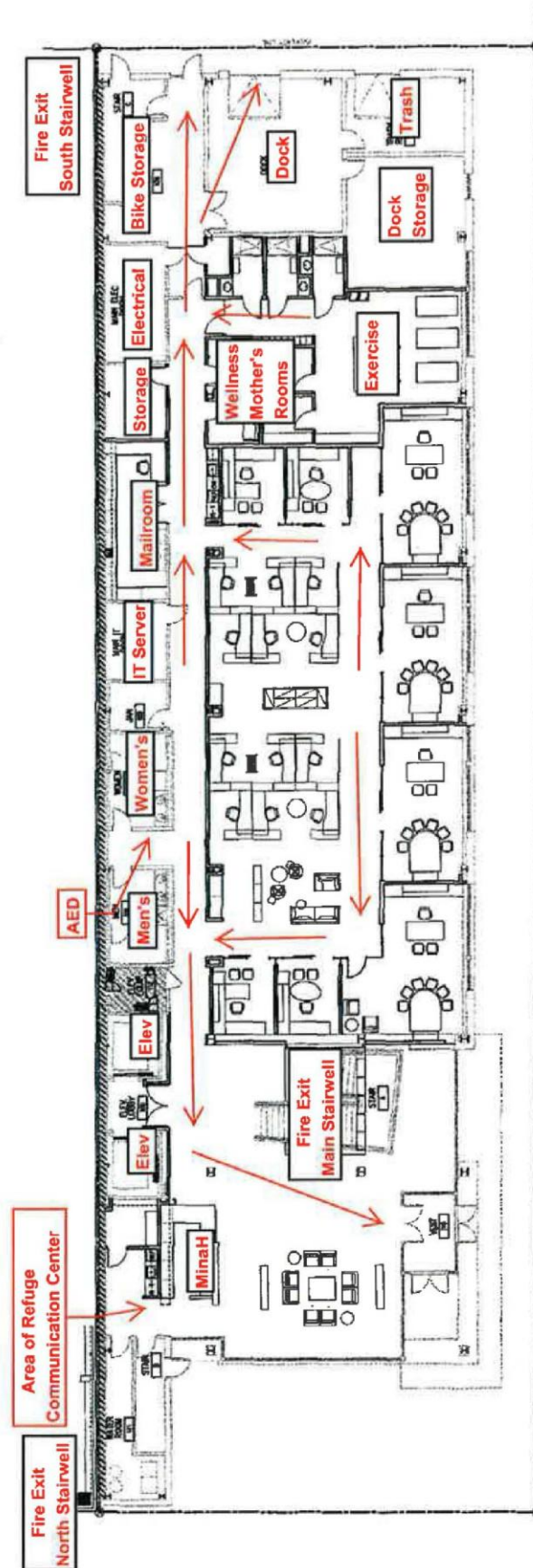
SUMMARY

In the event of a fire/emergency situation:

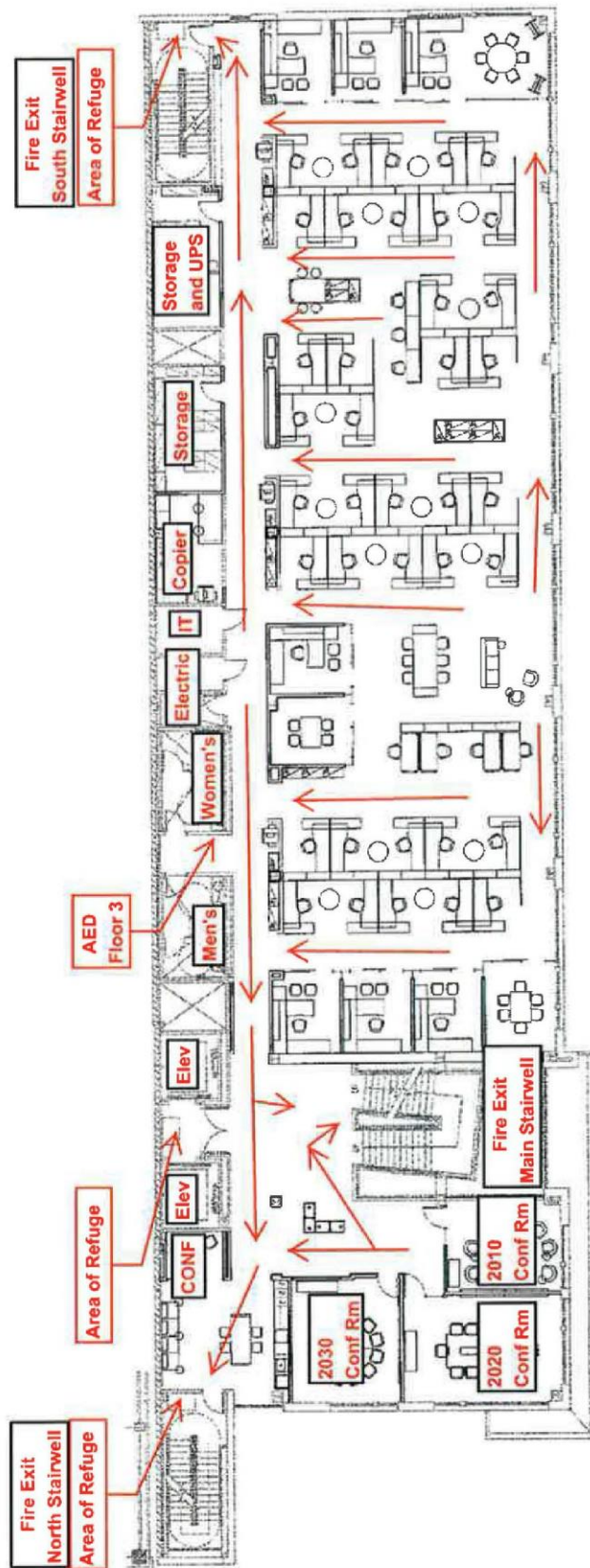
- **Remain calm.** Do Not Panic. Walk; Do Not Run. Assist one another as needed.
- **Alarm:** Dial 911.
- **Area of Refuge/Rescue:** Individuals unable to evacuate by stairs, ACTIVATE Area of Refuge/Rescue communication system in elevator lobby or north and south fire stairwells on floors 2-5. Follow instructions located by each AOR system. Wait for evacuation assistance by First Responders.
- **Exits (Evacuation Routes):** It is the responsibility of employees to know the location of each exit and Areas of Refuge/Rescue. Identify your primary exit along with secondary exits in the event your primary exit is unavailable.
- **Evacuate** the building at Emergency Exits (North and South Stairwells). **AVOID MAIN STAIRWELL**
- **Report** to the designated assembly area and provide your name for roll call to your designated fire monitor
- **Wait** for **All Clear** or other Instructions

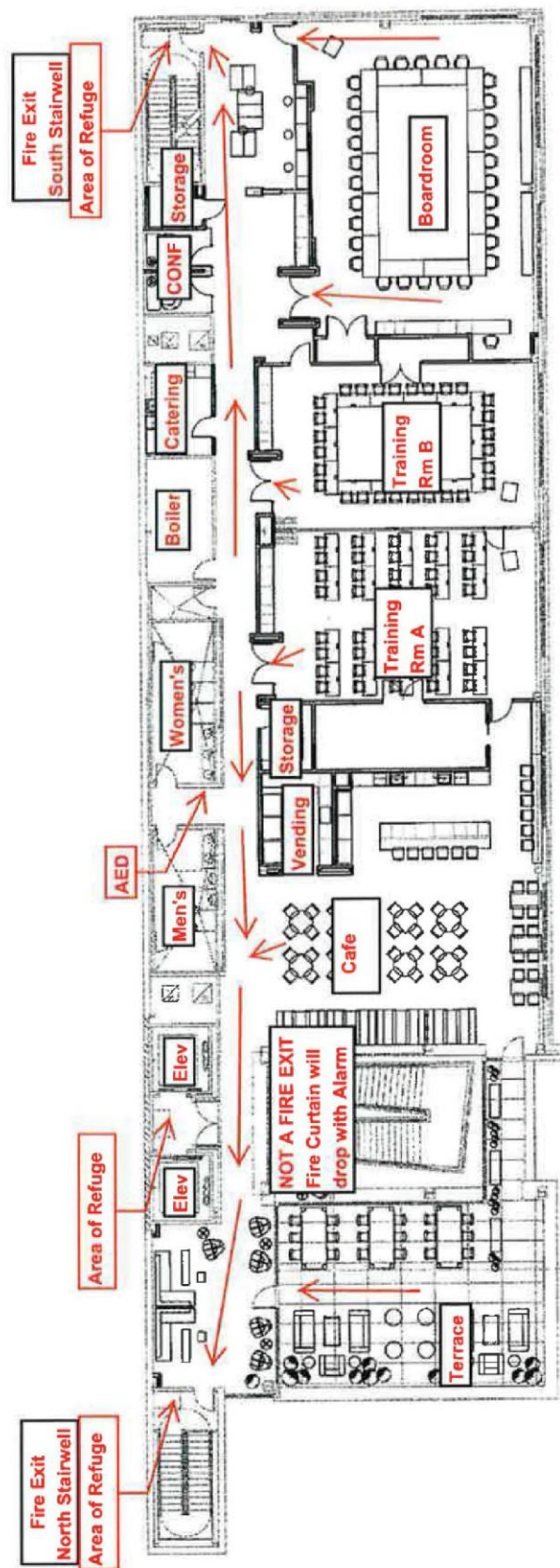
Designated Assembly Area:

Open lot between Spoon River and Guthrie Across 2nd Street



Floors 2 thru 4





EVACUATION PLAN ACTIVE SHOOTER EMERGENCY

Objective: To assist employees in responding to an active shooter event.

Definition of an Active Shooter – An active shooter is defined as an individual actively engaged in killing or attempting to kill people in a confined and populated area; in most cases, active shooters use firearm(s) and there is no pattern or method of their selection of victims.

Policy – In order to preserve life and address the reality of an active shooter event, these guidelines have been established to guide our response to this event to maximize survivability. Most importantly, quickly determine the most reasonable way to protect your own life.

Procedures –

A. The intent of most active shooters is to kill as many people as quickly as possible. Traditional law enforcement response will include the concept of “surround and contain” in order to minimize the number of victims. In order to save lives, the law enforcement agency having jurisdiction will initiate an immediate response.

B. Upon discovery of an active shooter situation, as soon as possible and when safe to do so, notify law enforcement (911). Facilities, if able, will provide an overhead announcement of an Active Shooter and location if known. The phone call to 911 (from an area where you are safely concealed) should provide the following information if known:

1. Description of suspect and possible location
2. Number and types of weapons
3. Suspect’s direction of travel
4. Location and condition of any victims

C. Facilities and/or HR and/or Executive Staff will meet and guide law enforcement officers if possible and as appropriate. The goal of law enforcement is to locate, isolate, and neutralize the shooter as quickly as possible to prevent additional deaths or injuries.

D. Response –

Evacuate – If there is an accessible escape path, attempt to evacuate the premises. Be sure to:

- Have an escape route and plan in mind
- Evacuate regardless of whether others agree to follow
- Grab your cell phone if possible but leave your other belongings behind
- Help others escape, if possible
- Prevent individuals from entering an area where the active shooter may be
- Keep your hands visible
- Follow the instructions of any police officers
- Do not attempt to move wounded people
- Call 911 when you are safe

Hide Out – If evacuation is not possible, find a place to hide where the active shooter is less likely to see you.

- Direct personnel into rooms, close the door and attempt to barricade the door.

Your hiding place should:

- Be out of the active shooter's view
- Provide protection if shots are fired in your direction (e.g., locating into a room where you can attempt to barricade the door and stay as low to the floor as possible and remain quiet and still)
- Not trap you or restrict your options for movement

To prevent an active shooter from entering your hiding place:

- Lock storage room doors, or
- Blockade if possible non-locking rooms

If the active shooter is nearby:

- Hide in a locked storage room (be sure door is locked from the inside)
- Silence your cell phone and/or pager
- Turn off any source of noise
- Hide behind large items if possible if you can't get to a locked room
- Remain low to the floor, quiet and still

If evacuation and hiding out are not possible:

- Remain calm
- Dial 911, if possible, to alert police to the active shooter's location
- If you cannot speak, leave the line open and allow the dispatcher to listen

Use reasonable force against the active shooter as a last resort in resisting or preventing great bodily harm or death:

- Disrupt and/or incapacitate the active shooter by whatever means are available:
 - Acting as aggressively as possible against the shooter
 - Throwing items and improvising weapons
 - Yelling
 - Committing to your actions

E. An “**All Clear**” will be announced overhead when the situation has been addressed and the scene is declared safe by law enforcement officials.

F. Recovery:

The health and wellbeing of our employees is critical. As soon as possible after law enforcement has relinquished Command and Control of the scene, Facilities and HR will develop information strategies to address employee questions related to the event.

Initially, the site of a violent incident will be secured as a crime scene. After the authorities have completed their investigation and have released the crime scene, management will need to have the building appropriately cleaned and sanitized.

Effective coordination with the media and timely dissemination of information can help reduce media pressure on those who are the most vulnerable. Assistance with employee benefits and other administrative issues can reduce the burden on victims and families. Media and Executive staff are designated as the Public Information Officers who are authorized to speak on behalf of the AAN to the media.

When an incident occurs, emergency mental health consultants will as soon as possible, to provide any necessary physical, emotional and psychological support.

EVACUATION PLAN TORNADO EMERGENCY

In the event the Local Weather Alert System issues a tornado warning, this means a tornado is tracking toward our building. All employees are expected to follow safety procedures:

- An announcement to move to safety will be made over the Emergency Intercom System.
- Stop what you are doing and move to a safe location in our building - away from windows and glass. Safe areas are located in corridors or rooms that run along the east side of our building, including hallways, restrooms, storerooms and fire stairs.
- Assist one another to safety as needed.
- Once to safety, face interior walls and cover the back of your head with your hands.
- If any individual is observed in medical distress in need of first aid or emergency assistance, dial 911; assist with CPR if trained. AED locations are in restroom lobbies on floors 1, 3 & 5.
- If you are unable to move to a safe place, crawl under a desk or other sturdy object to protect yourself from falling debris and hold on to this object. If tornado winds enter the room and the object moves, holding on will help you move with it, keeping you protected.
- Do not exit safe areas until you are informed to do so or hear an audio "All Clear."

After the tornado,

- Watch out for fallen power lines, broken gas lines, broken glass and report them to Facilities Management who will notify the appropriate utility company immediately. Reporting potential hazards will get the utilities turned off as quickly as possible preventing further hazard and injury.
- Carefully watch every step you take.
- Await further instructions from HR, Senior Leadership or Facilities Management.

LUNCH PERIODS/BREAKS

Lunch Periods

Lunch periods vary according to the requirements of each department and each position. Non-exempt employees who work 6 hours or more per day are required to take at least 30 minutes away from their desk for an unpaid lunch/meal break. The timing and length of an employee's lunch break should be arranged with their supervisor.

Exempt employees are not provided with specific timing and length for lunch; more guidance may be provided by supervisors. Exempt employees may work through lunch (at their desk or in group work sessions) and log this time as work time. Otherwise, non-working lunches are unpaid and this time should not be reported.

Breaks

Non-exempt employees who work 8 hours per day are allowed two 15-minute breaks at a time convenient to business needs. Break time should not be taken at the beginning or end of your work day to adjust starting and stopping times. Break times should not be recorded as work time on time reports.

Exempt employees are not provided with specific break times, but are encouraged to refresh their minds and bodies briefly in order to remain productive in their work.

In accordance with Minnesota law, AAN will provide reasonable unpaid break time each day for employees who need to express breast milk for their infants. A private room is provided on the first floor for this purpose. These breaks should run concurrently with the already-established break periods. If more time is needed, additional unpaid time may be given with their supervisor and area director approval.

MEDIA RELATIONS

The AAN receives thousands of inquiries each year from the local, national and international news media.

In order to provide a consistent message to the media and maintain a positive image of the AAN, it is important for all employees to forward all calls and emails from reporters/editors/bloggers/journalists and public relations representatives to Media and Public Relations. No statement involving AAN, its policies, members, or employees is to be given out by any person other than an authorized representative.

All inquiries from newspapers, television stations, radio stations, business magazines, bloggers and other media concerning AAN operations and members should be referred directly, without comment, to Media/Public Relations. Media/Public Relations will follow-up and coordinate all data dissemination and interviews (if any) with the objective of representing the position of AAN and its members accurately and positively.

PERFORMANCE AND COMPENSATION

The goal of AAN's feedback system is to provide constructive feedback regarding individual performance. Supervisors and employees shall discuss job performance and goals on an informal, day-to-day basis. Any potential increase will be based upon the overall performance and budget guidelines. Supervisors will confer with Human Resources on any proposed salary adjustments outside the budgeted guidelines.

AAN views compensation as a means to attract, motivate, and retain qualified employees and recognize their performance. This compensation consists not only of the employees' salaries, but also of the various benefits in which he or she may participate, such as group health, dental, life and disability insurance, and the AAN retirement plan. Each position is studied and assigned a salary range, and those ranges are periodically reviewed to ensure their competitiveness.

PERSONAL ITEMS IN THE WORKPLACE

The AAN is not responsible for the theft or damage of an employee's personal items that are brought into the office.

PROFESSIONAL APPEARANCE

The AAN regards the professional appearance of its staff in the work environment to be an important component and reflection of the quality of AAN's programs, members, values, and objectives. The impression made by staff at all times, whether in the office or at AAN meetings, creates an image of AAN and what our organization represents, as well as affecting the working environment.

Professional appearance guidelines apply to all AAN employees. At all times, personal hygiene and clothing must be clean, neat and in good taste, and reflect favorably on AAN, its staff and members. In general, the AAN is business casual which means dressing professionally; looking relaxed yet neat and coordinated. As a general guideline the following are not considered appropriate business casual office attire: jeans, t-shirts, sweatshirts, beachwear, workout attire, shorts, clothing with slogans, political buttons, tank tops, clothes that are unkempt or inappropriately revealing, flip-flops, and other attire an individual would normally wear for casual events or activities. Meetings with members and external contacts will normally require business dress for those staff involved in those meetings or contacts. Staff should consider any responsibilities at work such as meetings or presentations, and dress accordingly. On Wednesdays, the AAN will permit slightly more casual dress when well-kempt jeans are permissible.

PROFESSIONAL WORK ENVIRONMENT

With our open work environment and more frequent member visits, it is important that AAN employees maintain the professional look and feel of the building. A professional appearance of the AAN working environment builds organizational morale and increases the proficiency of staff, and instills confidence in visitors to the office as to the success and ability of the AAN.

AAN employees may personalize the interior of their work space, including the display of personal photographs and mementos. However, employees may not add signs, posters, fixtures or other items to the outside or spine (top) of the work space or any glass surface. Additional furniture and equipment is not permitted unless approved by the Facilities Manager.

Storage tools and areas are provided for use by employees; as such it is expected that all employees will maintain a neat and organized desktop. Only current work should be stored on the desktop, and sensitive or confidential materials should be removed daily from desktops and stored appropriately. Public areas such as the café, conference rooms, and group meeting areas should be cleaned after use to accommodate the next user.

Employees must be cognizant and respectful of coworkers with regard to noise level. As such, the use of casual areas and conference rooms is encouraged to avoid distracting coworkers. Headphones should be used for music listening and headsets are provided for telephone calls.

In accordance with the Academy's policy to provide a safe and healthy work environment for all employees and visitors, pets and other animals are prohibited from the Academy premises with the exception of authorized service animals.

SOCIAL MEDIA

Social media includes blogs, online journals, chat rooms, video channels, and a wide variety of other online and digital forums. These media can be effective tools for sharing ideas and exchanging information, and the Academy understands that employees may use these media on their own time or, if designated by the Academy's director of communications, on behalf of the Academy. All social-media communications should be consistent with the Academy's efforts to maintain its brand identity, integrity, reputation, and avoid legal risk, and they should reflect the Academy core values of leadership, integrity, professionalism, commitment, respect, and compassion.

Personal Use

When using social media outside the scope of employment, employees may not:

- Disclose AAN member lists, member account information, other employees' personally identifiable information (such as, but not limited to, names or home addresses), strategic business plans, competitor intelligence, financial information, business contracts, and other proprietary and non-public Academy information.
- Use social media to harass, threaten, libel or slander, malign, defame or disparage, or discriminate against Academy staff, members, vendors or suppliers, any organizations associated or doing business with Academy, or any person or entity related to the Academy.
- Use AAN's name, logos, or trademarks, or the name, logo, or trademarks of any member, contracting party, collaborator, supplier, vendor, affiliate, or subsidiary in any social media, except that it is permitted to use the AAN name in a social-media profile or as required below to use the AAN name when submitting a comment in an social-media forum on an AAN-related matter.
- Include any Academy-owned documents in social media.
- Advertise or sell Academy products, programs, or services (except that employees may share or retweet such promotions directly from the various Academy-branded social-media profiles).

In addition, the Academy strongly discourages employees from discussing any Academy-related matters, even if not prohibited from disclosure above, in social media unless authorized by Academy. In the event an employee does discuss an Academy-related matter in a social-media platform, the employee must disclose that he/she is an Academy-employee, that the views expressed are the employee's own, and that the employee is not speaking on behalf of the AAN. Please be aware that the Academy regularly and routinely performs searches of its name and trademarks and may discover an employee's social-media communications that include references to the Academy.

Work-related Use

Any use of social media on behalf of AAN must be coordinated with the AAN Communications Department. General AAN social media channels are managed by the social-media administrator. The Academy's publication social media pages are managed by the managing editors of the publications, and are governed by the social-media administrator. Staff are encouraged to use their professional judgment before posting pictures while traveling for AAN business.

Any questions about this policy should be directed to the General Counsel's Office or the Director of Communications.

SOLICITATION AND DISTRIBUTION

The purpose of this policy is to ensure a work environment that is relatively free from disruptions relating to solicitation efforts that do not relate to AAN's business or interests. Employees are encouraged to use AAN Classifieds on SharePoint or other authorized bulletin boards to solicit participation in social events and individual fund raising. AAN email should not be used for distributions or solicitations. Political and religious distributions are not allowed on AAN premises.

TECHNOLOGY RELATED POLICIES

Internet Use

The Internet Use Policy applies to all employees of the AAN. Use of the Internet is permitted and encouraged where such use supports the goals and objectives of the business. Access to the Internet is a privilege and all employees must adhere to the policies concerning usage. Violation of this policy could result in disciplinary action. Employees may also be held personally liable for damages caused by any violations of this policy.

This policy relates to all internet based communication systems, including, but not limited to, the World Wide Web, the AAN Intranet, the AAN Website Family, Outlook, Skype, SharePoint, Personal Computers, Smartphones, and Mobile Devices.

AAN employees also acknowledge and agree to be bound by these policies when accessing AAN computer systems when working remotely, during business or non-business hours, regardless of the ownership of the device being used to access AAN systems.

Employees do not have a personal privacy right for any data created, received, or transmitted through AAN's electronic communication systems.

1. Acceptable Internet Use

- Employees are expected to use the Internet responsibly and productively. Internet access is limited primarily to job-related activities only.
- Job-related activities include research and educational tasks that may be found via the Internet that would help in an employee's role at the AAN.
- Brief and occasional personal use of the Internet is acceptable as long as it is not excessive or inappropriate, occurs during personal time (lunch or other breaks), and does not result in expense or harm to the AAN or otherwise violate this policy.
- All electronic data that is composed, transmitted and/or received by the AAN's computer systems is considered to belong to the AAN and is recognized as part of its official data. This includes any personal data contained on AAN devices. It is therefore subject to disclosure for legal reasons or to other appropriate third parties.
- The equipment, services and technology used to access the Internet are the property of the AAN and the company reserves the right to monitor Internet traffic and monitor and access data that is composed, sent or received through its online connections.

2. Unacceptable Internet Use

- Sending or posting discriminatory, harassing, derogatory, or threatening messages or images via AAN systems.
- Using AAN systems to perpetrate any form of fraud, and/or software, film or music piracy.

- Downloading, copying or pirating software and electronic files that are copyrighted or without authorization, including, but not limited to, non-business “freeware” or “shareware”.
- Viewing, transmitting, or downloading obscene material.
- Sharing confidential material, trade secrets, or proprietary information outside of the organization.
- Hacking into unauthorized websites.
- Sending or posting information that is considered to be defamatory to the AAN, its products/services, colleagues and/or customers.
- Introducing malicious software onto the company network and/or jeopardizing the security of the organization's electronic communications systems.
- Sending or posting chain letters, solicitations, or advertisements not related to business purposes or activities.
- Passing off personal views as representing those of the organization.
- The internet may not be used to solicit others for commercial ventures, profit-making activities, religious or political causes, outside organizations, or other non-business matters.
- ISS Staff monitors internet traffic and may block sites deemed inappropriate, harmful, or not productive to business.

Personal Use of AAN Equipment

AAN equipment, including laptops, desktop computers, smartphones, and tablets are provided to employees for the purpose of doing business on behalf of the AAN. Use of AAN equipment for personal reasons is strongly discouraged. Under no circumstances should family members, friends, or acquaintances be allowed to use AAN equipment.

Password Policy and Security

Passwords are a critical aspect of computer security. All AAN employees, contractors, and vendors with access to AAN systems are responsible for taking the steps outlined below to select and secure their passwords.

- Passwords must be changed every 90 days.
- Passwords must not be shared with anyone, for any reason. Sending AAN Staff or Member passwords via email or any other means, or authorizing a third party to do so on behalf of the AAN is prohibited.
- Passwords must meet the following complexity requirements:
 - Minimum 8 characters in length
 - Must contain 3 levels of complexity (Uppercase, Lowercase, Special Characters, Numbers)
 - Cannot contain a recognizable part of the username

Smartphone and Internet Data Card Policy

1. Business Justification

Executive Staff, in conjunction with the Information Systems and Services Department, is responsible for determining the business need for any communication equipment or service. Employee convenience is not a valid business justification for Smartphone or Internet Data Card reimbursement. Examples of business need for mobile equipment and service include:

- A requirement to travel more than 6 times per year to do business, across a geographic area away from the AAN home office.
- The employee supports or is responsible for programs, services or systems that necessitate frequent and immediate communications throughout the day or after hours.

- The employee will need to communicate with others, or others will need to communicate with the employee during nonstandard hours as a requirement of the position.
-

2. Procurement Options for Smartphones

AAN Staff who require a Smartphone for business purposes will be added to the AAN Verizon Corporate Account. The following rules and guidelines apply to AAN Owned Smartphones.

a. AAN Owned Smartphone

- Device is purchased on the AAN corporate plan.
- The device is configured and maintained by the Technology department.
- The Verizon plan pools minutes for all AAN-owned devices.
- Data usage is included.
- Models are reviewed by the Technology department on a regular basis. ISS Staff selects which models are eligible for use.
- Phones are eligible for an upgrade every two years.

b. Personal Cell Phones

Any AAN Employee who is receiving a personal reimbursement as of December 31, 2014 will have 2 years to opt in to the AAN Verizon plan. The employees can either move their personal cell phone number to the Verizon plan (at which point the AAN becomes the owner of the number) or they can request a new device from Verizon. All personal cell phone reimbursement will be eliminated as of December 31, 2016.

3. Temporary Business Use of Personal Devices

Some AAN employees who do not meet the criteria for ongoing reimbursement may still be asked to use their personal devices during the AAN Annual Meeting, Regional Conferences, or other specific events. In these cases, AAN will provide a reimbursement allowance of \$25 per month for employees who must use a personal device for work purposes, subject to the following conditions:

- The employee's Executive Staff Member has preauthorized the employee to submit a request for reimbursement of the portion of their personal cellular bill representing data used for AAN business. Authorizations must be made in advance of incurring charges and will be granted on a case by case basis.
- Within thirty days of such use, the employee submits a supervisor-approved expense report to AAN Accounts Payable with a copy of the cellular provider's monthly usage report.

4. Corporate Discounts on Accessories and Personal Plans

AAN provided telephones come with one A/C phone charger. All AAN employees may take advantage of AAN's discounted contracted rates to purchase additional phone accessories such as memory cards, car chargers, phone cases, and wireless headsets or purchase phones and establish personal plans. Such personal plans will be in the employee's name, all charges will be the responsibility of the employee, and all invoices will be sent directly to the employee's personal address. For more information, contact the Helpdesk at helpdesk@aan.com.

5. Data Cards

All Executive Staff members have been assigned an internet data card. Staff needing to use a card should first check with their Executive Staff to determine if that one is available. If it is not, the AAN Helpdesk has data cards available to check out. A request for one can be made by emailing helpdesk@aan.com. Please specify the date and time for pickup and return. Data cards should be picked up from and returned to the Helpdesk.

6. Driving Safety and Discretion

AAN prohibits text messaging while driving AAN-rented vehicles or privately-owned vehicles when performing any work for or on behalf of the AAN or while driving when using AAN-owned Smartphones and other devices including reimbursed personal cell phones. “Text messaging” means reading from or entering data into any handheld or other electronic device, including for the purpose of short message service texting, e-mailing, instant messaging, obtaining navigational information, or engaging in any other form of electronic data retrieval or electronic data communication. Employees are required to comply with all laws relating to using a Smartphone, cell phone, tablet, or other mobile device while driving.

Employees are advised that conversations on cellular telephones are not secure. Discretion is advised when discussing business matters on cellular devices in an open environment where you can be overheard. Private information such as credit card numbers should not be given over cellular devices.

Tablet Policy

1. Business Justification

A tablet PC (iPad or similar) may be requested by employees whose duties will be significantly enhanced by the use of the device. Employees should work with their Executive Staff member to determine the need for such a device and ensure that it is budgeted by the ISS department for purchase. Other valid business justifications include, but are not limited to:

- A need to review documents electronically, rather than by printing.
- A need to review applications and content of the AAN Website family for acceptance or other testing purposes.
- A need to perform meeting functions.
- A need to provide support for these devices.

2. Device Configuration

AAN employees who are assigned a tablet will be required to configure their device using their AAN credentials. Additionally, employees may choose to use their existing personal accounts for digital entertainment hubs like Google Play or iTunes for downloading content. Employees who do not wish to use their personal accounts should create a new account for these hubs using their AAN accounts.

Hub accounts are not managed by the ISS Department. Support for forgotten passwords or other account settings must be made through the service where the account was created. Any valid business purchases for these services should be expensed or purchased with an AAN purchasing card after first obtaining ISS Department approval.

Devices are the property of the ISS Department. They should not be registered under the employee’s name. At the time of separation from the AAN the employee must return the device to the ISS Department. Devices should be wiped or the security code should be removed.

3. Procurement Options

AAN Staff who are approved for a tablet should work with the ISS Department to coordinate the purchase of the device. The ISS Department will purchase all devices. All purchases of new or replacement devices should be planned and executed through the annual AAN budget process. Any devices that are not in budget will need to be rescheduled to the following budget year if funds are not readily available.

4. Personal Mobile Devices

AAN Staff are allowed to use personal mobile devices for connecting to Outlook, SharePoint or any other AAN resources. Any electronic data that falls under the ownership of the AAN should not be stored on the device. Any devices will need to follow the Email Synchronization Security Requirements defined below. If the employee leaves employment of the AAN for any reason, the ISS Department reserves the right to remotely remove AAN data from the device, up to and including performing a remote device reset.

5. Replacement Policy

Tablets will be replaced on an as needed basis. When the device is replaced, employees may be asked to rejustify the expense.

Email Synchronization Security Requirements

Any staff person using a mobile device connecting to the AAN network to synchronize email will be required to agree to several security changes to their device. The security requirements, outlined below, are implemented for all mobile devices connecting to AAN systems, regardless of the ownership of the device.

- Devices must have a screen lock in the form of a password or PIN.
- A screen lock timeout must be set for 5 minutes or less.
- All devices must have the capability to remotely wipe the data off the device if lost or stolen.
- Functionality must be set up to wipe the device after ten invalid login attempts.
- Devices can only synchronize email via ActiveSync, no IMAP or POP3 connectivity will be allowed.
- If staff change devices or are no longer connecting the AAN network, the Technology department must be notified.
- Staff members leaving AAN employment must remove the AAN email accounts from their devices upon termination of employment.

Damage, Loss, or Theft

1. AAN Owned Devices

AAN owned equipment that is damaged in the course of business must be brought to the ISS department, who will contact the vendor for replacement or repair. Lost or stolen equipment must be immediately reported to the employee's supervisor and to the ISS department so that the service can be cancelled and data can be remotely removed.

AAN equipment normally used away from the office, such as USB data cards, LCD projectors, laptops, and two-way radios are very valuable and highly portable. Consequently, special care should be given when using this equipment out of the office. AAN, in its discretion, may assume all costs related to the first occurrence of lost equipment. For any subsequent equipment loss, the employee may be responsible for any amount or deductible amount not covered by the insurance. If the equipment is not covered by insurance, the employee may be responsible for the replacement cost of the lost equipment.

2. Personal Devices

Employees who use their own equipment should contact their vendor for assistance if their device is damaged. Lost or stolen equipment should be immediately reported to the vendor so that the service can be cancelled. The ISS department must be contacted so that data on the device can be remotely removed. The AAN is not responsible for personally owned equipment that is damaged, lost, or stolen.

Role of the ISS Department

1. AAN Owned Devices

The AAN owns all equipment provided to AAN Staff. The responsibilities of the ISS department for these devices are:

- The ISS Department will procure the equipment and manage the contract process on behalf of the AAN.
- The ongoing relationship with cellular providers shall be managed through AAN's ISS Department. ISS staff will place all orders for equipment and plans. However, employees may call the local representatives of the contracted vendor to discuss the various accessory options available on AAN's sponsored programs.
- ISS staff will contact employees when equipment arrives and provide necessary orientation and training.
- ISS staff will monitor plans and overall usage and suggest changes in service agreements to provide the most convenient and economical plan to the employee.
- ISS Department will monitor changes in technology and make recommendations for improvements in AAN's contracts and equipment on an as needed basis.
- ISS staff will update equipment with software upgrades, programs, and files as needed.

2. Personal Equipment

The AAN is committed to providing staff with the technological resources required for performing their assigned tasks. AAN Staff should always use their AAN assigned equipment for work. AAN Employees who choose to attempt to work remotely with personal devices or computers will be provided with minimal support as ISS Staff schedule allows.

- The ISS Department may provide opinions of devices and service plans to the best of their ability as their schedule allows and is not liable for any end result of such opinion.
- ISS Staff will not assist with purchasing of devices, service or the ongoing relationship with cellular providers.
- Technology staff will not provide training on personally owned devices.
- At no time will ISS Staff repair, upgrade, backup, modify, or make any other modifications or fixes to personally owned equipment.

Software Licensing Agreements

AAN purchases and licenses the use of various computer software for business purposes and does not own the copyright to this software or its related documentation. Unless otherwise stated in the license agreement, a software package is licensed for use on a single computer by a single user. Unauthorized copying of copyrighted software constitutes copyright infringement. It is the policy of the AAN to comply with these software license agreements and not make unauthorized copies of any software purchased or for which it does not have a license. With regard to multiple-use or site licenses, the policy is to maintain license agreements for the number of computers on which the software is installed. Except in those cases where use of a copy is authorized for evaluation purposes, the use of unlicensed copies of software on AAN computer systems is not permitted.

1. Compliance Procedures

The purchase and installation of any software on AAN equipment by staff is subject to review by ISS staff. Likewise, all software installation is to be performed by ISS staff to ensure compliance with licensing and appropriate operation. Original copies of all software and all software licenses are to be archived by ISS staff. In the case of individual copies of software packages, a list of the description of the software, its serial number, and which users are licensed for it on will be

maintained by the ISS staff. With regard to multiple-use licenses, a copy of the license and a list of each computer where the software is installed will be kept by ISS staff.

Compliance by the AAN with software licensing agreements extends to software not directly purchased by AAN. In order to protect the AAN from the unauthorized use of personally owned software, the use and/or installation of personal software on computers leased or owned by AAN is prohibited.

2. Appropriate Use of Software by Staff

The AAN provides software for use by staff on computers owned by the AAN. Software purchased by the AAN is not intended for use on computers personally owned by staff, even if the staff member may use that computer to prepare material for the AAN. The copying of software by staff to a personally owned computer constitutes unauthorized use of AAN property and is subject to legal and disciplinary action.

File Storage and Cloud Computing Services

The ISS Department has the paramount responsibility to preserve the intellectual property of the AAN. This includes all data and electronic communications using AAN systems. All AAN Staff must seek permission before storing any data outside of the AAN network; even if there is a copy of data stored on the AAN network.

Files should only be stored on the AAN SharePoint site or network drives to ensure that they are being backed up nightly. Files should not be stored in the following locations:

- On your computer's local hard drive (C or D drives), unless they are files for a meeting or presentation, in which case they should be saved back to the network and removed from the laptop after the meeting.
- On your desktop, which is part of your C drive.
- On home computers or equipment not owned by the AAN.
- In unapproved third party cloud computing environments.
- On USB drives.

Files should only be stored in the following locations:

- On the AAN SharePoint site.
- On AAN network drives.
- On the AAN intranet.
- On approved third party cloud computing environments like Dropbox for temporary file transfers.
- On the AAN FTP site for temporary file transfers.

Files stored temporarily on USB drives, the AAN FTP site, or cloud sites for file transfers should be copies of original files and removed as soon as the file transfer is complete.

Technical Vendor Selection and Intellectual Property Exchange

The purpose of this policy is to define and clarify roles and responsibilities as they relate to the evaluation and selection/maintenance of all AAN intellectual property exchanged with outside vendors and clarify technology related relationships with outside vendors. Application of this policy will ensure uniform and appropriate treatment and handling of the AAN intellectual property and create the best possible user experience for our members and staff.

1. Selection Process – New Vendors

- When a project is submitted through the project submission process that includes a technology component, the project owner will include ISS staff in the conceptual discussions.
- Prior to any discussions with vendors, ISS staff will work with the project owner to determine the rough system specifications.
- ISS staff will refine the specification into a requirements document for reference throughout the life of the project.
- Using the defined and agreed upon project requirements, ISS staff will evaluate AAN staff resources as they relate to the project and determine if outside resources will be required. Outside vendors may be used when:
 - Vendor offers a service of skill that is not available in-house; or
 - Vendor offers a substantial cost savings; or
 - Project is time-sensitive and AAN ISS staff cannot meet the desired completion date with existing resources.
- Prior to contract negotiation, the project owner and/or ISS staff will notify the AAN General Counsel that a contract will be negotiated. The General Counsel may be involved in the interview process if desired.
- When ISS staff determines that use of an outside vendor is appropriate, they will consult with the project owner prior to securing the vendor to ensure that the project owner's expectations are met. If the project owner so desires, he/she may be included in the RFP and vendor interview process.
- If the interview team cannot come to consensus on the selection of a vendor, the pros and cons will be presented to the Executive Director for a decision.

2. Review Process – Existing Vendors

- Prior to negotiation for renewal or addendum of existing AAN contracts for technology services, project owners will schedule a meeting with the Technology staff to review the existing agreements and services. Others may be included in the review process as necessary. The purpose of the review is to:
 - Evaluate the quality of the current service
 - Evaluate the cost of the service
 - Discuss potential improvements to the service
- Prior to negotiation, the project owner and/or Technology staff will notify the AAN General Counsel that the contract is up for renewal or addendum. The General Counsel may attend the review meeting if desired.
- The review team will consider past relationships, continuity of service and member satisfaction in their decision to recommend renewal or non-renewal of the contract. If the review team cannot come to agreement, the pros and cons will be presented to the Executive Director for a decision.

3. Technology Requirements – New and Existing Vendors

All technology vendors must agree to comply with the AAN minimum technology requirements. ISS staff will work with the vendor to ensure they can meet the requirements. In addition, authentication and integration specifications must be followed if data exchange or website login is required. Data exchange is defined by the passing of information between internal and external sources and includes everything from information contained in an automatically generated email to data contained in a database.

a. Vendor System Requirements

The technology vendor minimum system requirements include all of the following:

- Secure Socket Layer (SSL) must be present on the vendor's website when sensitive information is being exchanged between the server and client's browser.
- Website credentials for AAN members must use existing AAN usernames and passwords. A mechanism for establishing single sign on or single password must be present or able to be configured.
- Proper backup procedures must be documented and followed. Specifics related to this procedure will be determined by evaluating projects on a case-by-case basis.
- Vendor must be able to deliver all AAN-owned application assets upon request within 24 hours or other mutually agreed upon timeframe.
- Vendors must sign proper disclosure and confidentiality agreements as defined by AAN General Counsel.
- Vendors must provide a single IP address or range when exchanging information with the AAN.
- Vendors must have a documented disaster recovery plan that is mutually acceptable by both parties and includes an offsite storage method.
- Vendor must be able to follow the guidelines set by the AAN, which will be provided by AAN Technology staff.
- ISS Staff must be notified upon termination of services by external vendors.
- Any vendors chosen for financial services or where any financial data is being exchanged must be PCI compliant.

b. Requirements for Data Feed Field Definitions and Data Feed Testing

With a signed contract all data feeds, regardless of the direction being from the vendor to the AAN or vice versa, need to have defined fields and be tested in advance with the goal of each feed being for the receiver to be able to accept the file and import the file without manipulation:

- The purpose of each feed must be clearly defined.
- The field names and data types must be identified in advance and signed off by both parties.
- A test run with mock data must be successfully exported, transferred, and imported prior to a live run.
- A timeline for the data transfer must be provided with at least a two-week notice.

PCI Compliance

The AAN is certified as a PCI Compliant organization. The PCI-DSS Standard defines proper handling of Protected Cardholder Information. The information below is not a full list of requirements, but is included as a guideline for employees who may come into contact with credit card data.

- Credit card information must never be sent, received or stored electronically.
- If you receive an email or fax with credit card information:
 - Contact the sender and ask them not to do so in the future.
 - Permanently delete the email or fax from your inbox by pressing Shift+Delete
 - Notify Finance staff that you have received this information and that it has been deleted.

The AAN does not store full credit card numbers in any system. More information on PCI Compliance can be found in the PCI Compliance Policy Document on SharePoint.

TOBACCO FREE

AAN encourages a safe, healthful work environment and supports a tobacco free environment. There may be no smoking or use of tobacco products and the use of unregulated nicotine products (e.g., "e-cigarettes") in any office building, grounds, or vehicle of AAN by any employee, consultant, vendor, guest, or any other person. This includes personal vehicles on AAN grounds.

To encourage this safe and healthful work environment, the AAN will reimburse an employee for participating in any pre-approved smoking rehabilitation program not covered by medical insurance up to \$250 annually.

WEAPONS PROHIBITED

The Academy prohibits weapons on its property or an employee possessing a weapon while performing a job function. Prohibited weapons include, but are not limited to, firearms of any sort; air guns; stun guns, like TASERS®, or other stun devices; knives with blades longer than three inches; explosive material; brass knuckles or other fighting instruments; martial arts weapons such as nun chucks or throwing stars; and all other dangerous weaponry. This ban includes concealed weapons even if the employee or other person on Academy property has a license to carry a concealed weapon. Employees who are found to have violated this policy will be subject to discipline up to and including termination or removal from Academy property.

If you know of a violation of this policy or reasonably suspect a violation of this policy and you have reasonable suspicion that potential imminent violence could occur, you should notify law enforcement immediately and, if possible, inform your supervisor or HR at once. If you have known of or heard of a violation of this policy, but you do not reasonably believe that violence could occur or is imminent, you must contact your supervisor and HR.

WHISTLEBLOWER POLICY

This Whistleblower Policy of the American Academy of Neurology and the American Academy of Neurology Institute ("Academy"): (1) encourages staff and volunteers to come forward with credible information on illegal practices or serious violations of adopted policies of the Academy; (2) specifies that the Academy will protect the person from retaliation; and (3) identifies where such information can be reported.

1. Encouragement of reporting. The Academy encourage complaints, reports or inquiries about illegal practices or serious violations of Academy policies, including illegal or improper conduct by the Academy, by their leadership, or by others on behalf of the Academy. Appropriate subjects to raise under this policy would include financial improprieties, accounting or audit matters, ethical violations, or other similar illegal or improper practices or policies. Other subjects on which the Academy has existing complaint mechanisms should be addressed under those mechanisms, such as raising matters of alleged discrimination or harassment via the Academy's human resources channels, unless those channels are themselves implicated in the wrongdoing. This policy is not intended to provide a means of appeal from outcomes in those other mechanisms.

2. Protection from retaliation. The Academy prohibits retaliation by or on behalf of the Organization against staff or volunteers for making good faith complaints, reports or inquiries under this policy or for participating in a review or investigation under this policy. This protection extends to those whose allegations are made in good faith but prove to be mistaken. The Academy reserves the right to

discipline persons who make bad faith, knowingly false, or vexatious complaints, reports or inquiries or who otherwise abuse this policy.

3. Where to report. Complaints, reports or inquiries may be made under this policy on a confidential or anonymous basis. They should describe in detail the specific facts demonstrating the bases for the complaints, reports or inquiries. They should be directed to the Academy's President or Executive Director; if both of those persons are implicated in the complaint, report or inquiry, it should be directed to the General Counsel. The Academy will conduct a prompt, discreet, and objective review or investigation. Staff or volunteers must recognize that the Academy may be unable to fully evaluate a vague or general complaint, report or inquiry that is made anonymously.

WORKPLACE SAFETY AND SECURITY

AAN strives to create a work environment of respect and safety, free from intimidation, threats and acts of violence. Therefore, AAN adheres to a zero tolerance policy in regard to violence in the workplace. AAN has taken measures to ensure the building and the surrounding properties are as safe as possible. The main entry door in the reception area is open from 8:00am to 4:30pm Monday through Friday. All other access doors remain locked at all times. Security cards are given to employees in order for them to access the building through locked doors, after hours and on weekends and holidays.

Workplace violence includes threats using words or actions that create a perception that there is or may be intent to harm a person, group or property, actual infliction of physical violence, and the possession and/or usage of firearms or other weapons while at work or on work premises. Recognizing and reporting events that could trigger violent behavior is everyone's responsibility. Employees who become aware of a threat or act of violence by anyone against himself or herself, a co-worker, or property must report it immediately to their supervisor and/or Human Resources.

Threats or acts of violence against employees and/or property will not be tolerated. Violations of this policy may lead to disciplinary action up to and including termination of employment and involvement of law enforcement authorities.

WORK SCHEDULE

Hours of Work

Work hours are assigned to each employee in accordance with business necessity. The standard workweek of AAN is 40 hours for all regular full-time employees (8 hours per day) and standard hours of operation are 8:00 a.m. to 4:30 p.m., Monday through Friday. The workweek for purposes of overtime calculation begins on Sunday and ends on Saturday.

Flextime

Regular full-time employees may request flex time and/or a compressed workweek, subject to the approval of their supervisor and Executive Staff Member. The area Executive Staff Member has the responsibility to ensure adequate departmental coverage during the regular business hours and may approve or disapprove the request, with or without explanation. Executive Staff are also responsible for the maintenance of accurate records of hours worked for all employees in their department.

Employees must work core hours of 9:00 a.m. to 3:00 p.m. unless approved by the Executive staff member. These hours must conform to a defined overall work schedule, with daily starting and ending times consistent from day to day, with 40 hours per week.

Exempt employees electing a compressed workweek schedule may only elect to have Monday or Friday as their non-work day of work and both exempt and nonexempt may choose to work a half day on Friday. The supervisor will define the work schedule for their department based on business requirements. It is important to note, that exempt employees may be asked to attend important events on off days in the same manner as weekend meeting attendance is required. Certain staff holding positions or situations with requirements that do not allow this flexibility may not be eligible for participation in the compressed work week benefit. Regardless of the total number of hours worked in a payroll period, non-exempt employees must be paid time and a half for hours worked over forty in any workweek. Non-exempt staff must apply the appropriate number of PTO hours to account for the amount of time they are out. Exempt employees will not need to use PTO for absences of zero to two hours; however, they should use one-half day from their PTO bank for absences of two to five hours and an entire day from their PTO bank for absences of five hours to a full day. In addition, employees should record the hours that they are in the office on Outlook calendars to minimize confusion and let other staff know their availability.

LEAVE POLICIES

ADMINISTRATIVE TIME

Exempt employees are expected to work whatever hours necessary to accomplish their essential job functions and are not entitled to payment for overtime. However, administrative time may, at the discretion of the Executive Staff Member, be granted to exempt employees who exceed a 40-hour workweek. This administrative time is not determined on an hour-for-hour or day-for-day basis and should not be assumed to immediately follow a workweek during which more than 40 hours have been worked. When working either a Saturday or Sunday at the specific request of AAN (staff travel, committee meetings, Annual Meeting), employees are eligible for one administrative time day. Travel days are considered work time. All administrative time must be scheduled in advance with an employee's supervisor and used within 90 days of accrual. When claiming administrative time on the ADP timesheet for weekend work or travel, the employee must identify the date and purpose of the weekend meeting or travel they worked and the number of days claimed for the meeting or travel. Any other administrative time granted by the Executive Staff Member must also be documented in a similar manner when claimed on the employee's ADP timesheet.

BEREAVEMENT LEAVE

Employees may take up to a maximum of three days paid bereavement leave in the event of the death of a member of the immediate family. For purposes of this provision, the immediate family is defined as parents of employee, sister, brother, spouse, domestic partner, child, child's spouse, grandparent of employee, grandchild, parents of spouse, sister or brother of spouse, or individual residing permanently in the employee's household. AAN also recognizes that close relationships may exist with other family members or friends and may grant other requests for bereavement leave. This time may be granted with or without pay. This leave will not be charged to paid time off (PTO).

Employees are responsible for notifying their supervisor upon the death of an immediate family member. The supervisor, in turn should immediately notify Human Resources. If more than three consecutive work days off are necessary, employees may request to use their PTO time or request a leave of absence without pay.

To the extent necessary under the circumstances, Human Resources will make any and all announcements regarding employee's bereavement leave to staff.

JURY DUTY

AAN considers service on a jury to be an important civic responsibility. Employees will be paid full salary while on jury duty.

Employees who are called for jury duty should immediately provide a copy of the summons to their supervisor and Human Resources so that proper arrangements may be made for the coverage of his or her job responsibilities. If the jury duty falls at a time when the employee cannot be away from work, AAN may request, in accordance with the court's procedures, that the court allow the employee to choose a more convenient time to serve.

Employees are expected to report for work when temporarily released from jury duty or when jury sessions are postponed.

FAMILY MEDICAL LEAVE ACT (FMLA)

General Provisions

Under this policy, this organization will grant up to 12 weeks (or up to 26 weeks of military caregiver leave to care for a covered service member with a serious injury or illness) during a rolling 12-month period to eligible employees. The leave may be paid, unpaid or a combination of paid and unpaid leave, depending on the circumstances of the leave and as specified in this policy.

Eligibility

To qualify to take family or medical leave under this policy, the employee must meet all of the following conditions:

- 1) The employee must have worked for the organization for 12 months or 52 weeks. The 12 months or 52 weeks need not have been consecutive. Separate periods of employment will be counted, provided that the break in service does not exceed seven years. Separate periods of employment will be counted if the break in service exceeds seven years due to National Guard or Reserve military service obligations.
- 2) The employee must have worked at least 1,250 hours during the 12-month period immediately before the date when the leave is requested to commence. The principles established under the Fair Labor Standards Act (FLSA) determine the number of hours worked by an employee. The FLSA does not include time spent on paid or unpaid leave as hours worked. Consequently, these hours of leave should not be counted in determining the 1,250 hours eligibility test for an employee under FMLA.
- 3) The employee must work in a worksite where 50 or more employees are employed by the Organization within 75 miles of that office or worksite.

Type of Leave Covered

To qualify as FMLA leave under this policy, the employee must be taking leave for one of the reasons listed below:

- 1) *The birth of a child and in order to care for that child.*
- 2) *The placement of a child for adoption or foster care and to care for the newly placed child.*
- 3) *To care for a spouse, child or parent with a serious health condition (described below).*
- 4) *The serious health condition (described below) of the employee.*

An employee may take leave because of a serious health condition that makes the employee unable to perform the functions of the employee's position. A serious health condition is defined as a condition that requires inpatient care at a hospital, hospice or residential medical care facility, including any period of incapacity or any subsequent treatment in connection with such inpatient care or a condition that requires continuing care by a licensed health care provider.

- 5) *Qualifying exigency leave for families of members of the National Guard and Reserves when the covered military member is on active duty or called to active duty in support of a contingency operation.*

An employee whose spouse, son, daughter or parent either has been notified of an impending call or order to active military duty or who is already on active duty may take up to 12 weeks of leave for reasons related to or affected by the family member's call-up or service. The qualifying exigency must be one of the following: 1) short-notice deployment, 2) military events and activities, 3) child care and

school activities, 4) financial and legal arrangements, 5) counseling, 6) rest and recuperation, 7) post-deployment activities and 8) additional activities that arise out of active duty, provided that the employer and employee agree, including agreement on timing and duration of the leave.

The leave may commence as soon as the individual receives the call-up notice. (Son or daughter for this type of FMLA leave is defined the same as for child for other types of FMLA leave except that the person does not have to be a minor.) This type of leave would be counted toward the employee's 12-week maximum of FMLA leave in a 12-month period.

6) Military caregiver leave (also known as covered service member leave) to care for an ill or injured service member.

This leave may extend to up to 26 weeks in a single 12-month period for an employee to care for a spouse, son, daughter, parent or next of kin covered service member with a serious illness or injury incurred in the line of duty on active duty. Next of kin is defined as the closest blood relative of the injured or recovering service member.

Amount of Leave

An eligible employee can take up to 12 weeks for the FMLA circumstances (1) through (5) above under this policy during any 12-month period. The organization will measure the 12-month period as a rolling 12-month period measured backward from the date an employee uses any leave under this policy. Each time an employee takes leave, the organization will compute the amount of leave the employee has taken under this policy in the last 12 months and subtract it from the 12 weeks of available leave, and the balance remaining is the amount the employee is entitled to take at that time.

An eligible employee can take up to 26 weeks for the FMLA circumstance (6) above (military caregiver leave) during a single 12-month period. For this military caregiver leave, the organization will measure the 12-month period as a rolling 12-month period measured forward. FMLA leave already taken for other FMLA circumstances will be deducted from the total of 26 weeks available.

If a husband and wife both work for the organization and each wishes to take leave for the birth of a child, adoption or placement of a child in foster care, or to care for a parent (but not a parent "in-law") with a serious health condition, the husband and wife may only take a combined total of 12 weeks of leave. If a husband and wife both work for the Organization and each wishes to take leave to care for a covered injured or ill service member, the husband and wife may only take a combined total of 26 weeks of leave.

LEAVE OF ABSENCE

AAN may approve a leave of absence request for a variety of compelling reasons including personal or family medical conditions, birth or adoption of a child, civic responsibilities, military obligations, and other personal situations. Some reasons may qualify an employee for paid leave and others may not. Because of the intricate nature of the laws that govern these situations, only a general overview of the various types of leave will be outlined in this manual. If employees have specific questions, they should contact Human Resources.

MILITARY LEAVE

AAN will support employees who perform and return from military service. The requirements of the Uniformed Services Employment and Reemployment Rights Act (USERRA), state that employees shall have and retain such rights with respect to reinstatement, seniority, vacation, layoffs, compensation, and length of service pay increases as may be from time to time provided by applicable statutes of the United States and/or the State of Minnesota.

AAN military leave of absence for a period of up to five years, except where federal and state law require an extension, may be granted for employees who leave their jobs to serve in the uniformed services. These services may include, but are not limited to, active duty, active duty for training, and inactive duty for training (weekend drills), full-time National Guard duty, and time spent in physical exams to determine fitness for such duty. It is required by USERRA that service members provide advance written or verbal notice to their employers for all military duty unless giving notice is impossible, unreasonable, or precluded by military necessity and may be required to provide reasonable documentation as requested by the AAN. Failure to give AAN this notice may deprive the employee of the rights afforded by USERRA.

AAN may grant two weeks of military leave each year as a paid leave of absence. AAN will pay the difference in salaries if the employee's military pay is less than his or her regular salary. If the employee receives pay equal to or exceeding their regular pay, they will not receive any pay from AAN. In order to be paid for military leave beyond two weeks per year, the employee may use PTO time.

Benefit Coverage

Employees are entitled to continuation of life and health coverage during the military leave. For leave less than 31 days the employee will pay the same contributions as other active employees. For leave of 31 days or more, the employee may be required to pay the COBRA continuation rate (102% of cost). Upon return to work the employee may reinstate coverage without exclusions or waiting periods except for a service-related condition. For benefits based on seniority, the employee must be treated for accrual purposes as if service was continuous. This means that when the employee returns to work, PTO, retirement and any other benefits based on length of service accrue at the same rate as if there was no break in service. As with all other leaves of absence, employees on military leave will not accrue PTO benefits after all of the paid leave has been exhausted and/or the employee has elected to take their leave without pay. For non-seniority based benefits, the employee will be treated the same as employees returning from a leave of absence.

Return to Work

The period an individual has to make application for reemployment or report back to work after military service is based on military duty. For service of less than 31 days, the employee must return at the beginning of the next regularly scheduled work period on the first full day after release from service,

taking into account safe travel home plus an eight-hour rest period. For service of 31 to 180 days, the service member must submit an application for reemployment within 14 days of release from service. For service of more than 180 days, application for reemployment must be submitted within 90 days of release from service.

PARENTAL LEAVE

In accordance with the Minnesota Parental Leave Act, AAN will grant an unpaid leave of absence for up to six weeks in conjunction with the birth or adoption of a child. This leave will be granted to any regular employee who works 20 hours or more per week, has been employed by AAN for 12 months, and becomes a biological or adoptive parent.

This policy applies to all eligible employees. If the employee is also eligible for Family Medical Leave (please refer to the Family and Medical Leave Policy), the six weeks of parenting leave under this policy will run concurrently with Family Medical Leave. If the employee is not eligible for Family Medical leave, or if the employee's annual Family Medical Leave time has been used up for other purposes, this policy will apply.

The leave begins at the time requested by the parent, but no later than six weeks after the birth or adoption or when the child leaves the hospital, whichever is later. In any event, employees are requested to notify AAN as soon as possible of the need for the leave.

While an employee is on Parental Leave, they will continue to be eligible to participate in the group health, dental, and life insurance plans. But, unless the leave runs concurrently with a Family Medical Leave, it is the employee's responsibility to pay the entire premium for coverage. Employees should make arrangements with Human Resources to make these payments. Employees on Parental Leave will not accrue PTO benefits after all of the paid leave has been exhausted and/or is taking their leave without pay.

Use of Paid Leave

The leave provided under this Parental Leave policy is unpaid leave. However, where paid leave is available to the employee under other AAN policies, the employee must use that paid leave. Whatever paid leave is available to the qualified employee will run concurrently with Parental and Family Medical Leave.

If an employee returns immediately after their scheduled leave under this policy, they will be returned to their previous job or to a comparable position. The benefits that were earned before the leave are maintained during the leave. If an employee chooses not to return to work after this leave, they will be considered to have left voluntarily and will not be eligible for unemployment compensation.

PERSONAL LEAVE OF ABSENCE

A Personal Leave of Absence may be granted to employees who must leave their position due to unusual or extenuating circumstances. Employees in need of a personal leave of absence must get the approval from their supervisor, Executive Staff Member, Human Resources and the Executive Director prior to the start of the leave, whenever practical. If granted, employees will be required to use any or all of the appropriate paid time off balances. Unpaid leave will not be granted until all applicable accrued leave has been exhausted. AAN reserves the right to approve or deny request for personal leaves of absence.

Employees on a Personal Leave of Absence will not accrue PTO benefits after all of the paid leave has been exhausted and/or the employee is taking leave without pay. Employees will be given the option of continuing or terminating group benefits during a personal leave. However, if the employee elects to continue coverage, he or she must pay the entire cost of the group benefit plus a 2% administration fee for the entire duration of the COBRA period. If the employee terminates group benefits during the leave, re-enrollment restrictions may limit the employee's ability to reinstate coverage. For benefits based on seniority, the employee must be treated for accrual purposes as if service was continuous. This means that when the employee returns to work, PTO, retirement and any other benefits based on length of service accrue at the same rate as if there was no break in service. If employees would like more information on these restrictions, they should contact Human Resources for a copy of the group benefit plan summary.

AAN cannot guarantee that an employee's specific job will still be available upon his or her return from a personal leave of absence. At the time the employee is able to return, they must notify Human Resources and apply for available positions for which they are qualified. These employees will be considered for positions based on, among other things, their qualifications and work record. If a position cannot be found before the allowed leave expires, the employee will be considered to have voluntarily terminated employment.

RELIGIOUS OBSERVANCES

AAN, in accordance with its diversity initiatives, will allow employees the right to observe a religious holiday or attend a religious service during their regularly scheduled work hours. This leave will be unpaid unless it falls during a normally scheduled AAN holiday or the employee chooses to use accumulated PTO time.

Employees must gain approval from their supervisor and Executive Staff Member prior to attending the religious service or observing a religious holiday at least two days in advance if they will not be working their regularly scheduled hours. This absence should not be reported on the time sheet as a holiday unless the time off occurs during normally scheduled holiday and will not be included in absence calculations.

SCHOOL CONFERENCE AND ACTIVITIES LEAVE

Minnesota law provides eligible employees the opportunity to take unpaid leave of up to 16 hours per year to attend school conferences and classroom activities related to the employee's child, provided the conferences or classroom activities cannot be scheduled during non-work hours.

When the leave cannot be scheduled during non-work hours and the need for the leave is foreseeable, employees must provide reasonable prior notice of the leave and make a reasonable effort to schedule the leave so as not to disrupt the work place.

This is an unpaid leave, but employees may substitute any accrued PTO time.

VOTING

Every employee who is eligible to vote in a regularly scheduled state primary or general election, or an election to fill a vacancy in the office of either state or United States senator or representative, may be absent from work for the time necessary to appear at the employee's polling place, cast a ballot, and return to work on the day of that election. The employee is requested to notify the employee's supervisor as to when the employee will be absent from work, and to coordinate their absence so as to minimize adverse impact on the workplace. The employee's salary or wages will not be deducted because of the absence. All time off for voting must be included as regular productive hours on the employee's timesheet.

EMPLOYEE BENEFITS

Benefits – Please refer to the AAN Benefits Manual located on SharePoint for additional benefits information.

EMPLOYEE COMPUTER PURCHASE PROGRAM

Employees who have been employed with AAN for one year and are not a highly compensated Employee, are eligible for an additional aspect of the Employee Computer Purchase Program. This provides a \$2,000 non-interest bearing loan to eligible employees to purchase personal computer equipment and peripheral computer devices. The maximum of the loan is \$2,000 and may be required to be re-paid through payroll deduction over a maximum time period of 18 months.

To apply for the loan, the employee must complete an Employee Computer Purchase Authorization form and the approval of the Executive Staff Member and the HR are required prior to processing the loan. In the event of termination of employment, any unpaid loan balance is due immediately and funds may be withheld from final payments due to the employee.

EMPLOYEE REFERRALS

As AAN continues to expand and hire new employees, current employees are encouraged to recommend suitable external candidates for employment. Upon the new employee's completion of six months of satisfactory employment, a \$250 payment will be processed through normal payroll and given to the referring employee.

To recommend someone for hiring consideration, contact Human Resources.

HOLIDAYS

The following are AAN paid holidays:

New Year's Day	Independence Day	Day after Thanksgiving
Martin Luther King Day	Labor Day	Christmas Eve
Presidents Day	Veterans' Day	Christmas Day
Memorial Day	Thanksgiving Day	New Year's Eve

Paid holidays which fall on a Saturday or Sunday will be observed on Friday or Monday, respectively.

Employees who are on an unpaid leave of absence are not entitled to holiday pay. Paid time off for holidays will be counted as hours worked for the purposes of determining whether overtime pay is owed. Part-time employees are paid for a holiday if the holiday falls on one of their normally scheduled work day and they worked the scheduled day before and after the holiday. Actual holiday pay will be based upon their regularly scheduled hours.

Flexible Schedules and AAN Designated Holidays

In situations where a holiday falls on a day an employee is normally scheduled to work, he or she will receive compensation for their regularly scheduled hours, up to a maximum of 8 hours of holiday pay. If a non-exempt employee has worked less than 40 hours (including the holiday) for the week of the holiday, they will be expected to supplement the additional hours necessary to reach 40-hours through the use of PTO time. In addition, employees should adjust their schedule to ensure that their workweek (including the holiday) does not exceed 40 hours. If a non-exempt employee is required to work on a

holiday, they will receive both holiday pay and pay for hours worked. If an exempt employee works or travels on a holiday, an administrative time may be taken on a day agreed upon by the employee and their manager. The administrative time must be taken within 90 days of the holiday. If a holiday falls on a day an employee is normally not scheduled to work, they will not receive additional holiday pay. A manager may request an employee who normally works a flexible schedule to work a regular schedule during a holiday week.

PAID TIME OFF

AAN will use the following schedule for providing Paid Time Off (PTO) to regular full-time employees:

Service	Employees	Annual Accrual
0 - 3 Years	6.80 hours per pay period	22.1 days/annual
3 - 10 Years	7.68 hours per pay period	24.96 days/annual
10+ Years	9.52 hours per pay period	30.94 days/annual

Regular part-time employees receive PTO on a prorated basis of the regular rate. Employees will begin to accrue PTO starting on the first pay period of employment and may use this leave for any purpose they deem appropriate. PTO requests should be submitted two weeks in advance for approval by the supervisor, and will be permitted based on a number of factors, including business needs and staffing requirements. Wages may not be paid for any unearned time taken. In addition, PTO will not be considered hours worked for purposes of performing overtime calculations. Employees must notify their supervisor, Executive Staff Member or Human Resources no later than thirty minutes before their scheduled time to report for work for any unscheduled absence. Daily reports are expected unless other arrangements are made. PTO will not accrue during a leave of absence.

Under normal circumstances, non-exempt employees should use PTO time in minimum increments of 15 minutes to ensure they are accounting for a total of 8 hours per day on their timesheet. Exempt employees will not need to use PTO for absences of zero to two hours, however, they should use one-half day from their PTO bank for absences of two to five hours, and an entire day from their PTO bank for absences of five hours to a full day.

Maximum Accrual of PTO

Employees may carry up to 1 1/2 times their annual accrual in their PTO bank and any time above such amounts will be forfeited.

Service	Employees
0 - 3 Years	265.20 hours maximum accrual
3 - 10 Years	299.52 hours maximum accrual
10+ Years	371.28 hours maximum accrual

PTO PAY OUT

All active employees as of December 31st may elect to receive payment at the end of each calendar year for some of their unused PTO time at the rate of regular salary according to the following schedule:

Service	Employees	Pay Out
0 - 3 Years	40 hours maximum pay out	50% of hourly rate
3 - 10 Years	60 hours maximum pay out	75% of hourly rate
10+ Years	80 hours maximum pay out	100% of hourly rate

The year-end decision to accrue PTO time rather than receive payment cannot be reversed at a later date. When an employee terminates employment, they generally will be paid out the amount of their unused PTO time. However, the organization, in its sole discretion, may require a forfeiture of any unused time upon termination. Certification from a health care provider will be requested by AAN for employees who are absent for three days or longer or have prolonged and/or frequent absences, and if eligible, AAN will place such employees on FMLA leave. In addition, employees who are absent for three consecutive working days without notifying their supervisor, area Executive Staff Member or Human Resources, may be considered to have voluntarily terminated.

PTO Balance Management

Any employee may choose the option of transferring PTO days to another employee of the AAN at any time. To make a transfer of PTO days please contact Human Resources. Any PTO transfer will remain anonymous - if an employee wishes to inform another of their decision to transfer it will be up to them. Solicitation for PTO will not be allowed. Human Resources reserve the right to approve or deny any PTO transfer.

TUITION REIMBURSEMENT

AAN's program for tuition reimbursement is designed to provide employees with financial support in pursuing specific courses and educational programs that will enhance their skills in current or future work related areas with AAN.

The AAN may provide educational assistance for regular full and part time employees who have completed 6 months of service, are on the active payroll, and are performing their job satisfactorily through completion of each course. In addition, individual courses or courses that are part of a degree, licensing, or certification program must be related to the employee's current or possible future job duties in the organization. AAN has the sole discretion to determine whether or not a course meets this requirement.

To qualify for educational assistance, courses must be taken at an accredited institution and must be pre-approved by the employee's supervisor, Executive Staff Member, Human Resources and the Executive Director. Approval will be based on availability of continuing education funds, the appropriateness of the course of study, and the application to the needs of AAN. Requests may be made to arrange work hours to attend approved courses, but only if the course is not available outside regular work hours.

AAN may reimburse employees for tuition up to a maximum of \$2000 per year, for full-time employees and a prorated amount for those employees working less than full-time, upon receipt of documentation of passing grade (C or better) and tuition payment. Reimbursement includes tuition and other course-related fees required to take the course. It does not include books, parking, activity fees, and other

student fees, meals, transportation or tools and supplies which an employee may retain after completion of the course. AAN will not pay for the same course (or essentially the same course) more than once and will not make any reimbursement for an incomplete or failed course.

If an employee resigns or is terminated prior to course completion, he/she is not eligible for any refund. Should an employee resign within one year after reimbursement, he/she will be asked to repay to AAN a prorated portion of the tuition reimbursement amount.

WORKERS' COMPENSATION

AAN is committed to providing a safe working environment for all employees and will establish and insist on the use of safe working practices at all times. If an employee is injured on the job or suffers an accident or illness that is work related, he or she may be covered under the provisions of Workers' Compensation. This compensation insurance may reimburse employees for medical expenses resulting from an injury incurred at the regular place of work, or on AAN business away from the regular place of work, as well as partial salary reimbursement as a result of time lost due to a work incurred injury. All premiums are paid for by AAN.

If an employee suffers from an injury or illness that is life-threatening, 911 should be called immediately. If the injury or illness is not life-threatening, employees must notify their supervisor or Human Resources immediately, as the law requires that AAN file a First Report of Injury form within 48 hours. Failure to submit a timely report may result in penalties or fines against AAN as well as delayed payment of benefits to employees. Employees receiving Workers' Compensation benefits are not entitled to any of AAN paid leaves beyond the three-day wait for Workers' Compensation.

Care of an employee's work-related injury will be monitored to ensure that it is medically necessary, effective, and appropriate. State and federal laws determine the amount of reimbursement. Employees may receive treatment from a medical doctor, chiropractor, podiatrist, osteopath, or dentist if the treatment is available in their community and is appropriate for their injury or illness.

Return to Work

AAN supports the return of injured workers to a productive position within the organization as early as medically safe to perform a job within the physical capabilities as determined by a doctor and/or the AAN's Workers' Compensation insurance company. Each time an employee visits their physician, they must immediately return a written document to Human Resources from their physician to indicate their "return-to-work" status after each visit. If the provider prescribes any restrictions, AAN will work with the employee to modify their job. As long as it is medically appropriate and reasonable for AAN to do so, every effort will be made to keep employees on the job and working.

DISCIPLINARY POLICIES

COMPLAINT PROCEDURE

AAN encourages open communication between supervisors and employees so that employees are continually aware of accepted standards of performance and behavior. AAN also encourages employees to attempt to solve issues or problems with co-workers directly, prior to discussing the issue with their supervisor or Human Resources. These standards are not intended to place unreasonable restrictions on employees, but are considered necessary for AAN to conduct business in an orderly and efficient manner.

If the employee is not comfortable discussing the issue with the other person, or a prior attempt to resolve the issue has not resolved the issue, employees are encouraged to discuss the issue with their supervisor or area Executive Staff Member, or if they prefer, by contacting Human Resources. If an employee's concern, complaint, or question is not resolved after participating in such informal discussions, then the employee should contact Human Resources to draft a written complaint which will be further investigated.

A written complaint should indicate:

1. The employee's name and position.
2. The employee's concern. Clearly explain what happened, when it happened, and who was involved.
3. Any other relevant information.
4. Any suggestions by the employee regarding what should be done to correct the problem.

AAN will attempt to respond to the complaint within 10-14 working days. This period may be extended, depending on the facts and circumstances of each case.

For complaints about sexual or other harassment, please refer to the Anti-Harassment Policy.

DISCIPLINE AND CONDUCT GUIDELINES

Violations of AAN's values, policies or procedures may result in disciplinary action. Action may be verbal counseling, written reprimands, suspension and/or termination. AAN has the discretion to decide what disciplinary steps, if any, it may choose to take for any particular offense or when an employee may be discharged without taking any disciplinary action. Final approval from Human Resources is required before proceeding with suspension or termination.

Nothing in this policy modifies the at-will employment relationship in any way, creates a contract of employment, or otherwise obligates AAN to take any of the corrective measures identified in this policy.

PROHIBITING RETALIATION

AAN will comply with all state and federal laws that protect employees who provide truthful information with respect to corporate fraud or the violation of any state or federal law. Therefore, AAN will not harass, retaliate, or take adverse employment action against any employee who, in good faith, reports a violation, testifies, or otherwise assists in a proceeding regarding the violation of any state or federal law affecting AAN.

SUSPENSION

AAN may elect to relieve or suspend an employee from active duty on either a paid or unpaid basis. For example, AAN may suspend an employee to allow for an investigation of issues surrounding an employee's conduct, performance, attendance, or other activities related to AAN. For continued status regarding suspension, employees should contact Human Resources.

TERMINATION OF EMPLOYMENT

All AAN employees are employed under the Employment at Will Policy, unless otherwise specifically stated in a written employment contract. This means that the employee or AAN may terminate the employment relationship at any time, with or without cause, and with or without notice.

AAN asks that employees provide written notice to their supervisor, area Executive Staff Member and Human Resources at least two weeks in advance of their termination date and at least four weeks in advance Executive Staff Members. Human Resources may conduct an exit interview with all employees terminating voluntarily. Failing to report to work for three or more consecutive days without giving prior notice to management may be regarded as job abandonment and is considered a voluntary termination.

Employees will only be paid for hours actually worked through the effective date of termination. AAN will also pay employees for earned but unused PTO time to the extent provided by the PTO policy. AAN does not compensate employees for unused administrative leave. The final paycheck will be provided on the next regularly scheduled payday following the employee's final day of work, however, if this payday is less than five calendar days following the employee's final day of employment, full payment may be delayed until the following scheduled payday.

Group dental, health, life, insurance will be in effect until the end of the calendar month in which the eligible employee terminates. The employee can elect to continue group health, dental, and life insurance under applicable federal and state law from the election forms sent following notice of termination. In addition, those employees subject to mandatory withholding of child support or maintenance obligations must notify Human Resources of the name and address of the employee's new employer or source of income.

An employee's termination date may be determined by the last day that the employee was physically present. Employees who terminate employment following family, medical, or personal leave should consult with Human Resources to determine their actual termination date.

All AAN property assigned to employees, such as building access cards, handbooks, manuals, computer equipment, cell phones, and any other items must be returned prior to or on their last day of employment.

EMPLOYEE ACKNOWLEDGMENT FORM

(PERSONNEL FILE)

Purpose of Handbook

I understand that this Handbook provides important information about AAN. I have received a copy of the Handbook, and I understand that it is my responsibility to read and comply with the guidelines contained in this Handbook and any revisions made to it. I understand that I should contact my supervisor, area Executive Staff Member, or Human Resources regarding any questions which are not answered by the Handbook.

Changes to Handbook

Since the information and guidelines described in this Handbook are necessarily subject to change at any time, I acknowledge that revisions to the Handbook may occur. I understand that AAN may generally attempt to communicate any revisions to this Handbook to its employees, but that these revisions will be effective immediately upon adoption, with or without such notice and, accordingly, I will not rely on the continuation of any such information or policies. I acknowledge that only the Executive Director can adopt any revisions to the policies in this Handbook.

At Will Employment/Not a Contract

I furthermore acknowledge that I have entered into my employment relationship with AAN voluntarily and acknowledge that the relationship is one of “at-will” employment. Accordingly, I understand that either AAN or I may terminate the relationship at will for any reason, with or without cause or notice, at any time. I acknowledge that this Handbook is not intended to be a contract of employment nor is any part of it intended to be a promise or representation of any specific term or condition of employment and that no agent of AAN has made any offer or representation to me in connection with my employment that is contrary to the terms of this Acknowledgment and this Handbook.

Confidentiality/Non-Disclosure

During the course of my employment with AAN, I understand that I may have access to and become familiar with confidential information, which AAN has or intends to develop, and/or use in the course of its business. I understand that such information is the confidential proprietary information of AAN, and I agree that I will not at any time during or after my employment at AAN disclose such confidential proprietary information to any individual or organization that is not affiliated with AAN, without AAN’s express written authorization. I understand and expressly agree that in the event of a breach of this provision, AAN shall be entitled, in addition to any other remedies, to an injunction from any competent court ordering me to cease and desist from any further unauthorized disclosures, and to recover their reasonable attorneys’ fees incurred in any such action.

Date: _____

Employee Signature_____
Employee’s Name (Typed or printed)