POLICY & PROCEDURE

TeamVision
Eye care, together.

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TeamVision
Eye care, together.

ABANDONED EYEWEAR

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Policy

Occasionally, a patient fails to pick-up their eyewear, lenses or contact lenses in a timely manner. When this situation occurs, the Abandoned Eyewear Procedure should be followed.

- If a patient were to return and claim their eyewear, lenses only or contact lenses after the 6 months has passed the store should accommodate the patient. Partner with your Field Leader on possible solutions.
- Due to the complexities of credit card transactions, a return should NOT be issued to the patient without patient permission.
- There will be times when NO action is required in Order Tracker or Lab Processing Application (LPA) as the job falls off after 60 days. Check both Order Tracker and LPA to confirm if the order exists on the list.
- If the ophthalmic frame is not "saleable" then ticket the eyewear and place into Frame Recovery. Process as usual with all other Frame Recovery product.

Procedure

30 Days After Purchase

- Notify the patient via their primary method of contact (PMOC).
- Record attempts to reach the patient in Order Tracker and Ciao! Optical Customer Notes.

60 Days After Purchase

- Notify the patient via all methods of communication, making it clear to the customer that it is Company policy to dispose of the product after 6 months if the product remains unclaimed.
- Record attempts to reach the patient in Ciao! Optical Customer Notes.

90 Days After Purchase

Complete Pair	• Follow Frame Recovery Procedures. • Record the actions taken regarding the eyewear in the Ciao! Optical Customer Notes.
Lenses Only	• Close out the order in Lab Processing Application (LPA) if necessary. • Remove the lenses from the "Lens Storage Container" and discard. • Record the actions taken regarding the eyewear in the Ciao! Optical Customer Notes.
Lenses Only – Patient's Own Frame (POF)	• Patient's own frames should be retained indefinitely until the patient claims them.
Contact Lenses	• During the next contact lens recall send the contact lenses back. • Reference the Order Management Guide and/or the Contact Lens Handbook for handling returned/ recalled product. • Record the actions taken regarding the contact lenses in the Ciao! Optical Customer Notes.

Policy

To allow patients/customers an efficient and alternative means of payment for approved transactions, all TeamVision locations will accept the following credit cards as payment:

- American Express
- Visa
- MasterCard
- Discover

Procedure

Credit cards must be presented in store to be accepted. Credit cards will be processed through a secure, non-integrated 3rd party application AND the order will be tendered in Ciao! Optical with the selection of the credit card carrier and authorization # (provided upon approval from the 3rd party application).

- Credit card telephone orders can be accepted with conditions (see Telephone Orders).
- All credit card refunds must always be processed with the credit card used on the original purchase. If the refund cannot be processed on the original card, a Home Office Check needs to be provided.
- It's against our contract with all major credit card companies to refund to any other credit card besides the original.

Credit Card Acceptance

Match the credit card name to the patient/customer that is making the purchase for purchases that are $1,000 or greater.

- If the names do not match or the card is not signed, ask for photo identification.
- Keep the signed location copy of the receipt in the Daily Closing Record (DCR) envelope.

Manual Imprint of Credit Card

The patient/customer should always attempt to swipe the credit card. Manual keying creates risk for incorrect information entered and can result in errors which have a financial impact.

If the credit card processing equipment does not work, enter the order into Ciao! Optical and move to Open Orders List. When the system comes back online, process order over the telephone (see Telephone Orders).

If the customer's card will not insert/swipe, ask the customer for a different form of payment. You are not required to accept cards that cannot be inserted or swiped.

Un-embossed Credit Card

Credit card companies issue un-embossed credit cards. These are cards that are smooth without raised characters for the customer's name, account number and expiration date. The information is instead printed onto the credit card.

- TeamVision does accept these cards as long as the card is from one of our accepted providers (AMEX, Visa, etc.).
- Process like a traditional credit card.
- If the magnetic chip or wipe is not readable, another form of payment should be requested. You are not required to accept these types of cards if the magnetic chip or strip is unreadable.

Telephone Orders

Patients/Customers may want to purchase contact lens re-orders and/ or eyewear over the phone. TeamVision does accept this pending that the credit card is from one of our accepted providers (AMEX, Visa, etc.).

- For contact lens orders, verify that the patient/customer made an original purchase and requests a re-order. Process the order with the patient/ customer on the phone. Select Ship To Home/Customer. When the receipt prints, write 'phone order' on the customer signature line and the 3-digit credit card security code. File receipt in DCR (Daily Closing Record) envelope.
- For RX orders, verify the order is on the Pending Orders List. Process the order with the customer on the phone. When the receipt prints, place it in the customer's order tray. When the customer comes in to pick up their order, have the customer sign the receipt. File the receipt in that day's Daily Closing Record (DCR) envelope.

Credit Card Decline

If a decline is received on an electronic credit card authorization, do NOT call for voice authorization. In NO circumstances should a store call a customer's bank or allow the patient/customer to call for approval. The policy is to ask for another type of tender or a different credit card.

Credit Card Chargebacks

Credit card chargebacks occur when the patient/customer challenges the validity of a sale on their credit card statement. Luxottica has an opportunity to dispute the chargeback by providing sufficient evidence that the transaction was valid and followed proper credit card acceptance procedures; these opportunities are called chargeback retrieval requests.

All credit card chargeback retrieval requests are sent to locations via fax from the Sales Audit Department.

- Follow the instructions indicated on the chargeback retrieval requests to dispute the chargeback prior to the deadline.
- Failure to respond to retrieval requests means an automatic store chargeback, which negatively impacts the location's profitability.

Policy

All merchandise may be recalled from locations due to age, quality defects, or to balance inventory through redistribution, etc. It is important for locations to return all Universal Product Codes/Optical Product Codes (UPC/OPC) indicated on Recall Worksheets. A Contact Lens Recall will be initiated and communicated directly to you from Operations. These recalls should be completed within the specified time frame and all eligible product included in the recall should be returned. It is important you return everything that is requested – it is the responsibility of everyone in your location.

Procedure

Contact Lens Returns must be completed during specific times of the year to ensure stock remains unexpired, inventory is reallocated as necessary, or for other pre-determined business needs.

- Sites are responsible to complete and ship the contact lens recall accurately and on time.
- Only unexpired, unopened, and resaleable contact lens boxes are permitted to be included in the contact lens recall. Damaged, opened, written on, or expired contact lens boxes must never be included in contact lens recalls. If any contact lens boxes are affected by the above scenarios, they must immediately be damaged out in Inventory Management upon identifying and then destroyed.
- Shipping boxes that contain contact lenses must be packed neatly to ensure damage does not occur during transit.
- Do not include any diagnostic (trail) or ophthalmic lenses.

Store Generated Contact Lens Recalls

If approve by TeamVision Operations, a site generated contact lens recalls may be allowed. Follow provided direction at the time of communication. Sites should NOT create their own Contact Lens Return/Recall without TeamVision approval.

Specialty Contact Lens Returns

For RGP, PMMA, etc. contact lenes see the return policy for each vendor. These lenses will not be included with Contact Lens Returns or Recalls.

Specialty Contact Soft Lens

Use the generic UPCs for any specialty contacts that may not be included on your Return/Recall.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

CYCLE & FRAME COUNTS

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Policy

Cycle and frame counts identify missing inventory which can be corrected through replenishment if an inventory adjustment is completed. All counts should be conducted at the days and times specified by TeamVision Operations and/or Asset Protection.

Procedure

Cycle Counts

Counting of on-hand frames for a specific brand then comparing that count to what is posted in Inventory Management System.

Frame Counts

Counting of on-hand frames in a specific brand then reconciling that quantity to Inventory Management (Fiori Confirmed On-Hand). Frame counts are the quantity of frames in a brand.

- Locations may be expected to conduct frame counts at random intervals on specific frame brands. The company determines frame brands and will communicate the count frequency and impacted locations (i.e. Cartier).
- Frames missing should be verified through video, where applicable to determine if a theft has occurred. If so, follow theft of product procedure.
- System is refreshed nightly. For the most accurate results, complete frame counts in the mornings.
  - If completed later in the day, do not include sold or returned products.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

DAMAGES

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Policy

There are certain business situations that will require a manual adjustment of inventory. We call these Damages. All Damages are managed manually through the Inventory Management System (Fiori). It's important that each team member is familiar and complies with these processes. Failure to do so negatively impacts inventory accuracy and replenishment.

It's EssilorLuxottica's policy that frames with manufactured lenses inserted are deemed a medical product and not resalable. Non-Rx product (Plano Sun or frame only purchase) may be resold pending it's not damaged. Team members need to inspect Plano product that it is in first quality state (i.e., includes appropriate demo lenses, etc.) and in original packaging.

- Items are systemically added back into inventory. Team members have to inspect product and take action.
    - Product NOT DAMAGED and Sellable (Plano, No Manufactured Lens):
    - Clean, retag and remerchandise product on retail floor.

Manual Damage is used for product that needs to be manually marked as damaged. Examples below:

- In Location (store) – Team Member damages
- In Location (store) – Customer damages
- Shipping damages
- Returns
- Exchanges

The process follows a simple process:

STEP 1: Damage out product in Fiori via In-Store Damages action & place in Frame Recovery box.

STEP 2: Manager & witness reviews Damage Disposition in MIM and reconciles damaged frames between Fiori, Frame Recovery Box, & Return Merchandise Report. Either approve damage or add it back to stock as sellable.

STEP 3: Ship damaged product to NAASC.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

Procedure

The Inventory Management system (Fiori) manages damages in two ways:

1. **In-Store Damages**
   - This is a Fiori action to remove defective / damaged product from inventory.
   - Should be competed for RETURNS / EXCHANGES or when a damaged product is discovered.
   - All team members have access and expectation to damage the product in Fiori.
   - When completed by a team member, the product is automatically placed in Fiori's Damage Disposition pending manager approval.
2. **Damage Disposition**
   - A log of all the products processed as In-Store Damages.
   - Only accessible to PMs or key holders required to review, verify and 'signoff' on damages weekly in Fiori.
   - The replenishment of the product(s) is systemically generated once the 'sign-off' is complete.

Return To Stock

On occasion, products that aren't damaged may appear in the Damage Disposition in Fiori due to system process. To correct the issue, the product must be placed back into the location's inventory or 'Returned to Stock' in Fiori:

- Login to Fiori and go to Damages > Damage Disposition.
- Select desired NON-Damaged frame UPC.
- Click Return to Stock and ensure eyewear is cleaned and ticketed prior to being merchandised on optical floor.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

Policy

Data capture is a brand standard. Obtaining a patient's email address and phone number builds a patient's long-term connection to the practice. Patients expect their entire experience to be personalized to their preferences, and the more information we have, the more we can use it to exceed their expectations.

Capturing patient email and phone numbers drives our business, as it allows the practice to stay connected to our patients by providing them with the most current information on our products, promotions, and even personalized offers. Email capture also allows us to learn from the "voice of our customer" through their NPS (Net Promoter Score) survey responses.

- Email addresses drive in-store traffic, leading to increased sales, profit, and patient retention.
- Email is a timely and cost-effective marketing channel.
- Useable Email allows us to stay connected to our patients year over year to grow our business and patient base.

Procedure

Action Required

- Obtain a useable e-mail* address from every customer and enter in Customer Order. Remember to ask for any updates each time they visit to ensure we have accurate and current information.
- When updating or saving a Customer Profile and clicking on the Submit button, a popup message will now display on the screen if both the SMS and Email Marketing Consent selections have "No" selected.
    - Clicking "Yes" will proceed to the customer profile. Clicking "No" will close the popup and return to the create/edit Customer Profile screen to adjust.
    - Advise the customer that by opting them in, we will be able to provide them information on promotions and personalized offers.
    - To enroll a customer for marketing and promotional emails and texts, you must select YES to opt in.

***Useable Email** = email address has been through the data cleansing and EVOA process and good email quality and collection quality (e-mail address has @ and proper extension (.com or .net, etc.), valid domain, no spaces or special characters, no medical terms/profanity etc.). Fake emails (noemail@ gmail.com, naemail@gmail.com, nolc@aol.com, etc.) are not useable emails and are a violation of policy.

DEMO LENS RECOVERY

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Policy

Team members are responsible to keep the demo lenses from each pair of eyewear sold. Following the process to keep demo lenses means the lab will not need to make new demo lenses for each return/exchange pair of eyewear and the original UPC tag will be available.

Procedure

- When edging lenses for a customer's frame, fasten the demo lenses together, sun or ophthalmic, using the frame UPC tag. If you can't reuse this tag, then place all 3 items in a small, zip-top plastic bag prior to putting in the Daily Lens Demo bag.
- ALL sun demos with the UPC tag must be placed in small, zip-top plastic bag.
- Place all demo lenses for the day in a larger Daily Lab Demo Lens bag.
    - This includes all semi-rimless, sun, and all other demo lenses.
- At the end of each day, file the Daily Lab Demo Lens bag along with the lab work tickets for that day.
- Demo lenses do not need to be returned with Frame Recovery and can be discarded after 30 days. This includes demo lenses provided from Central Manufacturing or demo lenses from in-house produced eyewear.
- Properly dispose of all lab work tickets as specified in the record retention policy (90 days).
- For return/exchange frames that are less than 14 days old, retrieve the demo lenses from the appropriate Daily Lab Demo Lens bag, mount demo lenses into frames and follow the frame recovery process.
- If the original UPC tag is damaged, print a replacement.
- Ensure that all demo lenses are bagged in pairs and have the appropriate UPC tag.

Policy

Digital Measurements

All team members are expected to capture advanced personalized digital measurements using EyeRuler 2 when they are selling an advanced personalized lens. The Digital System will prompt the team member when the measurements are required prior to the image being captured.

Each practice is responsible for ensuring all Digital Measurements and EyeRuler2 is operating as a precise optical instrument by conducting routine Maintenance evaluations and required adjustments at least once every 3 months or more often as required.

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EyeRuler 2 Measurements should be captured for all patients with the exceptions of the following scenarios:

- Patients with specific eye conditions like muscle imbalances that cause phorias or tropias (e.g., “turning eyes” like Strabismus or lazy eye).
- Patients with advanced neuromuscular type medical conditions who are not able to sit still or straight enough to capture an acceptable image (e.g., Parkinson’s Disease, etc.).
- Neutralizing current lenses into current frames for customers who are completely satisfied with their vision (Match Rx, PD, and Heights).
- 30 Day Happiness Guarantee Replacement Lenses in Same Frame.
- Use previous digital measurements if patient is getting replacement lenses of the same type (e.g., single vision, bifocal, progressive, etc.) and are completely satisfied with how they see and how the frame fits.
- Situations where Ciao! Optical is down or not operational.
- Situation that requires Digital Measurements for heights, but not Mono PDs
- Patients having Rx Neutralized and using new frame.
- Mono PDs must match the current pair and should be duplicated from the neutralized pair.
- New seg heights should be measured using Digital Measurements. OCs and seg heights must match placement of current pair in comparison to where they align to their eyes when the old pair is on their face.

PD Measurement Requests

We do NOT provide PD measurements to non-patients, in other words, to someone “off the street” who has stopped in just to get a PD measurement. EyeRuler 2 uses advanced digital imaging technology to measure the unique relationship between the eyes, face, frame, and lenses to precisely place the prescription in the lenses. Our brand standard is to take measurements for each individual frame.

However, if a patient requests a copy of their PD measurement, we treat it as a request for their dispensing record and, in accordance with HIPAA, will reprint their last transaction in Ciao! Optical.

- Give the customer a copy of the Tray Ticket which includes their prescription, measurements & materials specific to that order.
- Do NOT separately hand write the customer’s record information on a piece of paper. The employee should leverage the opportunity to share the benefits of EyeRuler 2.

Here are some key points that should be shared:

- EyeRuler 2 captures optical measurements that are more precise than manual measurements that are unique not only to you, but also to how the frame is custom fitted to your face.
- Every pair of eyewear that you purchase requires a new set of digital measurements, because no two frames will fit on you the same.

What it could sound like:

“We want to ensure you see your best. We recommend that you do not use these PD and Fitting Height measurements for any other pair of eyewear, as you risk not being able to see your best. That is because the prescription needs to be positioned precisely in your lenses where your eyes will look through the new eyewear, which is different for each frame and how it fits on your face.”

Policy

Every team member is responsible for proper usage of discounts, offers and coupons. Team members must understand and follow the policy and procedure to ensure all discounts and coupons are properly applied and transactions are properly tendered. The policy covers sales of complete pairs of eyewear, frames, lenses, accessories and contact lenses. It applies at all times, including but not limited to special promotional events and everyday offers.

The following policy conditions apply:

- Fully understand current promotions and offers, legal disclaimers associated with each, and product exclusions. This information is always available in the Promotions Card in Ciao! Toolkit Documents.
- Apply only one promotional discount to each line of transaction.
- Apply the second pair discount always to the lower priced pair.
- Do not apply a promotional discount on excluded products and/or services.
- Do not combine promotional offers that are specified to be used alone (not to be combined).
- Where applicable, validate insurance or applicable discount programs (member eligibility and claim accuracy).
    - For all vision care (insurance) transactions, the patient/customer must identify themselves beneficiary of a funded benefit or as a member of an authorized vision care discount program.
    - EyeMed members and their plan information can be found directly in Ciao! Optical.
    - For Assignment members, please contact the carrier for plan information and eligibility. Team members must enter an authorization number in Ciao! Optical system for all assignment claims/transactions.

Exceptions

- TeamVision reserves the right to exclude any products from sales discounts. Follow disclaimers and information shared regularly through normal communication channels.
- TeamVision practices (locations) may not accept coupons specified for other EssilorLuxottica brands (i.e. LensCrafters, Target Optical, etc.).

Employee Transactions

Only a manager or key holder may tender a transaction for team members and/or an immediate family member. This includes discounted sales, exchanges and returns, whether using a team member discount or insurance. See the Team Member Discounts Policy & Procedure for additional information.

Definitions

- A discount qualifies as any valid promotional offer which entitles the customer to pay less than retail price of product or service, posted or not posted in location.
- A coupon qualifies as any valid non-expired promotional offer sent to a customer or patient via postal mail or e-mail and entitling the customer to pay less than retail price of product or service.
- Manager means any location management role: Practice Manager, Assistant Manager, Team Lead, Lab Manager. Key holder is any nonmanagement team member authorized to manage the open, closing and managerial duties for a specified period of time.

Consequences

Failure to follow the guidance in this document constitutes a violation of the policy.

Following are examples of policy violation for illustration (this list is not exhaustive):

- In a multi pair sale of two orders, applying the multiple pair discount (e.g., 40% off complete pair) to the more expensive pair.
  - The second pair discount must be applied to the order that is equal or lesser value.
- Applying the team member discount without Luxottica Friends & Family Coupon.
  - Customer must present a valid non-expired coupon to team member in order to receive the discount.
- Applying a promotion to frames or lenses when they are listed as exclusion.
  - Excluded products must be sold at retail prices.

Procedure

1. Understand the legal disclaimers for current discount or presented coupon.
2. Tender with the appropriate promotional code.
3. Record discount or coupon details in the patient profile notes in Ciao! Optical.
4. At end of day, management or a key holder must review the High-Risk Audit Report (Ciao! Optical Toolkit, Asset Protection), sign and date to confirm proper and necessary use. Report any discrepancies to the Practice Manager (PM) and/or Operations.

DISPENSING EYEWEAR

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Policy

Team members must record all dispensed eyewear and contact lenses daily in Order Tracker daily. All eyewear picked up that day needs to be recorded as "Order Dispensed" that same day. It's the responsibility of the manager to validate orders are dispensed before closing the practice for the day. This enables us to maintain accurate records and appropriate service times.

- Eyewear can only be confirmed as "Order Dispensed" once it has been successfully final inspected, completed in Lab Processing Application (LPA) and provided to the patient.
- Contacts can only be confirmed as "Product Received" when the complete order is provided to the patient.
- For Ship-to-Home contact lens orders, a "Delivered" status (via Contact Lens Status Portal) represents the patient has received their order and can be confirmed as "Product Received" in Order Tracker.

Procedure

1. Patient visits the practice to pick up eyewear or contact lenses.
2. Locate eyewear or contact lenses for the patient in the pickup area:
   - Please follow state guidelines for dispensing in your specific state. For optical dispensing guidelines by state refer to your state's licensed optician board website.
   - Licensed States- Licensed Opticians or Apprentice Opticians can dispense eyewear or contact lenses.
3. Unwrap the Tray Ticket from eyewear or Receipt from contact lenses that are ready to be dispensed to the patient.
4. Sign the Tray Ticket as the dispensing member.
5. Login to Order Tracker from Ciao! Toolkit.
6. Search for order via patient name, order #, receipt #, or date.
7. Select the patient's order to open order details.
8. Click "Order Dispensed" button (eyewear) or "Product Received" button (contact lenses).
9. Tray Tickets should be filed nightly in the Daily Closing Report (DCR).

NOTE: For any system issues, please contact Systems Support at 1-833-467-4243.

EMPLOYEE DISCOUNTS

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Policy

A unique benefit of working for TeamVision is the opportunity to purchase high quality products and services at reduced prices, available only to team members of TeamVision and/or Luxottica. Availability of this benefit is a privilege based on appropriate usage as intended by the Company.

This policy applies to all team Members and immediate family members of team members. Immediate family members (eligible for team member discounts) qualify as those who are eligible dependents and allowed as a federal tax exemption by the team member.

The policy covers sales of complete pairs of eyewear, frames, lenses, accessories, and contact lenses. It applies at all times, including but not limited to special promotional events. The policy governs all team member discounts and includes Complimentary Eyewear Certificates, Team Member Sales, Team Member & Family Sales and others, including the following general TeamVision team member discounts.

- 50% discount on prescription eyewear (such as prescription glasses, prescription sunglasses, lenses only)
- 50% discount on ophthalmic frames (Plano)
- 30% discount on non-prescription (Plano) sunglasses
- 30% discount on accessories
- 20% discount on contact lenses
- Other discounts, as outlined in a given promotional team member event

Every team member is responsible for proper usage of team Member discounts. Team members must understand and follow the policy and procedures to ensure all team member discounts are properly applied and transactions properly tendered. The following policy conditions apply:

- Upon hire, all team members are eligible to receive a percentage discount on select products and services.
    - Immediate family members (definition below) are eligible to receive the same percentage discount as the team member on select product and services.
    - Terminated team members are not eligible to receive discounts after their last day worked.
- Only a manager or key holder may tender a team member discount transaction for sales, exchanges and returns.
- Team members must not enter or tender their own transactions.
- Team members must be present and personally pay for products and / or services.
- Team members may not transfer discount privileges to extended family members.
- Team members may not get paid or reimbursed for using their team member discount to purchase a gift.
- Discount applies only to in-stock merchandise. Policy does not allow holds or transfers of product.
- Discount applies to the marked-down price if an item is marked down or red lined.
- Team member offers are not combinable with insurance or other promotions.
    - Example: Team member discounts cannot be combined with the Contact Lenses 10% Annual Supply discount.

- Team members are strictly prohibited from reselling team member discounted product.
- Team members must present a valid prescription for all prescription eyewear.
- Cartier frames are excluded from team member discount.
- If applicable, Eyewear Protection Plans (EPP) cannot be discounted.

Special consideration for Friends of Luxottica Discount Certificates:

- Do not distribute blank Friends of Luxottica Discount Certificates. Managers can provide these to Doctor Partners only.
- Destroy Friends of Luxottica Discount Certificates that are designated for team members who are no longer on payroll. Do not distribute.
- Team members may not enter or tender transactions for customers using a coupon they distributed.
- Six (6) Friends of Luxottica Discount Certificates are annually distributed to team members to share with friends or family to receive discounts on eyewear at Luxottica eyewear locations.
- This cannot be combined with other offers. See physical certificate for additional terms and conditions.
- Team members are strictly prohibited from selling certificates.

Special consideration for Complimentary Eyewear Certificates:

- Team members must pay the full retail difference if the selected frame is more than $500 when using a Complimentary Eyewear Certificate.
- Team members may not return or refund when using a Complimentary Eyewear Certificate. A one-time exchange is allowed within TeamVision’s 30-day guarantee.
- Complimentary Eyewear Certificates are limited to one per team member, except on major anniversaries of employment, such as 5, 10, 15, etc. years, when team members are eligible for 2 Certificates.
- Complimentary Eyewear Certificates are for the team member or their eligible dependents and allowed as a federal tax exemption by the team member.
- See Friends of Luxottica Discount & Complimentary Eyewear Certificates for additional terms & conditions.

Exceptions

TeamVision reserves the right to exclude any products from sales discounts. Follow disclaimers and information shared regularly through normal communication channels. This policy does not govern team member EyeMed benefits, such as exam or contact lens purchase. Please refer to your EyeMed member policy for details.

EMPLOYEE DISCOUNTS

Definitions

Complimentary Eyewear Certificates are offers provided to individual team members of Luxottica in the employment anniversary month of each year. They entitle team members to one pair of Luxottica manufactured ophthalmic frames or sunglasses valued up to $500 retail. Milestone years are defined as increments of five (5) consecutive years with the company. Every fifth (5th) year, the Complimentary Eyewear Certificates entitle team members to two (2) pairs. See physical certificate for additional terms and conditions.

- Manager means any management role: Practice Manager, Assistant Manager, Team Lead, Lab Manager. Key holder is any non-management team member authorized to manage the open, closing and managerial duties for a specified period of time.
- Immediate family members (eligible for TeamVision team member discounts) qualify as those who are eligible dependents and allowed as a federal tax exemption by the team member.

Consequences

Failure to follow the guidance in this document constitutes a violation of the policy. For example (this list is not exhaustive):

- Sale of eyewear to a team member after the end of employment.
- Tendering of the sale by unauthorized team member.
- Tendering a sale without presence of the team member making the purchase.
- Application of the team member discount in combination with another offer/discount.
- Discounting of the Eyewear Protection Plan (EPP) (if applicable).

Procedure

Team Member Discounts

1. Enter order in Ciao! Optical
2. On Order Worksheet panel, select Associate Sale and enter team member's Luxottica ID to confirm team member eligibility (system will validate active employment status).
   - Doctors will get Friends/Family certificates to use for team member discounts.
   - If purchasing a gift for someone else, the order must be placed under the customer receiving the product; the team member using their discount will use their Luxottica ID when prompted. Team member must pay for the order and cannot be reimbursed (against this policy).
3. Managers need to enter and tender transactions using the team member discount.

Friends & Family Certificate and Complimentary Certificate

1. Certificates need to be signed and attached to the receipt and then stored in the Daily Closing Record (DCR).
2. Managers need to tender orders using Complimentary Certificates.
3. Friends & Family Certificates should be treated as any other coupon and retained. Team Members cannot tender their own transactions using their own Certificates.
4. Before end of day, closing leaders and/or key holders must review High Risk Audit Report (Ciao! Optical: Toolkit Asset Protection Link), sign and date to confirm proper and necessary use. Report any discrepancies to the Practice Manager (PM) and / or Operations.

Policy

It is critical for our labs to manage down equipment procedures properly to minimize delays to our customers and regain full production as quickly and as cost effective as possible. This includes having team members to work with the diagnostics center who are trained on equipment repairs and have completed critical trainings/certifications, such as electrical certification.

Procedure

1. **Ciao! Optical Lab Processing Application Lab Down Procedures**
   - If you have a critical piece of lab equipment that is down and the practice cannot manufacture orders, the following outlines the minimum steps to be taken:
   - Patient Notification:
     - Notify the Practice Manager to proactively communicate product delays.
     - Same Day Call when Ready: A team member will call the patient to inform them of the issue and then call again as soon as the eyewear is completed.
     - Multi-Day Call when Ready: Manager on Duty to document delayed call for all orders impacted on the Order Tracker open orders tab. A team member will call to inform all patients of the issue and then call again as soon as the eyewear is completed. Team member will ask the patient how often they would like updated communication during the processing gap. Manager on Duty to commence transmission to RxO contingency if necessary.
   - Finish Equipment Down
     - If the finish equipment is down, orders can be completed when repairs are made or transmitted to RxO.

2. **Equipment Troubleshooting and Repair**
   - The Manager or team member to troubleshoot the equipment issue and correct if possible. Refer to equipment troubleshooting manuals/ guides where applicable.
   - The Manager or team member to notify the ROM and contact the Diagnostics Center through the OneNumber (833-467-4243) for support on all down equipment circumstances that cannot be repaired immediately to troubleshoot, order parts, etc. This is also important for the diagnostics team to log the reason and length of time that the specific equipment is down.
     - Document the issue on the Equipment Log.
     - Team member should also implement lock out/ tag out.
   - The Manager or team member to contact the diagnostics center via OneNumber and partner with the ROM for all Repaired & Rebuild Unit Requests/Parts Approvals when applicable. Perform Root Cause Analysis to prevent future equipment failures.
   - Notify the ROM daily of status updates until the equipment issue is resolved.
     - If the Lab is down for more than 48 hours, ROM will notify via e-mail Operations.

Policy

It is the Practice Manager's responsibility to ensure that lab equipment maintenance is completed. All team members are expected to follow the Company's standards of equipment maintenance.

Procedure

Daily Maintenance and Calibration

- Daily maintenance and calibration must be completed before opening the lab for production.
- Team members should complete the specific maintenance steps described on the equipment maintenance sticker for each piece of equipment.
- Upon completion of the maintenance and calibration steps, the employee who performed the task must document their initials on the Maintenance Calendar.
- Team Members should utilize the finish lenses available in central purchasing to perform maintenance calibration.
- In an instance where a stock lens must be utilized for finish calibration, lenses must be inventory adjusted out in Fiori by the PM with box tops stapled to daily lab reconciliation audit.

Weekly/Monthly/Extended Maintenance

- Weekly, monthly, and extended maintenance must be performed at the recommended maintenance intervals as outlined on the equipment maintenance stickers.
- This maintenance should be planned with appropriate budgeting, parts, and hours allocation to guidelines.
- Upon completion of the maintenance steps, the employee who performed the maintenance must document their initials on the Maintenance Calendar to indicate all maintenance has been completed per the maintenance schedule.
- Failure to complete scheduled maintenance diminishes our ability to deliver service promise times, eyewear quality and increases expenses and lost sales.

Policy

Team members should offer an Eyewear Protection Plan (EPP) to every patient that purchases eyewear including complete pairs (frame and lenses), lenses only or frame only. The patient's acknowledgement and permission is required. EPP may also be sold on safety eyewear The Eyewear Protection Plan (EPP) is not applicable for Cartier frames. All Patients should receive the Eyewear Protection Plan Terms and Conditions.

3 Moments to Sell:

1. During Sale on Order Worksheet (pricing screen)
2. At checkout via a final reminder prompt
3. At dispense (processed as Exchange > Add Protection Plan).

Procedure

1. The purchase price of the Eyewear Protection Plan is $35 for any type of frame (less exclusions) or lens (i.e., Single vision or Progressive).
2. It may ONLY be sold at the time of purchase or dispense.
   - The EPP cannot be sold after the patient leaves the practice with their dispensed eyewear, and protection can never be sold on damaged eyewear.
3. The Eyewear Protection Plan can be redeemed anytime within 1 year of original purchase and the replacement policy includes:
   - Cracked or scratched lenses
   - Cracked or broken frames
   - Breakdowns due to normal wear and tear
   - Defects in materials and workmanship outside of manufacturer warranty
   - Accidental damage from handling
   - Unlimited use during the term (within 379 days from date of purchase)
4. Patients must pay a $25 co-payment at the time of redemption. This applies to frame only, lens only, or complete pair redemptions. Patient can redeem as many times as needed within the 1-year period.
5. The Eyewear Protection Plan protects for 1 year after purchase of the program for damaged product. The clock starts at the time EPP was purchased – sale or at dispense.

   Example:
   - If they buy glasses and EPP on February 1, 2023 – plan is valid through February 1, 2024.
   - Eyewear must be presented and returned (even if in pieces). EPP doesn't cover loss or extend our 30-day promise guarantee.
6. The patient must select the same frame and lens, if available. If not available, then a new comparable frame or lens may be selected.
   - If the product is up to or equal to the original retail value, then the patient is responsible for the EPP copay. If the frame is less, it may be necessary to use the Misc. Repair UPC 410000225387 to increase the receipt total amount to match the expected $25 subtotal EPP copay. If it's the same exact price, just make sure to add any discounts from the org. sale and the math should work. Document this in the transaction notes if applicable.

- If the product is more than the original retail value, then the patient is responsible for the price difference plus the $25 EPP copay. It may be necessary to use the Service Reconciliation/Manager Discretion code to adjust the amount due in the system. Document this in the transaction notes if applicable.

7. Eyewear Protection Plan redemptions/claims cannot be extended outside the 1-year purchase period.
8. EPP sale and copays are non-discountable items in our point-of-sale. Ciao! Optical has measures in place to prevent discount applying; there is no manager override available either for these two items.
9. Practice Managers are responsible to ensure all team members are offering the Eyewear Protection Plan to every patient and the site has a sufficient supply of the following items (available for re-order through Central Purchasing):
   - EPP Sales Aid – CP# 3051662
   - EPP T&C Tear Pad (Terms & Conditions) – CP# 3051663
10. Team members are accountable for proper execution regarding selling the Eyewear Protection Plan and distributing the plan documents.

Using the Eyewear Protection Plan

Using Protection Plan (redeeming):

- Process as an exchange and use the following reason codes: Service Quality, Using Protection Plan, and then choose the appropriate redemption type: Complete EPP, Frame EPP, Lens EPP.

Adding Protection Plan:

- If a patient did not purchase the EPP at the time of their eyewear order, they can purchase it at dispense.
- Process as an exchange and use the following reason codes: Service Quality, Add Protection Plan.

Removing Protection Plan:

- Process as an exchange and use the following reason codes: Service Quality, Remove Protection Plan.

Details to Know

- Sales Tax: Sales tax may apply to the EPP Sale and Replacement Copay; varies by state and county tax rules. This is managed automatically within your point-of-sale. For example, EPP and Copays may be taxable, even if the eyewear is not.
- Sponsorship: We are partnering with Asurion, who is the market leader on protection plans. They will support us and our patients.

FRAME RECALL

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Policy

All merchandise may be recalled from locations due to age, quality defects, or to balance inventory through redistribution, etc. It is important for locations to return all Universal Product Codes (UPC) indicated on Recall Worksheets.

Procedure

Use the Recall Dashboard to key recalls during the designed date range. Recalls will be prompted from and communicated to sites by Operations or Product teams.

- All frames must be thoroughly inspected for damage prior to keying. Any frame determined to be damaged must be damaged out in Inventory Management located in the CIAO! Toolkit and must not be shipped back to the NAASC under any circumstances. Any item that is determined to be damaged upon arrival to the NAASC will be damaged out and attributed to the store.
- Recalls must be completed within the timeframe communicated, then keyed and submitted in Inventory Management. The store must always prioritize following the Quantity to Keep column in the Recall Worksheet before all other columns to ensure accuracy. Once the communicated timeframe has passed, recalls can no longer be completed. If the recall was not entered into Inventory Management during the available timeframe, any frames pulled cannot be shipped out under any circumstances and must be returned to the sales floor or backstock.
- Prior to shipping, all frames must be accompanied with their correct case. If the correct case cannot be located, the frame must be placed in a polybag. All recall boxes must be packed neatly to ensure damage does not occur during transit. Never include frames that cannot be keyed in Inventory Management and / or are not part of the recall.
- Once processed, frame recall boxes must be shipped out immediately, utilizing Easyship (US) and ICS Courier (CAN) in the CIAO! Toolkit for label creation.
- The NAASC will process all frame recalls within a four-month timeline. Managers must check Inventory Management to ensure receipt of the recall shows in the system. If the timeline provided has lapsed and receipt of the recall still does not show, please email TeamVision Ops.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

FRAME HOLDS

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Policy

Team members may put frames on hold for patients and other team members for 3 days. The Practice Manager (PM) must approve any holds for frames that will be held for more than 3 days. Product can only be held for 7 days total.

Procedure

1. Place the frame in a tray and include the following information:
   - Patient's name
   - Patient's telephone number
   - Team members name
   - Date the frame was put on hold
   - Date the frame is to be purchased
2. Inform the patient that the frame will be held for 3 days and that if they do not purchase the frame within the noted time frame, the frame will be put back in the optical dispensary.
3. Place the tray in a secure area.
4. Monitor frame holds and return to optical dispensary after 3 days should the patient not purchase.

HIPAA/PIPEDA

Policy

The Company takes the privacy of our patients', customers' and consumers' information and compliance with HIPAA (Health Insurance Portability and Accountability Act) and PIPEDA (Personal Information Protection and Electronic Document Act) seriously.

- HIPAA applies to U.S. locations.
- PIPEDA applies to Canada locations.

The Company complies with the mandates of HIPAA and PIPEDA not only because it is the law, but because it is the right thing to do for our patients, customers, and consumers. Patients and customers convey information to us that they often consider to be sensitive. They expect us to protect that information.

- For that reason, all team members must be trained to receive that information in as private a place as possible, to use soft conversational tones when speaking about private information and to be aware of who is standing nearby if sharing information with a customer verbally or at the computer terminal.
- All practice team members must also be aware of how they handle any paper or electronic display related to the patient, customer or consumer.
- Taking care of the patient's, customer's and consumers' information is everyone's responsibility and something that our patients and customers will appreciate. **If you have any questions, please email the Privacy Office at privacyoffice@luxotticaretail.com.**

Here are some basic principles to remember:

- Do not leave patient/customer files out in a public area. This includes the contact lens room.
- If you need to step away from the point of sale in the middle of a patient transaction, always enable the screen saver to avoid others seeing private customer information.
- Promptly retrieve any paper receipts, copies or faxes.
- Always destroy paper with PHI (Personal Health Information) – this must be accomplished by shredding. Remember that tossing it in the trash is not the proper way to dispose of PHI.
- At the end of each day, be sure all PHI is properly stored in a safe place.

Procedure

- Every team member must complete HIPAA training timely. The law requires all new team members to complete HIPAA training before accessing any protected health information on their 1st day of employment. HIPAA refresh training is required on a semi-annual basis.
- Provide the NPP (Notice of Privacy Practices) to all patients and customers at the beginning of service.
- Many or most patients and customers will not take the NPP with them as they've seen it many times over the last few years. The law does not require the customer to take the brochure; it simply requires us to offer it.
- Some patients or customers may refuse to sign the log or statement. If so, that is okay under HIPAA. It is simply your responsibility to ask for their acknowledgement. NEVER refuse service to someone because they refused to sign the signature capture device.

Policy

Practice Managers are responsible to ensure all system needs are addressed in a timely manner.

Procedure

1. **Systems Support (SS) process for reporting data or equipment issues with routing.**

   This process is to be used any time that the location cannot produce an order due to improper routing, or incorrect data. Examples that you would report:
   - Order will not print, transmit, or route accurately.
   - Receiving orders with SKUs for lens designs that are not part of your model stock.
   - Order tickets always printing as surface when finish lenses are in stock.
   - You notice that library measurements for a particular frame style has Surface or finish ticket information missing or consistently wrong.

2. **Equipment Configuration**

   This process is used for inaccuracies in lab type or inaccurate equipment. Examples would include:
   - Receiving surface orders in a finish only lab.
   - Parameters on the ticket are for an incorrect lab type.

3. **Resolution Process**
   - Attempt to edit the order ticket in the lab processing screen to correct the situation and not delay the customer order completion. Connect with retail before tender if needed to edit and retransmit.
   - Make a copy of the work ticket for your records. Legibly document the problem on the copy and maintain for specific data on possible trends.
   - Contact System Support to report the problem. Be prepared to provide detailed information up to and including faxing in a copy of the work ticket. Please provide as much information as you have and be sure that your contact information is included in the incident for follow- up.
   - Notify the customer via their preferred contact method on the tender ticket if the issue will cause a delay to the promise time.
   - Contact your ROM regarding the problem. (email any consistent issues or feedback to your ROM along with any supporting materials.)
   - System Support will capture the incident and provide a tracking number to the lab. The incident will be forwarded to the appropriate team/s to address the incident. ROM should follow Fixed Assets Transfer Disposals SRM Procedure to correct any inaccuracies due to equipment moves.

Policy

Using Company Systems for Unauthorized Use

Per the Company's IT Acceptable Use Policy, employees should not use Company systems (laptops, tablets, servers, networks, etc.) for personal use or access non-business-related information or websites. Accessing applications not found on home screens or in the internet browser is strictly forbidden without direction from Systems Support or a company communication.

- Team members will not install software without approval and assistance from Systems Support. All software purchases must be made through the company volume purchasing program, and not through an individual account (such as an Apple ID).
- Tablet users will not modify device hardware or software in a way that changes the nature of the device without Luxottica IT management review and approval.

Mobile Device Management (MDM): Luxottica IT department uses the AirWatch mobile device management system to secure tablets and enforce policies remotely. Any attempt to contravene or bypass the mobile device management installation or operation on a device will result in immediate disconnection and disciplinary action.

Support Only Folder on Tablets

The folder named Support Only found on the tablet should not be accessed at any time unless guided by a System Support representative, directed by company communication or for passcode resets.

Procedure

Securing the Tablets

Managers are responsible for protecting all company assets; including securing tablets. Team members are responsible for securing tablets at all times. Tablets should always remain in carrying case or in the hand of the team member. Team members are responsible for returning tablet and carrying case to Manager on Duty for any breaks and at the end of their shift. Tablets are for team member use only and should not be handed to patients unless they are using the tablet as a reading card or other digital resources (i.e., Lens Simulator).

- Ensure laptops and tablets always remain in the practice.

Management/Key Holders are Responsible for the Following

- Maintaining and securing all laptops and tablets.
- Ensuring laptops and tablets are never removed from the practice, as they are property of EssilorLuxottica.
- Ensuring laptops and tablets are not shared between locations for any reason.
- Completing an Incident Report and partnering with your Field Leader and Operations immediately for any lost or stolen laptops and tablets.
- Returning all laptops and tablets promptly during Upgrades and Refreshes.

Opening and Closing Procedures

Opening

- Manage laptop and tablet distribution as team members begin and end their shifts, sharing tablets may be necessary.

Closing

- Clean laptop and tablet screens with polishing cloths and avoid spraying tablet directly with any liquid cleaner.
- Secure laptops and tablets as team members leave.
- Plug in each laptop and tablet so they will be fully charged when the practice reopens.
- Count laptops and tablets to ensure you have all practice owned tablets.

Lost, Damage, & Stolen Procedure

- Contact Operations to identify asset number and to report missing laptop or tablet to System Support (SSS). Record the ticket number provided by representative.
  - Call Systems Support to report lost, damaged, or stolen tablets. Call (833)-467-4243, Option 3.
  - Email the Field Leader and Operations to report stolen or lost tablet and provide ticket number from SSS.
- Fill out Incident Report and include the asset number for the tablet (i.e.AO02962) and SSS ticket number.
  - Asset Protection will notify SSS on when to begin the depot process to replace the tablet. SSS will order the tablet, and it will be delivered to the store.
  - Contact the police for a stolen tablet IF directed.

LENS SUBSTITUTIONS

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Policy

Occasionally it may be necessary to substitute a Customer's lens selection to meet their delivery expectations. Any "Customer Service" substitutions that change the Customer's transaction product selection (Lens Substrate/ Material, Features and/or Lens Type bifocal size or type) should be handled through Ciao! Optical Customer Order to maintain accuracy as well as appropriate pricing. The Customer should never incur the cost of an upgrade due to an acceptable lens substitution. Additionally, if a lab team member or manager determines that a lens substitution is necessary to complete a Customer's order, management must modify the Customer's transaction in Ciao! Optical Customer Order as an exchange and follow the procedures outlined below. Document the reason for the substitution within the Customer Notes section of the customer profile.

Procedure

1. The following "substitutions" do not require an exchange and would be considered "same lens" when using the same lens substrate/material, lens features and lens style.
   - Different Vendor
   - Different Vendor/Blank
   - Same Vendor, Different Blank
   - Same Vendor, Different Base Curve
   - Different Vendor/Base Curve
   - Same Vendor, Different Blank Size/Base Curve
   - Different Vendor/Blank Size/Base Curve

   NOTE: Transactions must still meet all Luxottica Retail Quality Manufacturing Standards. Please make applicable adjustments in Inventory Management and LPA to ensure inventory is accurate.

   Examples of substrate/materials, lens features, and lens styles are:
   - Substrate/Material – Plastic, Polycarbonate, Glass, High Index.
   - Lens Features – Scratch Resistance, UV/Tint, Antireflective Coating, Polarization, Photo Chromatic, Blue Filter.
   - Lens Styles – Single Vision, Bifocal/Trifocals (Matching size/style), Progressive (MVP, AVP, Varilux, etc.).

2. Occasionally, there are times when it may be necessary to fill a Customer's order with a substitution/temporary lens solution to meet the customer needs.
   - All of these lens changes must be exchanged within Ciao! Optical Customer Order.
   - A note citing the specific transaction, reason, and discount amount must be documented in the Customer Notes in Ciao! Optical Customer Order as well as in the Transaction Notes in Ciao! Optical's Tendering Application.
   - The Customer must always be notified of the substitution and be provided a copy of the exchange receipt.
   - A lens upgrade must be in compliance with the Prescription Change Policy and should never change the Substrate/Material or the Lens Type without Customer consent but may provide the Customer with an additional Feature.

LENS USAGE

Policy

Lab breakage is defined as any processing error that results in frame or lens spoilage. Specifically, a lab breakage occurs if the eyewear does not meet the Company's quality and cosmetic standards. The frame or lenses are considered a lab breakage if the error is discovered any time during the manufacturing process, including final inspection.

Procedure

Lens

1. Lens with OPC broken during processing:
   - Attach box top/lens package at time of breakage to the lab worksheet (will go in Lab DCR – Daily Closing Record).
   - Request a new lens from the Ciao! Optical Lab Processing Application (LPA) and enter the breakage reason and the Team Member responsible.
   - If needed, Lab Managers may investigate reason for breakage and coach Team Members.
2. Outside Lab (RxO) Breakage(s):
   - Re-order the lenses using the outside lab remake feature Lab Processing Application (LPA)
   - Select "In Store Breakage of RxO" reason code along with the appropriate cause for breakage.
   - Document on Lab Ticket the breakage reason and Team Member (will go in Lab DCR – Daily Closing Record).
   - If needed, Lab Managers may investigate reason for breakage and coach Team Members.

Outside Lab Orders Rejected

1. Partner with a secondary qualified Team Member to verify and authorize that the order does not meet quality standards before re-ordering.
2. Re-order the lenses using the outside lab remake feature in Lab Processing Application (LPA) and select the appropriate outside lab reason code.
3. Document on Lab Ticket the breakage reason and Team Member (will go in Lab DCR – Daily Closing Record).
4. If needed, Lab Managers may investigate reason for breakage and coach Team Members.

Frames

- Patient's Own Frame (POF): In the instance of POF breakage, the patient can select a new frame, and the eyewear is entered as an exchange.
- Complete Pair: If a new frame is broken in the lab, select the same frame from inventory and complete the order.
  - For inventory purposes, the Practice Manager or Assistant Manager should adjust the new frame in Inventory Management as Damaged. DO NOT process as an exchange.
  - If another frame is not available, either re-style into a different frame (processed as exchange) or place a 'Special Order' for a replacement frame. Adjust inventory though your Inventory Management System (Fiori).

Note – contact the patient/customer throughout this process.

Defective Lens

A Defective Lens is defined as any imperfection in lens discovered before edging and mounting. If imperfection will be cut off during the edging process, use the lens. This is applicable to on-hand Finished Single Vision Lenses from RxO. If you need new lenses, reorder through the Lab Processing Application (LPA) and select the defect reason option.

- If applicable, attach lens packages (of defective lenses) to the original and new lab worksheets for the Lab DCR.
- If needed, Lab Managers may investigate reason for breakage and coach Team Members. For Lenses Fulfilled Out

Miscellaneous Usage

Any lens usage outside of manufacturing including training, equipment calibration, ROM specific usage, defect, voids, incorrect packaging.

1. Enter the lens as Other Usage found in Inventory Management
2. Attach box tops/labels to the Lab Reconciliation report.
3. Note a reason (with signature), on the Lab Reconciliation Audit for each lens listed and communicate to Manager/ Key Holder.

Reconciliation Of Lenses

1. Lab Closing Procedures
2. Complete orders through the Ciao! Optical Lab Processing Application throughout the day.
3. At the end of the day, print the Lab Reconciliation Audit.
   - Review this report and account for all orders.
   - Indicate that completed times on lab tickets match report.
   - Indicate that lenses on lab tickets match those indicated on the report.
   - Ensure all breakages are accounted for by matching SKU/UPC tags to report under proper Order # and Customer Name.
   - Ensure all "Usage" lenses are accounted for in Inventory Management with specific information (IE: Edger calibration). Lenses and/or box tops must be kept with DCR.
   - Ensure eyewear that has been cancelled has a specific order # and ticket attached to it. SKU/UPCs MUST accompany lab ticket.
4. The closing lab supervisor or manager signs the report and places it with other lab paperwork.
5. If the paperwork does not reconcile, alert the Lab manager and/or Practice Manager immediately.

Policy

Each practice is designed to project an image to our patients as well as provide them with a safe eyecare and shopping environment. It is the Practice Manager's responsibility to ensure that the practice is properly maintained. Due to insurance and liability issues, please use the Maintenance Portal in the Ciao! Toolkit for all your service needs.

Procedure

Requesting Maintenance

- ***All non-emergency maintenance requests should be placed through the Maintenance Portal link in the CIAO! Toolkit. For EMERGENCY requests only, you may contact the Maintenance Hotline at (513) 765-3500.***
- Emergencies are issues that negatively affect sales or when safety or security has been compromised. In an emergency contact the Maintenance Hotline and give the dispatcher the following information about your location: Site Number, Brand, Caller Name, Phone Number, and Nature of Emergency.

Request Classified as "Urgent"

- Contractor call within 8 business hours
- If request is after 5pm EST, call may not be received until noon on next business day

  Examples:
  - Entry Door Lock malfunction (location cannot be secured) Emergency/Not Urgent
  - HVAC-Other issues such as noise, dripping
  - Plumbing-Faucet not working, leaking
  - Electrical-Multiple lights out

Request Classified as "Normal"

- Contractor call within 2 business days (M-F)

  Examples:
  - Broken chairs
  - Store awning
  - Signs repair
  - Fixture repair
  - Cabinet repair
  - Ceiling tile replacement

Tasks For Cleaning & Maintaining The Store
Team members should perform the following tasks to properly maintain the appearance of the practice:

Daily Tasks
- Vacuum carpet and clean flooring per Floor Care Guidelines (see Janitorial Services section below).
- Clean cabinets, counter tops, shelving, showcase tops, and mirrors.
- Clean entry doorway, mats, and vestibule.
- Ensure entry door locks and gates are working.
- Remove trash.

Weekly Tasks
- Clean telephone and computer equipment.
- Clean and organize storage room.
- Ensure all interior locks cases and drawers are working.
- Check storefront signage.
- Check programmable thermostat to assure set-back temperatures for off-hours are working properly.

Monthly Tasks
- Check fire extinguishers, emergency lighting, exit lighting, fire alarms and sprinklers.
- Check toilet(s), sink(s), and hot water tank(s) for leaks.
- Inspect all air conditioning ceiling vents and place a request through the
- Maintenance Portal if cleaning is required.
- Clean interior and exterior glass and window frames monthly.
- Remove and discard ALL storage in the mechanical/electrical rooms within 3 feet of electric panels.

Preventive Maintenance Program
The Company manages numerous vendors who routinely visit locations to perform preventive maintenance activities.

Category
- Fire Extinguishers Inspections
- Handyman by Request ONLY
- HVAC Equipment Inspections
- Janitorial (Floors) *Cleaning
- Janitorial (Windows) *Cleaning
- Janitorial (General) by Request ONLY
- Landscaping by Request ONLY
- Pest Control by Request ONLY

Air Conditioning (& Heating, Ventilating) (HVAC)

- The Company uses regional vendors to perform quarterly preventive maintenance visits on every HVAC unit.
- Corporate standards for “Set-Point” and “Set-Back” temperatures (if applicable) are as follows:

Store Area	Season	Occupied	Unoccupied
Lab Area	Cooling	70	78
OD Area	Cooling	72	80
Reatil Area	Cooling	72	80
Backroom Area	Cooling	72	80
Lab Area	Heating	66	60
OD Area	Heating	68	60
Reatil Area	Heating	68	60

Override adjustments = +/−2*F from programmed set-points
Override adjustments of programmed set-point = 4 hrs.

Setting the thermostat lower than the temperatures listed above may cause the unit to “freeze up”. Periodically check programmable thermostats to assure set-point temperatures and occupied/unoccupied settings are properly programmed. If the unit is not functioning properly, check the following before placing a request for service through the Maintenance Portal or contacting the Maintenance Hotline (for emergency requests):

- **Cooling Season Freeze-ups:** If the thermostat has been set below 70 degrees F, the unit may have frozen up and needs defrosting. Turn the unit off at the thermostat and raise the temperature to the appropriate setpoint temperature listed above. The unit will defrost in approximately 12 hours.
- **Loss of Power:** Check the air conditioning/heating breaker in the electrical panel box to be sure the breaker is in the ON position

Fire Extinguishers, Emergency & Exit Lighting

Fire Extinguishers:

All inline (non-kiosk) locations are equipped with at least one fire extinguisher (i.e., ABC or Multi-Purpose Dry Chemical). The location and quantity are mandated by the local fire department. The Company uses nationally certified vendors to inspect and tag all fire extinguishers annually which are required by law. Field or practice management is required to inspect these extinguishers monthly. Please place a request through the Maintenance Portal if the tag is not up to date or recharging is necessary.

Sprinklers & Fire Alarms:

Typically, these systems are routinely monitored and checked by the landlord. If there are any issues regarding these systems, please contact the property landlord BEFORE placing a request through the Maintenance Portal.

Emergency & Exit Lighting:

Upon a power failure, the emergency and exit lighting should operate on battery power and remain lit for about 90 minutes to allow proper evacuation. The circuit breaker for the emergency and exit lighting should be locked in the ON position. The Company requires field or practice management to inspect these fixtures monthly.

- **Non-Illuminated Emergency Lighting** (i.e., wall mounted flood lights) can be tested by pressing a test button on the unit. Lighting should remain 'ON' during this exercise.
- **Illuminated Emergency Lights and Exit Lights** can be tested by turning off the dedicated circuit breaker or depressing the 'test' button on the fixture. Lighting should remain 'ON' during this exercise. If any of these tests fail, place a request through the Maintenance Portal.

Lighting (Lamps)

The Practice Manager is responsible to order and replace lamps as necessary. Be sure to keep an adequate supply of lamps in storage.

Lamps can be ordered directly from our suppliers by calling:

- All Locations: Regency Lighting 1-888-405-6418.
- Their call center is available from 8am-8pm M-F EST. Follow the prompts and you will be able to speak directly with a service representative.
- Have the lamp(s) to be replaced with you when calling as they will be able to help you identify the correct replacement lamp(s) and quantity for your specific store.

Note: Do not purchase lamps at local supply houses. You may not be selecting the correct lamp color (CPI) or wattage and are likely to pay more.

Floor Care Guidelines

Hard Surfaces (i.e., wood, vinyl, rubber): Sweep and mop daily using a neutral cleaner. Do not use any soap or detergent products.

Carpet Care Program:

- Vacuum carpet using a commercial grade upright vacuum sweeper every night before leaving,
- Clean spills IMMEDIATELY using a clean white cloth, or the carpet cleaning kit provided through Central Purchasing (CP# 3029715). Press down on rag repeatedly until spot looks removed. If still visible, add room temperature water and repeat blotting process. Do not rub or agitate.
- Place 6’ to 10’ barrier mats at the point of all exterior entries.
- If requested, supervise the carpet cleaning vendor to assure they use the “hot water extraction” method ONLY. ABSOLUTELY NO CHEMICALS OR ANY ROTARY/BONNET MACHINES SHOULD BE USED TO CLEAN OUR CARPETS. Use of either will void our carpet warranty.

Bodily Fluid Cleanup:

- Do not touch the fluid or the person who has the bodily fluid accident. Ask the person if they would like to seek medical attention. Call 911 if the person consents.
- Do not attempt to handle or clean-up the bodily fluids yourself. Treat any released bodily fluids as potentially infectious.
- Have all patients and team members stay away from floors or furniture surfaces with bodily fluids present. Do not have anyone touch or attempt to wipe clean these surfaces.
- If practical, use garbage bins or buckets to create a restricted area around the fluid spill.
- Call the Maintenance Emergency hotline at (513) 765-3500 to order a professional and fully-equipped janitorial service to clean-up bodily fluids and correctly dispose of all wastes.
- Do not place a request in the Maintenance Portal.

Locks And Keys

For lock repairs, replacements, and key changes, place a request through the Maintenance Portal. The Company provides the following multi-key locks:

- Insta-Key locks for all exterior entry door locks.
- Keymatic locks for casework in kiosks and inline locations, if applicable. Both locks have settings for nine (9) different keys. The only reasons for changing out any locks are as follows:
- Asset Protection has approved or initiated a request to change out all or some of the locks due to various reasons (i.e., theft, terminations; if keys were not returned, etc.).
- Lock(s) are inoperable.
- Locations that do not have a multi-key lock and experienced a break-in by key.

Casework Locks: Some locks can be easily replaced by removing the mounting screws and re-installing a replacement mechanism; thereby, eliminating the need for a locksmith.

Risk Management (Catastrophic Events)

Examples of catastrophic events would be damage from storms, fire, earthquakes, automobiles, break-ins, pipe bursts, ceiling collapse, etc..

- Contact (866) LUX-HELP (589-4357)
- Take many photos of the affected areas.
- Contact the Maintenance Hotline (513) 765-3500 to report the emergency or enter the request through the Maintenance Portal under the Risk Management category.

Utilities - Energy (Electric, Water, Gas)

Billing and Services – If stores have any issues regarding electric services (i.e. shut-offs, spikes, etc.) or any other utility issues, please send an email to Energy.Services@luxotticaretail.com

Vacuum Exchange Program

All carpeted stores must have a functional, commercial vacuum to properly maintain their carpets. So, having an effective program to maintain your vacuum is critical. This program gives practices direct access to a single source vendor who can provide all vacuum related equipment, parts, and supplies.

If for any reason your vacuum does not work or replacement parts/supplies are needed, place a request for service through the Maintenance Portal. The vendor will immediately ship parts/supplies (i.e., bags, filters, belts, etc.) or a new/repaired vacuum from their inventory as an exchange. Upon receiving a vacuum, the practice will be asked to either dispose of the non-repairable vacuum or return the repairable vacuum to the vendor in the same box. The vendor will repair the old unit and reuse for the next requesting practice.

Ophthalmic Equipment (If Applicable)

Before requesting costly repair service, you should first reference the Product Instruction Manual in trying to resolve equipment issues. These manuals are shipped with all new equipment and offer many basic user friendly maintenance tips. Here you will also find helpful trouble-shooting suggestions. Replacement manuals can be requested thru the Maintenance Portal.

If the problem still exists after referencing the Product Instruction Manual, place a request through the Maintenance Portal. Be prepared to enter the following information: Manufacturer, Model, Serial Number, problem description.

Preventive Maintenance:

Routine cleaning & calibration of non-high-tech exam equipment can be requested through the Maintenance Portal. The routine use of equipment dust covers is strongly recommended each night, this will help reduce maintenance costs. Phoropters should have the mechanical assemblies cleaned and lubricated once every 3 or 4 years depending on usage.

High-Tech Equipment Service:

The newer high-tech exam equipment generally does not require preventative maintenance. Service should only be requested in the event of an error message being displayed that is not able to be easily corrected.

Housekeeping Supplies:

The following are available thru Central Purchasing: Regular & Micro-Size Q-Tips, Lens Cleaning Cloths, Pure 100% Isopropyl Alcohol, Blower Brush, and Equipment Dust Covers.

Daily Tasks

- Cover the exam instruments when not in use.
- Check the dust covers for rips. Replace as needed via Central Purchasing.
- Blow or brush off dust from all equipment; blower brush available via Central Purchasing (CP# 3000721).
- Wipe off the outer surfaces using a clean, soft silicone cloth and IPA alcohol as necessary.
- Clean the fragile glass or plastic surfaces using Pure 100% Isopropyl Alcohol, a lens cleaning cloth and standard Q-tips. Do the same with the eyepiece lenses on all instruments.
- Clean the small nozzle openings of the pretest instruments using micro Q-tips and Pure 100% Isopropyl Alcohol.
- Clean the plastic chin/head rests with standard alcohol swabs. Replace the chinrest paper pads as needed.
- Verify inventory of crucial replacement lamps, fuses, batteries and chinrest paper. Order spares as needed.

MEDICAL RECORD REQUEST

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Policy

To ensure patient privacy, all team members must follow these guidelines when completing a patient request for medical records (including request for copy of Rx). A patient may request in person, call, email, or fax a request for their records, and we are obligated to provide their records once verifying their identity.

Procedure

Validate the identity of the patient:

- Name, DOB, Phone #, and Address should be verified.
- Patient may provide verbally.

Methods to send records:

- A secure email can be sent using Outlook 365 (change sensitivity to Confidential and Encrypt the email message).
- A traditional fax can be sent (analog). E-Fax and electronic and not allowed; follow process to send secure email.
- EHR Patient Portal is the preferred method of sending records. (If available).

What records are available:

- Spectacle and Contact Lens RX.
- Complete Exam Records.
- Any information captured and documented during the exam.

Frequently Asked Questions

A patient asks for their Rx a month after their exam to buy online.

- Per the process above, you need to verify patient and provide Rx. No signature or request for is needed to provide.

Patient asks for their pupillary distance measurements (PD)?

- This is not typically part of the exam process. PDs are taken specifically for optical orders to support frame measurements/fit and manufacturing. These could vary depending on frames and prescription type.. However, if PDs are captured in the examination and OD charted this in the E.H.R (Electronic Health Record system), it is part of their record and therefore they are entitled to request it. This is not the norm as this is typically not captured during the exam.
- For more information, see Policy & Procedure > Digital Measurements > PD Measurement Request.

Policy

Ciao! Optical records all special orders in Order Tracker on the Open Orders tab. All orders that have new updates or need attention are shown on the Take Action tab. Use these lists in conjunction with the Care Unit to organize and track all Special Orders.

Procedure

Patient Order Follow-up

- Review Order Tracker daily to identify delays on orders that have or will not arrive by the date quoted to the patient.
- The opening Manager is responsible for making sure Order Tracker is reviewed daily and patients are notified of any delays.
- Check the Take Action list for delay messages that may indicate a frame request for processing.
    - The Promised Date in Order Tracker is dynamic and automatically updates when a delay is expected.
    - The original Promised Date and new Promised Dates will both be visible.
    - Contact the patient to notify them of any delays that will impact the delivery quote BEFORE their promise time expires.
- Notifications on completed eyewear are sent automatically for patients with preferred method of contact of text or email when completed in LPA. Patients choosing a phone call as their preferred method of contact should be contacted by a retail employee after lab completion.
- Upon final inspection, ensure the order is completed in LPA. Insurance claims will not transmit to EyeMed for processing if orders are not timed out or completed.
- Ensure the Open Orders and Take Action tabs are up-to-date.

Using the Open Orders Tab in Order Tracker

- Late Rx Operations (RxO) facility orders will be indicated on the Take Action and Open Orders tab displaying a new promise date for that late order.
- Luxottica RxO facilities do not ship out orders every day. If the anticipated ship date is a non-shipping day (Sunday or Holiday), it will ship out on the next shipping day. If you do not check your Take Action tab and respond properly based on the status listed, you may cause a delay or cancellation of a patient's order that could've been prevented.
- Recognize that this is a manufacturing process and therefore product does break or have out-of-stock issues or failed inspections, so reviewing Order Tracker and the status of orders is imperative to good customer service and timely escalation to prevent unnecessary refunds.

Order Escalation

Orders are automatically escalated based on their promise delivery and are visible through daily e-mails to the practice. All updates are provided to practices in Order Tracker.

For more details, see the Order Management Guide in Ciao! Toolkit > Documents > Lab > Order Management.

Policy

Personal checks are an acceptable form of payment for our products and services. However, the acceptance of checks creates a substantial financial risk for the company. Acceptance of a bad check (one for which we cannot recover funds) amounts to giving our products and services away for free, something which we cannot afford to do. Therefore, it is essential that every Team Member who is responsible for accepting payment from patients/ customers be aware of the following procedures.

General Guidelines:

- Retail management is responsible to ensure that proper check acceptance procedures are in place at the location.
- A manager must authorize any check that is written for over $500 and/or when one or more of the check acceptance procedures is not met.
- Checks are only accepted as a means of making a purchase. Never provide cash for a check under any circumstances. This includes checks presented by store employees for cashing. Customers or Team Members who wish to have a check cashed should be directed to their nearestfinancial institution for this service.
- We do not accept cashier's checks as an acceptable form of payment for our products and services.
- Checks must be made out for the amount of purchase only. It is unacceptable to give the customer cash as change for a check written for a higher amount.
- Third party checks (those which are made out to another person, then endorsed over to the person wishing to make the purchase) are not acceptable. Every check accepted must be made out to your location's business name and signed by the person making the purchase. Team Member's payroll checks are not an acceptable form of payment since they are made out to the employee and not to the professional business.
- Traveler's checks are acceptable if they are signed by the customer in the presence of the authorizing employee, who must then compare the signature to the customer's existing signature on the traveler's check.

  Note: American Express (AMEX) traveler's checks must be authorized prior to acceptance. The AMEX authorization number is 1-800-525-7641.

Procedure

1. Examine the information printed on the check and the check itself. Be certain that:
   - The patient/customer's name, address, and the bank name are imprinted on the face of the check.
   - A check number is printed in the upper right corner and the same number appears in the serial number across the bottom of the check. Checks without numbers must be refused. Checks with low numbers (under 200) may be accepted if all other information and identification is correct.
   - One edge of the check should show perforation marks. Checks are normally separated from either a check stub or a carbonless copy. Absence of perforations should alert you to an unusual situation. The check should not be accepted without first calling the bank to verify the existence of the customer's account and that sufficient funds are available to cover the check.
   - Any check including a printed statement explaining that the check is invalid if over/under a certain amount must be within the printed. statement. A check for any amount outside the printed statement must be refused.

2. Examine the information written by the patient/customer on the check. Be certain that:
    - The check is made out in ink.
    - The check is dated correctly. Never accept a check that is dated in the future.
    - The numerical amount and the written amount agree.
    - There are no erasures or alterations on the check.
    - The check is signed in the presence of the tendering Team Member. If the check has already been signed, ask the patient/customer to sign it again.
3. US Stores: Authorization is performed by Certegy, our check processing partner. Obtain authorization by entering the requested information into the Tendering Application (routing number, account number, check
4. number, driver's license number/State, and birth date). Electronic authorization is the preferred and quickest method; however, if electronic authorization cannot be obtained, you may call Certegy at 1-800-533-4909 for manual authorization.
5. Request a driver's license or government-issued ID from the patient/ customer. Verify that the signature on the check matches the signature on the patient/customer's identification. You will have already entered this
6. information during step 3.
7. Write the driver's license or state ID number, the state, and the authorization number on the front of the check.
8. If any of the criteria described above are not met or the check is for $500 or more, the employee must obtain management approval before accepting the check. The manager must review the check as described
9. above and document his/her approval by initialing the front of the check.

Checks Declined By Certegy

If the customer insists that the check is valid and sufficient funds are available, you may contact Certegy at 800-533-4909 for more information on the denial and to request a manual authorization. If the request for manual authorization is declined, apologize to the customer and ask the customer for a different form of payment.

NSF Procedures

When a non-sufficient funds (NSF) check is returned from the bank directly to the store:

1. Do not contact the customer or try to collect on the check. Serious legal issues could arise if collection efforts are not handled properly. Certegy handles all collection efforts on NSF checks. The chances of collection are greater when the NSF is current, so it is important to immediately mail the NSF check to the following address:

    Certegy
    Attn: Data Entry 3500 5th Street
    Northport, AL 35476.
2. Notify Treasury at 513-765-6662 to change the mailing address at the bank for the return of NSF checks.

Merchandise Returned on Outstanding NSF Checks

If a customer with an outstanding NSF check returns his/her merchandise, perform the following procedures:

1. Perform return transaction for the original sale. Select “Return Product” as the Service After Sale Reason. Select “Cash” as the payment type.
2. Do not refund any cash to the customer. This will create an out-of balance condition for the day. Notify Sales Audit (513-765-2525) as to the reason for the overage.
3. Notify Certegy (1-866-838-6092) immediately of the merchandise return. If there is no notification, the customer will remain at collections and will continue to receive requests from Certegy to collect on the NSF check.

Policy

It is important that team members understand how to apply insurance coverage consistently and accurately in accordance with the member's plan and coverage. This policy applies to all team members involved in selling eyewear, exams, and services with vision insurance (medical and routine). Every team member is responsible for the proper usage of a patient/customer's insurance benefits when tendered. Team members must understand and follow the patient/customer's specific insurance plan coverage and this policy to ensure insurance benefits are properly applied and transactions are properly tendered. Failure to process an insurance transaction correctly is against Company policy and may violate multiple state and federal laws.

Where your location participates in a network, failure to properly apply insurance may also constitute a breach of the Carrier's network agreement. Insurance benefits may cover exams, prescription glasses and prescription sunglasses, ophthalmic frame only, lens only and contact lens purchases.

This policy reflects funded insurance transactions as we administer claims for provider reimbursement. Material and Service Discount Only Plans (discount only without provider reimbursement) are not applicable to this policy as we do not administer claims for discount plans. Transactions are regularly audited by TeamVision and Managed Vision Care Carriers. Non-compliance violates Company policy and can result in financial corrections which negatively impact a location's profit. Manipulating or changing insurance benefits in any way, for any reason, including for customer, patient, personal or location gain, is in violation of insurance plan terms and is prohibited under state and federal law. This applies to US and Canada.

Remember the following key principles:

- Team members are prohibited from changing patient/customer benefits outside of insurance plan coverage when processing the transaction.
  - This includes waiving plan co-pays or deductible amounts.
  - Waiving copays or deductibles, or making other unauthorized changes to insurance benefits are strictly prohibited and may be grounds for discipline up to and including termination of employment and could result in criminal liability.
- Under this policy, team members are not prohibited from offering discounts to insured members on frames and lenses, so long as these discounts are provided consistent with the Company's discount policy.
- It is strictly prohibited to apply insurance benefits for anyone other than the specific individual covered on the insurance plan.
  - The name on the RX must match the name of the covered member.
- Most Managed Vision Care plans (US only) provide a discount on nonprescription (Plano) sunglasses. For example, EyeMed offers a 20% discount.
  - Always verify the Benefit Narrative from Ciao! Optical or a Carrier's Claim Management System for exact plan discounts.
  - Refer to the Insurance and Plano Sun Policy & Procedure for additional information.

Procedures

EyeMed/Aetna (Membership in Ciao! Optical):

1. Find Plan or Member in Ciao! Optical.
2. Check Eligibility.
3. Determine Out-of-Pocket Cost/Co-pays – Ciao! Optical should auto calculate pricing; these amounts should not need to be adjusted.
4. Complete sale to submit the claim.

Most other Carriers except for VSP (Assignment where we are not using Carrier's Claims Management process):

1. Identify Member's Insurance Carrier.
2. Confirm Benefits & Check Eligibility.
3. Select Plan in Ciao! Optical.
4. Complete Assignment Claim Form.
5. Determine Out-of-Pocket Cost/Co-pays – Ciao! Optical should auto calculate pricing; these amounts should not need to be adjusted.
6. Complete sale to submit the claim.

VSP (Assignment):

1. Identify Member's Insurance Carrier is VSP.
2. Confirm Benefits & Check Eligibility through EyeFinity.
3. Select Plan in Ciao! Optical.
4. Complete Assignment Claim Form.
5. Determine Out-of-Pocket Cost/Co-pays.
6. Edit the claim with the correct amount.
7. Complete sale in Ciao! Optical.
8. Complete the Order and Claim in EyeFinity.

Note – all VSP lab orders are placed in EyeFinity. For select locations that have in-office finishing, you may order finished single vision lenses from Plexus on-demand.

Select Carriers where Claim/Lab Order are managed through Carrier's process (excl. VSP):

1. Identify Member's Insurance Carrier.
2. Confirm Benefits & Check Eligibility through Carrier's Claim Management System (varies by carrier).
3. Select appropriate Plan in Ciao! Optical.
4. Complete Assignment Claim Form.
5. Determine Out-of-Pocket Cost/Co-pays.
6. Edit the claim with the correct amounts (Plan Pays should equal provider reimbursement amount submitted on claim).
7. Complete sale in Ciao! Optical.
8. Complete the Claim in the Carrier's Claim Management System.

Note – Fulfillment for these orders may vary by Carrier.

Claims for Medical Services (i.e., Medical Exam Billing):

1. Identify Member's Health Insurance Carrier.
2. Confirm Benefits & Check Eligibility through Carrier (varies by carrier).
3. Select appropriate Plan in Ciao! Optical.
4. Complete Assignment Claim Form.
5. Determine Out-of-Pocket Cost/Co-pays.
6. Edit the claim with the correct amounts (Plan Pays should equal provider reimbursement amount submitted on claim).
7. Complete sale in Ciao! Optical.
8. Complete the Medical Claim as designated.

Note – This process is applicable with any EHR (Electronic Health Records or PCM (Practice Care Management) System. All sales must be entered in Ciao! Optical while claims will be managed externally.

Policy

Unless authorized in writing, a prescription must be filled precisely as written by the prescribing doctor.

If you receive a prescription specifying a lens that we do not stock, you should contact the prescribing doctor to get authorization to substitute a lens we do stock.

- A new written prescription from the prescribing doctor should be obtained before filling the prescription. (This can be done by fax or email.)
- Always contact the prescribing doctor if there is any question or discrepancy regarding a written prescription.
- This policy is for eyeglass and contact lens prescriptions.

Procedure

Contact the prescribing doctor for any instances where you are unable to fill the prescription as written or if a patient requests a change from the original prescription.

Policy

Prescription optimization uses precise frame and lens measurements to customize the lenses for the specific frame selected, as well as its distance from the wearer's eyes to match the doctor's intended prescription. The lenses are manufactured precisely to this adjusted lens power, allowing the practice to provide the very best vision for our patient.

What does it mean to patients and team members?

- Optimized lenses provide sharper and clearer vision because they account for the position of the frame and lenses.
- The doctor's prescription remains as prescribed, the lenses are simply adapted for the frame's pantoscopic tilt, vertex distance, panoramic angle and where appropriate, wrap angle.
- The wearer's prescription from the doctor is optimized for a specific pair of glasses, so the optimized lens reading (neutralized lens power) cannot be used on other selected frames and lenses.

Procedure

1. Use the optimized lensometer reading, provided from the outside lab, when final inspecting lenses. Each pair of eyewear will come with at least one copy.
2. Enter the optimized lensometer reading in Ciao! Optical Customer Notes for each pair of eyewear with optimized lenses.
3. Provide the patient with a copy of their lens dispenser information form for their records. If order received without Optimization sheet provide information from the RxO lab ticket.
4. Retain the other copy and outside lab Rx ticket (if available) in the lab closing DCR.

Policy

Price changes allow locations to continue to offer competitive pricing to our patients/customers and keep product assortments fresh. The Practice Manager (PM) is accountable for ensuring price changes are accurately tagged and merchandised by specified timeline. The company may be fined by Government Weights & Measures for pricing inaccuracies.

Procedure

TeamVision executes price changes on select products. Price changes may be increases or decreases. This is based on manufacturer required manufacturer's suggested retail price (MSRP), brand price positioning, or due to aged product. Price changes are communicated one week prior to the day the retail price is effective.

Below is a general price change procedure:

1. Locate Universal Product Code (UPC) listed on price change worksheet.
2. Scan existing tag on each frame and print new tag.
3. Remove old tag and replace with newly printed priced tag*.
   - Frame pricing should be facing outwards towards customer's view.

4. Merchandise marked down frames:
   - Within brand frame board until frame recalled
5. If patient/customer selects frame prior to retagging, and price is lower in POS, you must charge the customer lower price. If price in POS is higher than tagged price, you must charge customer the amount on tag and discount price in POS.

***Do not retag frames until effective date. Producing tags in advance results in original pricing being printed on tag versus new price.**

PRICE OVERRIDES

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Policy

The purpose of Price Overrides is to mitigate unpleasant patient/customer experiences which result from discrepancies between displayed/advertised prices and prices in point-of-sale systems. Principled usage of price overrides is important so that the patient/customer experience is consistent and supports the TeamVision value proposition.

This policy applies to all team members involved in selling and dispensing product. The policy covers sales of complete pairs of eyewear, frames, lenses, accessories and contact lenses. It applies at all times. Every team member must understand and follow these processes and guidance to ensure that Price Overrides are not needed in the first place. This means that associates must:

- Maintain accurate prices on all frame tags
- Complete re-tagging as directed on time
- Ensure the correct price is charged when orders are entered In cases when a frame price tag shows a different price than the one in the system, it is appropriate to apply a Price Override. The override must ensure that the patient/customer is receiving the displayed/advertised price. Any discount, if one is required, must not be greater than what is necessary to match the displayed/advertised price.

Definitions

- Price Override allows team members with manager permissions designated in The Tendering Application (Xstore) (e.g., Managers, Key Holders) to change the automated price of a product or service, to reduce the amount that patient/customer must pay.
- Manager means all location management roles: Practice Manager, Assistant Manager, Team Lead, Lab Manager.
- Key holder is any non-management team member authorized to manage the open, closing, and managerial duties for a specified period and has manager permission in Ciao! Optical.

Consequences

Improper and/or unauthorized application of Price Overrides creates inconsistent patient/customer experiences and has a negative impact on financial performance. Failure to follow the guidance in this document constitutes a violation of the policy. For example (this list is not exhaustive):

- Application of a price override in the amount that exceeds the difference between displayed price tag and system price.
- Application of a price override when there is no price difference between tag and system.

Procedures

Any time a price override is needed, managers or key holders must:

1. Record the reason for a price override in the transaction notes in Ciao! Optical.
2. Before the end of the day, print a new frame tag with the correct price immediately following the transaction. Notify Systems Support (1-833-467- 4243) of any pricing discrepancies between the system and frame tags/lens price cards.
3. A closing manager or key holder must review High Risk Audit Report (Ciao! Optical Toolkit>Asset Protection), sign and date to confirm proper and necessary use. Report any discrepancies to the Practice Manager and/or Operations.
4. Practice Managers must report any violations or misuse to the HR Solutions Group at 1-866-431-8484.

PROCESS SHIPMENT

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Policy

All shipments must be tagged before being placed on the optical floor (Shipment Confirmation must also be completed).

Procedure

Once confirmation is complete, place shipment in secure location until placed on optical floor. Frames should be merchandised on the optical floor per Visual Presentation Standards.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

PHYSICAL INVENTORY

Policy

Physical Inventory is critical to ensure inventory accuracy, control shrink, and drive profit. Physical Inventory is conducted two times a year. All locations must achieve practice/site level shrink and inventory accuracy goals and adhere to inventory policies and procedures.

Procedure

1. Practice Manager (PM) must be present for the location's Physical Inventory. In extreme circumstances, a different manager or corporate team member may excuse PM from being present. In those circumstances PM is responsible for making sure that the leader assigned is fully trained to handle the responsibility.
2. PM must ensure damages, inventory adjustments, incoming shipments, recalls, and frame counts are processed correctly. Furthermore, they need to ensure all team members apply the 3R's (Recognize, React, and Respond) to reduce external theft. Additionally, PM's are required to conduct bag and locker checks (also includes location where bags are kept if lockers are not available)per policy. Refer to 'Asset Protection Locker & Bag Checks Policy & Procedure' for details.
3. PM must ensure Physical Inventory does not take place on retail floor or in doctor's office until after location closing (if applicable). Physical Inventory may be started in lab (if applicable) one (1) hour prior to location closing.
4. PM must:
   - Follow all inventory preparation activities and procedures within Inventory Instructions and Checklist (sent prior to scheduled Physical Inventory date).
   - Adhere to inventory "cut off" dates on key tasks which include inventory adjustments, etc. This information is communicated prior to each inventory within Inventory Instructions and Checklist.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

Policy

Right The First Time combines the behaviors from Consultative Selling with optical knowledge, accuracy in order entry, and leveraging our tools for measurements, frame/lens selection, and insurance resulting in eyewear our patients love. When something isn't right, we want the patient to return to the office so we can make it right! Many times, this results in an exchange, remake, or worse - a return of the product. Our goal is to get it Right the First Time for our patients and the Right The First Time Program helps to ensure we have awareness to each remake and provide training or coaching to reduce remakes.

It is every employee's responsibility to reduce remakes and deliver the highest quality vision care by following the Patient Journey:

- Explore patients' vision and lifestyle needs and map to our complete set of offerings – first pair, backup pair, and sun.
- Recommend the right lens solutions based on doctor prescription and patients' lifestyle needs – lens enhancements.
- Confirm patients' needs & recommended solutions.
- Ensure to enter patient's Rx prescription accurately into Ciao! Optical and as written by the doctor.
- Exceed patients' expectations by using EyeRuler 2 to precisely fit and measure eyewear.
- Prior to patient pickup, accurately final inspect eyewear to ensure patients visual acuity is met during dispense.

The Practice Manager (PM), or acting PM is responsible for ensuring:

- All team members understand the importance of entering a patient's prescription accurately into Ciao! Optical.
- A "Qualified" and an "Authorized" team member (2 team members when available) are involved in every potential remake.
- An Eyewear Analysis Form is thoroughly completed by the "Qualified" team member for each potential remake.
  - Each original team member's remake is captured on Eyewear Analysis Form and reviewed daily for behavior opportunities.
  - For every multiple remake for the same patient, the team member is observed and coached on correct RTFT behaviors.
- Accurate remake Reason Codes and Patient Notes are to be captured in the Ciao! Optical patient profile notes for team member accountability and tracking purposes.
- Observe and coach RTFT behaviors, correct as necessary, document team member commitments, and share RTFT Results and Eyewear Analysis Forms with Field Leader.

Procedure

Only "Qualified" and "Authorized" team member may assist patients with possible remakes due to the complexity of the service required.

- A "Qualified" and an "Authorized" team member (2 team members when available) must be involved in every potential remake.
- Locations who have single coverage may only have 1 team member available for remakes.

A "Qualified" team member is responsible for collecting all the necessary remake information and for completing the Eyewear Analysis Form.

- If the remake is for a possible prescription change the Eyewear Analysis Form must be provided to the patient's doctor performing the recheck.
- Upon reviewing and accessing the information, the "Qualified" team member should propose a solution recommendation for final approval to the "Authorized" team member.
- Upon resolution, the "Qualified" team member is also responsible for entering the Remake in Ciao! Optical and note into Ciao! Optical patient profile explaining the situation in detail.

Eyewear Inspection Process (EIP):

The Eyewear Inspection Process (EIP) is a program to help ensure the highest quality and standards for EssilorLuxottica locations and for optical orders.

- Practice Managers or acting PMs will designate a team member as "Qualified".
- At minimum, the team member must successfully complete Eyewear Inspection Process (EIP) training courses in Leonardo and follow the RTFT process consistently.
- All "Qualified" and "Authorized" employees are responsible for the entry of accurate Ciao! Optical patient orders and assigning the correct RTFT remake codes.

For more details, see the Right The First Time Program & Tools in Ciao! Toolkit > Documents > Right The First Time.

Policy

Every team member is responsible for the proper usage of a patient/customer's insurance benefits. Team members must understand and follow the policy and procedure to ensure insurance benefits are properly applied and transactions are properly tendered. Failure to process an insurance transaction correctly can constitute insurance fraud and is against company policy.

Procedures

Managed Vision Care (Insurance Benefits) DOES NOT cover the purchase of Plano (non-prescription) sunglasses unless expressly approved by the insurance carrier (not commonly allowed by most carriers).

- Processing a Frame Only sale for Plano sunglasses with a member's frame benefit is not in compliance. Insurance benefits cover prescription glasses and prescription sunglasses, ophthalmic frame only and lens only purchases.
- Transactions are regularly audited by TeamVision and Managed Vision Care Carriers.
- Noncompliance can result in financial corrections which negatively impact a location's profit, and it is a direct violation of company policy.
- Most Managed Vision Care plans (US only) provide a discount on nonprescription (Plano) sunglasses (i.e., EyeMed offers a 20% discount).
- Always check the Benefit Narrative in Ciao! Optical or from the Carrier for exact plan discounts; discounts will vary.

Occasionally members may want to use the frame benefit amount towards a sunglass frame (without prescription lenses). The member can technically do so but only if the following criteria are met:

- The frame can hold a prescription lens (is an "RXable" frame).
- The employee removes the Plano demo lenses from the frame before selling them (ensure member knows that removing the lens may void the frame warranty).

Or

- The team member charges the member separately for what the Plano sunglass lenses would cost if they were surfaced and/or edged, tinted and treated. Explain the following to the member:
  - Vision benefits will not cover the additional cost of the lenses.
  - Using the frame benefit towards the purchase of sunglasses prevents the member from using the frame allowance towards the purchase of prescription eyewear (until benefit resets).

Policy

This policy only applies to Practices that have working lab equipment (i.e. edger). All team members must wear safety glasses when entering the lab. For team members that work primarily in the lab, the Company provides prescription safety glasses. Team members who only occasionally work in the lab should use the generic safety style frames.

Procedure

Team members who will be working in the lab should have prescription safety glasses made, if needed, as soon as possible after their employment start date.

- Practice Manager must approve all prescription safety eyewear discounts; using discount code provided on the Promotions Card in Ciao! Optical.
- A copy of the safety glasses receipt, and prescription used to make the glasses should be kept in the team member's electronic health record and a copy filed in the DCR for that day.

All Practice locations with labs should have several generic safety style frames on-site that can be worn by any visitor entering the lab and for those team members who only occasionally work in the lab.

- For those in the lab who do not require prescription safety glasses - CP# 3001217 - GENERIC GLASSES SAFETY NO RUBBER TIP.
- For lab visitors or those in the lab who want to use safety glasses over their personal glasses - CP# 3007801 - GENERIC ZORA SAFETY GLASSES.

SERVICE PROMISE

Policy

At EssilorLuxottica, we pride ourselves on revolutionizing the optical industry with quality products and new innovations that ultimately increase patient satisfaction and create patients for life. It is critical that all labs have consistent and standardized operating practices around Service Promise Time to deliver an amazing patient experience and benchmark service delivery times.

In the Ciao! Optical Lab Processing Application, eyewear is considered 'on time' if completed within the Ready When Requested time:

- The start time is automatically recorded, and the order completion time needs to be manually entered in the Ciao! Optical Lab Processing Application (when completing the order in LPA, pay close attention to the AM/PM indicator next to the time).
- The lab time clock must be set to the same time as the clock in the Ciao! Optical Lap Processing Application for accurate reporting.
- Verify lab time clock setting daily to ensure accuracy.
- Orders are defaulted to "Normal" processing on the customer order completion panel when the system determines the order should be eligible for in-store manufacturing (IOF Labs).

Procedure

Special Order

All Special-Order eyewear should be processed, final inspected and ready for delivery within 24 hours from receipt.

Next Day Orders

All on-site eligible orders will default to Next Day processing. The retail selling employee should select "Next Day" from the customer order completion panel and communicate the appropriate promise time to the customer. Orders categorized as "Next Day" should be processed by COB the next open business day preferably during the first two hours the lab is open.

This category is used in the following scenarios:

- When a customer requests to pick up their eyewear anytime past that day's COB.
- When eyewear is sold after the lab closes, one hour before retail or lab closing hours, and if the lab is closed due to safety and environmental hazards.
- When equipment is down the lab employee should edit the processing type to "Equipment Out of Order "in the Ciao! Optical Lab Processing Application. All copies of the Rx Worksheets should be retained and filed in the Daily Lab Reconciliation envelope.

Outside Processing Staged

The Ciao! Optical Lab Processing Application will default to "Outside Processing" if the in-store lab is not able to process the order. There is the capability to change an order from "Outside" or "Remote Processing" to "Normal" if either the order can be produced at the in-store lab or if lenses can be special ordered. The lab that can manufacture an order and that can special order the appropriate lenses in the designated lab for manufacturing should produce the order for the customer. Both retail and lab employees should double check lens inventory and availability prior to transmitting for outside processing. Lenses should be processed by a qualified team member, when possible. Eyewear should be ready for the customer within 24 hours of receipt of lenses.

For more details, see the Order Management Guide in Ciao! Toolkit > Documents > Lab > Order Management.

SERVICE RECOVERY DISCOUNT

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Policy

This policy applies to all team members involved in selling and dispensing product. The policy covers sales of complete pairs of eyewear, frames, lenses, accessories and contact lenses. It applies at all times.

This policy governs all uses of Service Recovery (Manager Discretion) discounts. Every manager and key holder is responsible for proper usage of Service Recovery discounts. Team members must understand and follow the policy and procedure to ensure all Service Recovery discounts are properly applied and transactions properly tendered. During specific scenarios, managers or key holders may need to make a managerial decision to discount product and/or use the codes to balance transactions for the following approved situations:

1. Product exchanges where the system doesn't return the expected price (i.e. $0 for an even exchange, amount due for an upgrade exchange, refund for a downgrade exchange).
   - When Ciao! Optical doesn't return the expected price for an exchange, you may need to use a manager discretion code to adjust the transaction. Prior to use of a code, please ensure the exchange was processed correctly (i.e., any applicable discounts from the org. sale applied to the new order, insurance tenders/discounts apply to the new order, etc.).
2. Patient satisfaction issue arises due to no fault of the patient.
   - A manager must approve each instance of Service Recovery discount usage for patient satisfaction and review the notes in the system explaining the issue.

Additional conditions apply as follows:

- Only a location leader or key holder may utilize Service Recovery discount. No other team members are permitted to use Service Recovery discounting.
- Service Recovery discounts must never be used to close a sale.

Definitions

- A Service Recovery is a discount applied at the discretion of a manager to resolve a specific approved patient scenario, as outlined in the Policy statement above.
- Location leader means all management roles: Practice Manager, Assistant Manager, Team Lead, Lab Manager. Key holder is any non-management team member authorized to manage open, closing and managerial duties for a specified period of time.

Consequences

Improper and/or unauthorized application of Service Recovery Discount creates inconsistent patient experiences and has a negative impact on the location's financial performance. Failure to follow the guidance in this document constitutes a violation of the policy. For example (this list is not exhaustive):

- Usage of Service Recovery discounts to close a sale without proper explanation about what patient issue was resolved in the patient's Customer Order notes.
- Usage of Service Recovery discounts instead of/or in addition to available promotions.
- Usage of Service Recovery discounts without location leader authorization. Locations with higher Service Recovery discount usage (determined by Operations) are subject to audit and potential investigation from Asset Protection (AP).

Procedures

Any time a Service Recovery discount code is needed, location leaders or key holders must:

1. Apply the appropriate code (based on $ or %). Please check Team Member Promotions Card.
2. Record the reason for using Service Recovery discount in the patient's profile in Ciao! Optical.
3. Call Systems Support (1-833-467-4243) and Operations immediately to report the issue.
4. Location leaders must review the discounting reports daily to confirm proper and necessary use. Report any discrepancies to the Practice Manager (PM) and/or Operations.

SHIPMENT CONFIRMATION

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Policy

The Manager is accountable for ensuring that ALL shipments are verified immediately upon opening shipment and within 24 hours of delivery.

Procedure

Confirm all shipments and quantities - take action if there are discrepancies:

- Select Incoming Shipment and appropriate range of dates then Start Search.
- Locate the Shipment Number on the box and in the log.
- Review the Confirmation Quantity number and physically count the number of units received (frames or stock lenses in all cartons).
- If it matches, no additional steps are required.

Discrepancies rarely occur and require action from the site. Click into the desired shipment line in the Shipment Log to see the detail level (UPC, description, quantity).

1. Discrepancies – missing product less:
   - Missing less than 5 units, identify UPCs and adjust the quantities when Confirming the Shipment.
   - Missing more than 5 units, contact your Regional Manager Asset Protection (RMAP) and Field Manger for direction.
   - If you already have Confirmed the Shipment, you must complete an Inventory Adjustment using Shipping Error for the reason code.
2. Discrepancies - additional product received:
   - If the brand is in your assortment, complete an Inventory Adjustment to add to stock and ticket the frames.
   - If brand is not in your assortment, contact your Field Manger.

Carrier Confirmation

1. Verify shipment is addressed to your location. Refuse shipments NOT intended for your location.
2. Ensure all cartons are present (labeled 1 of 2, 2 of 2, etc.).
   - If not present, have delivery driver note specifics in their signature capture series.
   - Continue to be on the lookout for those additional boxes in the days to follow.
3. Check all boxes for damage or tampering. Check security tape on top and bottom of box. If damaged:
   - Have delivery driver note specifics in their signature capture system.
   - Take pictures of damaged packaging.
   - List all UPCs in shipment.
   - Report incident by completing Smartly Mis-Ship Form.
   - Sign and date in Carrier's signature capture.
4. Sign and date Carrier's signature capture if all cartons are addressed to your location, present and not damaged/tampered.

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

Policy

There are unique circumstances when it is acceptable to ship eyewear to a patient (this should equate to less than 1 patient per month). ***Do not offer to ship eyewear unless it is the only way to retain or recover the business of the patient.*** The shipment should be limited to parent country unless approved by Operations.

Below are some service recovery examples:

- Patient leaving town and needs eyewear shipped to their destination.
- Failure to deliver eyewear when promised.

When items are shipped to a customer (non-service recovery situations), shipping charges apply:

- Ground Shipping – At this time, there is no charge for ground shipping.
- Express Shipping - $19.99 charge to customer not including tax if applicable.

NOTE: All shipping delivery times are dependent on the service carrier.

Procedure

Tendering

1. At Tender, select Sell Non-Merch.
2. Select Most Cost-Effective Shipping or Express Shipping.
3. Press enter to the line item and fee (if applicable) to the transaction.
4. Finish tendering the order.

Shipping

1. Log into EasyShip (US) or ICS Courier (CAN) and create shipping label.
2. Verify address with customer.
3. Print two copies of the shipping label.
4. Place one copy of the shipping label with customer's receipt.
    - If the patient is unable to wait for the shipping label, email a picture of the shipping label.
5. Put 2nd shipping label with the patient's tray ticket.
6. Put tracking number in Ciao! Optical profile notes for reference.

Pick-Up

DO NOT CALL to schedule a pick-up (unless otherwise directed to do so) as this will result in additional charges to your store.

- Deliveries are made to all locations every weekday; shipments should be picked up during daily deliveries.
- Shipments can also be dropped off at their respective courier service location (Local Drop Box, UPS Store).
- All shipments must be packaged in a cardboard shipping box or envelope.
    - Cardboard boxes from previous shipments may be used, as long as old labels are marked through or removed.
    - Always use the smallest box possible when shipping to obtain the best costs.

Next Day Air Service

Next Day Air Saver should only be used for urgent deliveries like "frame enclosed" lab shipments or mis-shipped patient orders. Next Day Air Saver is guaranteed next business day delivery by 11:59PM (shipment needs to be scheduled by 3PM).

Personal Shipments

The corporate account number cannot be used for personal shipments at any time.

Lab Shipments

- "Frame enclosed" orders going to the same lab, should be consolidated into a single ship box if possible.
- All "frame enclosed" orders must be shipped Next Day Air Saver (US) or ICS Overnight (CAN) to be delivered to the lab the next day.
- Some packages (depending on location) will be delivered the next day using Ground shipping and are more economical than Next Day Air Saver.
- Ensure the appropriate "frame enclosed" label is placed on the outside of the box being shipped.

Practice-to-Practice Shipments

Practice-to-practice shipments/transfers are not permitted, unless otherwise directed by Operations or your Field Leader.

Canadian Locations

Shipping directly to the US is to be avoided. If you must ship to the US, ship the carton to the Montreal NAASC.

- Inside the carton include your store location information, destination address, value of the product, receipt if available, and a detailed description of the product.
- Use Export Manager in the Recipient Name field.

International Shipments

All international shipments must be approved by Operations and documented in the patient notes.

- Complete patient shipment process as specified above:
  - Include a copy of sales receipt, patients phone number, and completed International Shipping Information form in shipping box. Failure to provide this information will delay processing.
- Send an email to Robert Harrison – Rharris2@luxotticaretail.com – with the tracking number and the international form attached. Export Team will send an email with the international tracking number back to shipping practice.
- Ship to:

  Export Manager
  2150 Bixby Rd
  Lockbourne, Ohio 43137
- Inside EasyShip select "Frame to Come (RX), then select Export Manager.
- **Never** ship to: POST OFFICE BOXES, RUSSIA, US EMBASSY, or MILITARY BASES

Supplies

- In the US to order additional shipping supplies, contact UPS at 1-800-742-5877 or request them from your local driver (order directly through campus ship using your login credentials).
- In Canada, to order shipping supplies contact ICS Courier at 1-888-799-3333 Extension 0.

Questions?

Contact your UPS EasyShip Administrator via email: Maggie Ellis (MEllis2@luxotticaretail.com) and Jessica McManus (jmcmannu@luxotticaretail.com).

SITE CLOSURE

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Policy

Our priority is the safety and well-being of our employees and patients, then the practice. There may be times where TeamVision Executive Leadership may elect to close the practice or adjust business hours due to inclement weather or emergency situations.

The site must gain approval prior to closing and if employee emergency pay will be provided. Partial or full day closures may be determined by TeamVision leadership.

Procedure

Process for Approval:

1. Practice Manager (or respective leader) will contact their Manager who will contact the Regional Manager when there is inclement weather or emergency that could impact the safety of our employees or patients.
2. Regional Manager in partnership with Dr Glupker(East) & Dr Ardaya(West) will submit recommendation to move forward with closure and inform the President of TeamVision & Sr. Field Director of the full or partial location closure.
3. Upon approval, The Regional Manager will inform the impacted Field Leader and Doctor leader of decision to align on next steps.
   - Field Leader will fill in the required information into the TeamVision Site Closure Tracker.
   - Final approval for eligibility for Emergency Pay will be the decision of Human Resources.

If Practice is Approved to Close or Adjust Practice Hours:

1. The Practice Manager (or respective leader) will inform their employees by phone call or text message immediately if the approval to close or adjust hours is granted.
   - The Practice Manager has access to employee phone numbers via My Personal Desk.
2. The Practice Manager (or respective leader) will inform their employees if they are eligible for Emergency Pay and enter their hours in the timekeeping system that day.
   - If eligible, the Practice Manager will notify the employee.
   - If not eligible, employees can use available PTO, Diversity Day, or unpaid time off (employee can only use unpaid time off if they do not have PTO or Diversity Day if available).
3. The Field Leader must notify TeamVision Operations who will notify the appropriate partners:
   - RxO & Lab Operations – hold deliveries of patients orders until the location reopens.
   - Replenishment – hold deliveries for product, marketing, etc..
   - Marketing – update store hours on social media and websites.

4. The Practice Manager and employees are responsible for coordinating patient notification.
   - Notification Calls
     - Call each patient to notify them that the practice will be closed due to inclement weather.
     - An attempt to reschedule the patient is to be made at the time of notification.
       - Patients that are not rescheduled at the time of notification are to be recalled within 1 week of closure.
   - Additional Notifications
     - Practice Manager or Call Center Manager (if applicable for your location) will send an automated message regarding the closure to patients scheduled.
     - Once the site reopens, call the impacted patients to reschedule appointment.
   - Incoming Calls
     - Appropriate message will be turned on for all incoming calls for both the practice and Call Center. The message should be changed back once the location reopens.
     - In some cases, the Call Center will continue to manage phone calls and notify patients.
       - Practice Manager to coordinate with the Call Center Managers when applicable.

Policy

The Bank of America Corporate Credit Card should be used for site needs that cannot be purchased through central purchasing or Staples. The card is designed to eliminate the need for reimbursements, purchase orders, and invoices. Additionally, your field leader will provide pre-approval for budgets including team building and meeting expenses. You are not allowed to exceed this budget.

Credit cards must be safeguarded against loss, theft, or unauthorized use. The credit card is required to be kept in the site safe. The PM should immediately notify the Bank of America if the card is lost, stolen, or damaged by calling customer service at 1(888) 449-2273, email Corporate_Services@luxotticaretail.com, or through your online portal.

Personal use of the Corporate Credit Card is strictly forbidden as are cash advances. Under no circumstances should the Corporate Credit Card be used to purchase items for recruiting, team member engagement, patient services, or team member recognition, rewards, or incentives. The use of the Corporate Credit Card is for business needs only since all charges are billed directly to EssilorLuxottica. Inappropriate use of the card will result in disciplinary action, which may result in termination.

Procedure

Making a Purchase

The PM is the only approved employee in the location to make purchases on the Corporate Credit Card. Partner with your Field Leader or Operations if the PM role is open in your store location.

The PM will call or visit a supplier and complete the credit card transaction. When completing the credit card transaction, be sure the supplier charges sales tax on the purchase. Otherwise, the company will not be in compliance with state tax laws.

Keeping a Record

Track your purchases so you can verify them against the monthly card statement, which will be viewable in Bank of Americas online portal- http://www.bofaml.com/globalcardaccess.

Record the purchase on the Corporate Card Purchase Log/Envelope (CP# 3000662) after each purchase is made. Save all receipts in the Purchase Log/Envelope.

Monthly Statement

Once a month you can view an online statement that details the charges billed during the billing period to your store. This statement is for your files and can be viewed via the online portal- http://www.bofaml.com/globalcardaccess.

When the statement is reviewed, verify the accuracy of the statement by comparing transactions to the items you have recorded on your purchase log for the dates of the statement.

- It is extremely important that a receipt is on hand for every charge in order to comply with audit and tax requirements.
- You must keep these records for 7 years per the Records Retention Policy.

Monthly Statement

If there are any discrepancies in the corporate purchasing card statement, or to request a duplicate statement or a copy of actual charges, call Bank of America at 1(888) 449-2273 or email Corporate_Services@luxotticaretail.com.

- Print the statement and save in the current month's purchase log.
- Once you are satisfied that your log is correct and all supporting receipts are included, sign it in the space indicated and retain it in your files.
- Investigate and report any discrepancies or fraud to both Bank of America and your Field Leader.

Paying the Bill

The bill will be paid by the corporate office without any action on your part.

New Hire, Transfer or Termination of PM

If a PM leaves employment with Luxottica Retail, they must leave the card in the safe or return to the Field Leader. Cards are site-based and can be transferred to the new PM. Account phone numbers and email addresses must remain as the site manager email and site phone number.

- Do not update your Bank of America online account details to include any individual or personal details in attempt to gain access to the online portal or make a purchase should PM turn over occur.

Emergency Purchases

The card may also be used on an emergency basis for items that may exceed the limit by contacting Operations for permission. Once completed, the Credit Card Administrator will apply the one-time credit limit increase within 24 business hours.

STORE SYSTEMS SUPPORT (SSS)

Policy

Practice Managers are responsible to ensure all store systems needs are addressed in a timely manner.

Procedure

Please contact Systems Support (1-833-467-4243) on the following:

- All Ciao! Optical point of sale issues.
- All hardware issues.
- Network issues.
- iPad issues.

1. Contact Systems Support by calling as soon as possible. It is critical to obtain error logs at the time the error occurred.
2. When calling Systems Support, please have the following information ready to provide the support technician if applicable:
   - Ciao! Optical station number with the current error (This number is typically located on the side of the IGEL. It is a sticker that says Property of Luxottica example: 100012345)
   - The Ciao! Optical receipt number or lab work order number.
   - If calling for an update on an issue, please provide that issue's incident number.
3. Be prepared to troubleshoot hardware issues. Steps must be taken to identify the root cause of an issue. You may be asked to swap cables and hardware components.
4. Make sure to receive an incident number for your issue. This is important in order to request updates or escalations.

STORE TO STORE TRANSFER

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Policy

There maybe cases when you need to transfer a frame to another location for patient satisfaction (approved by Field Leader) or when directed by TeamVision Operations & Product teams.

Procedure

Patient Store To Store Transfers are not permitted for any reason without Field Manager approval and are reserved for unique patient situations (when no other solution can be determined):

- Complete a UPC Search in Fiori to locate frame within your market and/or state.
- Call the site to confirm they have the frame and ask to hold while you gain approval.
- Email your Field Manager with the request including patient need along with the details of the frame (cc the site that you have confirmed frame availability).

Follow the process outlined in the TeamVision Inventory Management Operations Guide in Ciao! Toolkit > Documents > Inventory Management.

Policy

Central Purchasing

Practices should always first attempt to order supplies through Central Purchasing in the Inventory Management System (Fiori).

Office Supplies

All office supplies that are not available through Central Purchasing must be ordered from Staples, an online provider of office supplies.

Replacement Lamps/Lighting (Retail and Lab - Not Ophthalmic Equipment)

EssilorLuxottica has negotiated a contract with Regency Lighting to provide replacement lamps for all Luxottica North America locations on select lighting.

Procedure

Central Purchasing

Orders should be placed once per month, following each practice specific order cycle. If there is a business-critical need (something that is preventing the practice from running their business) outside of the order cycle, practices should contact Operations.

Office Supplies

- The Staples website is available through CIAO! Toolkit.
- There is a $25 minimum order.
- Practices should strive to order no more than once per month.

Replacement Lamps/Lighting (Retail and Lab - Not Ophthalmic Equipment)

Practices should call in their lamp requests to Regency directly at 1-888- 405-6418 (M-F 8am-8pm EST). Follow the prompts to speak directly with a Regency Lighting service representative. Please make a list of the lamp identification information and quantity required prior to calling.

- Practices should use all lamp/bulb back-stock before ordering replacements lamps/bulbs.
- If your practice was converted to LED lighting, do not order extras. LED lamps last 25,000 hours.
- Do not purchase lamps from other sources. The price will be much higher, and we need to maintain consistency of lamp type, lighting color, and servicing for our locations.

For more details, see the TeamVision Supply & Expense Operations Guide in Ciao! Toolkit > Documents > Supplies and Expenses.

VOIDS

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Policy

Prior to completely tendering a sale, you can void tender types and discounts. An example would be that you need to remove a discount applied (maybe replacing with another discount). In this case, you would void the discount line and enter in a new discount. Once a sale is tendered, it cannot be voided. Use of the void function should be minimal.

Procedure

- In the Tendering Application, click on F2 Change Item and F4 Void Line. Highlight the desired discount or tender line and click Enter to remove.
- Do not void line items that pertain to the patient/customer's order (e.g., Frame, Lens or any items selected while building the order). Changes made at tender will not transfer to the customer's profile or history. To remove these items, you must cancel the sale and make changes to the patient/customer's order in the Customer Order application.
- Please refer to the Ciao! Optical Reference Guide for additional information.

Policy

A variety of states Department of Agricultural Commissioner/Weights and Measures conduct announced and unannounced inspections to ensure that consumers are being charged accurately for product.

- Consistently execute Price Changes, Promotional Activities, Recalls, and Price Changes by noted deadlines.
- Share promotional event details with all team members and ensure their understanding of current promotional offers.
- Follow Marketing guidelines for each event to create awareness of which offer signage should be displayed, and where it should be located.

Procedure

What To Expect During An Inspection?

Typically, when an inspector visits a practice, he/she will show their badge, ask for the manager on duty, offer their business card and may verify the following:

- "Accurate pricing" by scanning product and comparing tagged price to receipt. The inspectors are looking for both overcharges and undercharges. These are the most frequent issues raised during inspections.
- Review current promotions to ensure discounts are applied accurately and final price is reflected on customer's receipt. As with all customer transactions, ensure the Ciao! Optical monitor is turned towards the Inspector so the inspector can view itemized pricing.
- The inspector will gather a variety of frames and ask a team member or manager to ring up frame selections.
  - A team member should scan product and tender out as a cash sale and give the receipt to inspector for review.
  - In Ciao! Optical after the review is complete; the team member will return the cash transaction (put a note in system explaining reasoning) and attach a copy of inspector's report to the return.
  - This documentation is necessary for the Operations team.

If the practice passes the inspection, the inspector will provide documentation indicating that the practice has passed.

If there is a violation, the inspector will document by taking pictures of frames and provide the practice with a written notice of violations.

- In some cases, the inspector may provide "ATTENTION CONSUMERS" stickers that are to be placed at all point-of-sale stations.
- This notice informs consumers of their entitlement to the lowest advertised or posted price.
- These stickers must be displayed as directed by the inspector.

In cases involving multiple violations and nonpayment of fines, the inspector can post a notice of an overcharge violation visible to consumer. The notice is to remain posted until the removal date located on violation.

What To Do If You Receive An Inspection

1. Send a picture to TeamVision Operations of inspection results (pass or fail) and all supporting documents (receipts, pictures of frames, price tags, promotions, and Sales Price Report, etc.).
2. File all supporting documents in the manager's office. If you have any questions, email Operations.
3. Correct all discrepancies found during the inspection (print new frame tags, display correct offers, etc.) on the same day as the inspection review.

What To Do If You Receive An Invoice

1. If you fail your inspection, you will receive an invoice within 90 days from the date of inspection, from the Department of Agricultural Commissioner/ Weights and Measures. Immediately send a picture of the invoice to Operations for processing.
2. File all supporting documents in the manager's office.
3. Operations will forward invoice to Accounts Payable for payment.

Policy

Select locations have a full alarm system with perimeter door contacts, modified cameras, motion detectors and glass break sensors on exterior windows. Locations with no exterior doors opening into the parking lot or outside of a mall may not have an alarm system unless approved at the discretion of Operations. Select locations have camera systems for the documentation of shoplifting and Organized Retail Crime incidents.

Procedures

Alarm System

All alarm systems must be approved by Operations, Asset Protection and the Physical Security Manager at 513-765-4160. Alarm access codes may be obtained by calling Vector Security directly at 1-800-937-8268 or the Alarm Liaison at 513-765-3549. Please contact your Regional Manager of Asset Protection (RMAP) for any additional support.

Obtaining Alarm Access Codes

1. Alarm access codes will be issued only to approved key holders.
2. Partnering ODs are not employed by Luxottica and will not have alarm access or keys. Should they need after-hours access, a key holder must meet them and remain on site for the full visit, locking up after the OD leaves the location.
3. In a state with therapeutic drug laws, partner optometrists are authorized to have alarm access, and, whenever possible, a separate alarm zone will be installed for the sole use of the doctor. Any doctor obtaining authorization for alarm access will also have to sign an addendum to the lease, acknowledging overall responsibility and liability for access to the office(s).
4. Individual alarm access codes must never be compromised.
5. If an alarm access code becomes compromised, it should be changed immediately by calling Vector Security at 1-800-937-8268, or the Alarm Liaison at 513-765-3549.
6. If an alarm access code needs to be deleted due to a change in management, such as a transfer, termination, or demotion, contact Vector Security 1-800-937-8268 or the Alarm Liaison 513-765-3549.

Setting Alarms

1. As a rule, the alarm must be activated at least one hour after closing and turned off no earlier than one hour prior to opening.
2. For monitored locations, the alarm company must be notified by the manager on duty of any variances to normal alarm hours.
3. The closing key holder is responsible for ensuring that the alarm is set before closing the location. Additionally, a key holder must return to the location in response to any requests by the alarm company.
4. The Practice Manager (PM) must ensure that the alarm Call List is current (name and phone numbers) if the alarm is monitored externally. The list should be in order of proximity to the location for all key holders.
5. If the alarm system is not functioning properly, place a repair request work-order in the Maintenance Portal.

Camera System Usage

All key holders must be able to operate the camera system, including reviewing incidents and potentially burning copies of theft incidents to the camera system desktop and CD's/DVDs.

If the camera system is not functioning properly or requires repair, the key holder on duty must put in a service request in the Maintenance Portal or contact your PM or RMAP.

Additional Camera Information

- A hard copy of the user guide is provided with the system; additionally, a PDF on the desktop of the camera system is available for reference.
- All cameras are equipped with digital zoom capabilities that allow you to use the mouse scroll wheel to zoom for greater detail.
- All cameras are to have as close to a parallel view as possible to the fixtures to provide proof of concealment. Note: Camera views are reviewed by Physical Security Manager during installations.
- If the cameras are blurry or system date / time is off, please contact the helpline at 1-888-274-6686 to help correct.
- The Practice Manager (PM) is responsible to ensure that the system is functioning on a regular basis. This includes ensuring the images are in 'live' mode and not in review mode, and ensuring the monitor is working. If the camera system is not functioning properly or requires repair, the key holder on duty must put in a service request in the Maintenance Portal or contact your RMAP.
- Some camera systems may not include all of these functions. Questions should be directed to the PM or RMAP.

Physical Security- Mini DVR Camera Tips- Keep on file

DO NOT POST IN PUBLIC VIEW

Each location may be supplied with a mini-DVR camera. These cameras provide continuous, motion-sensor video to support shoplifting detection & prevention.

Practice Manager Tips:

1. Is your location's camera currently installed to provide a good sideview of the Sun section? If not, contact your Regional Manager of Asset Protection (RMAP).

   Example of a useful camera view below:

2. Ensure camera is on and operating every week. Choose the same day of the week to do this and schedule for it. Look for both a red and green light.

   Example of the two types of cameras:

3. A 16 GB SD card (minimum size) needs to be in the camera at all times. If an incident occurs, push in the SD card to remove it. The SD card can be played in any windows-based computer.

   Be sure to replace the SD card with a back-up SD card while viewing (below):

4. All video files are labeled by date/time of the recording. Once the file has been identified, it can be copied to the computer's desktop, saved to a USB, a DVD or sent to your RMAP via email. The 16GB card can then be reinserted back into the camera or kept as back-up.
5. If your computer does not have a SD card reader, these can be purchased at an electronics retailer with the location MasterCard.
6. You don't need to take down the camera or turn it off prior to switching out the SD card.

Note: If your location has a power outage, the camera WILL NOT turn back on. Hold the power button in on the older style camera or flip the switch on the newer style units to turn them back on.

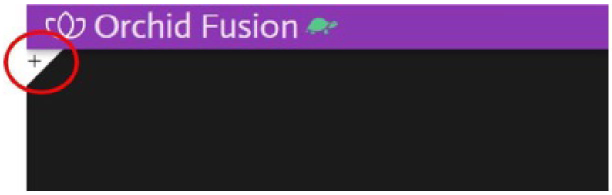
Contact your RMAP with any questions.

CCTV: How To Log In

Note – if your location already has CCTV, we may choose to leave that system in place. The information below is specific to CCTV through Fusion that we use in other locations. Your system may have different instructions and access method. Please contact Operations and/or RMAP for more information.

1. Launch the CCTV App.

2. Select the continue in compatibility mode.
3. Enter the following log in and password information once the log in screen appears.
   - Username: TVXXXX (XXXX=4 Digit Location Number)
   - Password: Welcome1
   - Note: Information is case sensitive.
4. Click on the + sign in the top left corner just below Orchid Fusion title.



5. Utilize the “How to Operate Guide” to navigate the Camera Operating System.

Procedure

Burglary

A burglary is when a person(s) enters a location before or after hours and steals items. In the case of a burglary do not enter the location until the police arrive.

Recommended steps:

1. Locations should contact 911 first, then call (866) LUX-Help, Option 1 for violence and Option 2 for burglary.
2. Command Center staff will help walk locations through the aftermath of critical incidents and next steps.
3. EAP information will be provided.
4. Gather information:
   - Region and Location #
   - Your contact information
   - Date and time of incident
   - Investigating police department, officer's name, their phone number and police report number
5. Contact Operations and your Regional Manager of Investigations (RMI).

Policy

Open Door Policy

The Company encourages team members to feel comfortable expressing job-related concerns and is committed to listening and responding to team member issues. The Open-Door Policy provides an avenue for team members to bring a concern to management's attention without fear of retaliation. In many cases, an individual's immediate manager is the person best qualified to solve or answer questions.

- Managers who receive a concern through the Open Door Policy are expected to respond.
- Team members who are not comfortable going to their manager may go directly to their manager's manager, log into HR Central and select the Employee Relations icon or select the HR Solutions icon for answers to your HR questions.
- Luxottica rewards team members for helping to maintain our culture of integrity. For team members who report internal theft, fraud or abuse to Store Operations, or field management, or by calling the Business Abuse Hotline at **1-888-88-SEE IT (1-888-887-3348)**. A reward is provided ranging from $100 to $500 if the investigation results in an admission and recovery of assets.
  - **False reporting is strictly prohibited. Any team member who intentionally makes false or misleading allegations will be in violation of company policy and may be subject to corrective action up to and including termination of employment.**
  - **Reports can be anonymous.**

Procedures

When to call 1-888-88-SEE IT

- If a team member has an issue or concern involving illegal or dishonest fraudulent activity or compliance with laws, regulations, or Company policies, including the Company's Code of Conduct or Code of Ethics, the team member and/or others are encouraged to contact the Company Business Abuse and Compliance Helpline (NetClaims) at 1-888-88-SEE-IT (1-888-887-3348).
- Refer to the Luxottica Employee Guide on HR Solutions for additional information.

Policy

The Business Evaluation was designed to monitor and evaluate key location controls and operational procedures. The evaluation consists of a review of activities performed by operations to ensure they are in accordance with documented policies and procedures. The Asset Protection department determines the scope and timing of the evaluations.

A location may be selected for an evaluation for reasons that include:

- High Shrink results
- Request by Operations (i.e., new manager)
- Divisional Operating Profit (DOP) - excessive refunds, damages, discounts or voids
- Exception Based Reporting (Home Office Analysis detected possible issues)
- To train and help strengthen location's procedural adherence
- Investigation - Alert line call (1-888-88-SEE-IT) or 1-888-887-3348

Procedures

To ensure joint accountability and compliance, follow up is an expectation by Practice Managers (PMs), Operations and Regional Managers of Asset Protection (RMAPs). If the location scores below expectations (80%), a follow up visit (virtual or in person), will be completed within 60-90 days by a RMAP. A TeamVision Action Plan Review should be completed within 14 days of the evaluation. It should be posted in a visible location for all team members to view and to monitor the progress.

It should contain the following key elements:

- Location awareness of current shrink results
- Location awareness of Asset Protection programs
- Behavioral changes to reduce external theft
- Correction of improper practices to eliminate the opportunity for internal theft or paperwork shortage.

CASH HANDELING & BANK DEPOSIT

Policy

The location's deposit and cash fund must be secured at all times. At night, the register drawer must be left open and empty. Remove the till fund from the register and secure in the safe along with the night's deposit. Locations are not to have a Morale Fund or Petty Cash Account.

1. Count the opening cash drawer fund each morning and evening, documenting the count on the Cash Drawer Report, listing tender counts (1s, 5s, etc.), and sign-off by the authorized key holder.
2. Any overage/shortage must be documented on the Daily Closing Report (DCR).
3. Cash drawer fund increases, or decreases must be authorized by Operations. Notify Sales Audit, 513-765-2525 or salesaudit2@luxotticaretail.com with the dollar amount and effective date for increases or decreases.
4. All $50s and $100s are to be removed from the register and secured in the safe as soon as possible.

Procedure

- The management or authorized key holder is responsible for closing the cash drawer at the end of each business day.
- Closing procedures must be implemented after the location is closed. After closing, transactions can no longer be made until the next business day.
- Deposits should be prepared and deposited in the location's specific bank branch.
- Armored Car Service deposits (select locations) should be held in the safe until scheduled pickup. Verify with armored car service personnel the total deposits being picked up and ensure that the armored car service personnel signs deposit pickup log.
- Management and authorized closing leaders are directly responsible for the preparation and deposit of the location's cash deposit to the bank.
- The deposit amount must equal the deposit total shown in Ciao! Optical for that day and totals must never be altered or changed. All excess/ overage monies must be deposited the next day and not held aside at the location.
- It is the Practice Manager's (PM) ultimate responsibility to ensure that deposits are being properly credited to the location and that proper validation is received from the Sales Audit Department for each deposit. Deposit slips should be pre-populated with the location's bank account number and location number.

Deposit Preparation

- Preparation of the deposit will be performed with the utmost security precaution after location closing and out of public view.
- Retrieve a bank deposit slip, the deposit bag, deposit log and Cash Drawer Report
    - The deposit slip must bear the account number and your location number for the deposit account.
    - Deposit slips must bear the same date as the applicable location's Cash Drawer Report. Never combine multiple days into a single deposit.
    - Deposit slips can be ordered by our Treasury department. Send an email request for additional deposit slips to Treasury@luxotticaretail.com.
- Count and record the cash for your closing fund and have another team member verify the total.
- Two team members, at least one management or authorized key holder and another team member (if more than one team member is closing the location), must be present to count the day's cash. Record the totals on your bank deposit slip and in the Actual Cash/Traveler's Checks/Money Order field during the cash closing process.
- Record each check by writing the patient's last name on the deposit slip and total the dollar amount. (Note: Some banks may require check reference numbers versus names.) All checks must be endorsed with your location's bank deposit stamp (replacement stamps can be ordered from Treasury at Treasury@Luxotticaretail.com). Two team members, including at least one manager or authorized key holder, must verify the correct entry of each check and the total amount. Enter the total in the Actual Check field during the cash closing process.
- Complete the balance of the deposit slip and tear off one copy to keep with your records.
- Deposit slips must have two signatures, including:
    - The signature of the person preparing the deposit.
    - A witness team member or key holder/manage.
    - In cases where only one team member is closing the location, the following day's opening key holder or manager must sign the location's copy of the deposit slip in ink as a next-day verification of the deposit amount.
    - The deposit should be sealed by the team member(s) preparing the deposit and should NEVER be left unsealed for the following day's team member to review.
- Record the deposit bag number (authorized Luxottica Deposit Bags ONLY) on the deposit slip.
- Place all cash and checks into the deposit bag along with the completed deposit slip (minus the copy you removed in the previous step).
- Ensure the items to be deposited are properly inserted into the correct sections of the Luxottica deposit bag to ensure no extra fees are incurred when the deposit is processed by the bank.
- Seal all portions of the deposit bag and record the deposit information on the Deposit Log in the presence of the witness (when another team member is present).
- Place your closing fund, and sealed deposit if not taken immediately to the bank, in the safe and lock the safe immediately.
- Deposits should be taken to the bank weekly.

Deposit Log

- All locations must maintain a daily deposit log.
- The closing manager or key holder must fill in the deposit information at the time they prepare the nightly deposit, and they, along with the witness to the deposit, must sign off on the deposit under the 'Prepared By' section.
- When management or authorized key holder physically takes the deposit to the bank, they must complete the portion of the deposit log titled 'Employee making deposit' with date time and their signature documenting when this took place and by whom.
- Once the location has received the deposit validation from Sales Audit (and potentially a validated deposit slip from the bank), the PM must sign off the deposit as being validated along with the date of the validation on the PM Sign-off column of the bank deposit log.
- Deposit validation emails from Sales Audit should be printed and retained with the Deposit Log.
- The PM must report any missing deposits immediately to their Field Leader and Operations.
- Deposit logs must be maintained for the same archive retention period as the DCR.

CONCEALED WEAPONS

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Policy

Many states now have concealed carry weapons laws. This means that these laws generally allow certain qualified individuals to carry a concealed weapon in public places, including retail outlets and malls.

Many retail outlets and businesses have established local policies which ban the bringing of weapons onto/into their premises. Such business (including retail outlets, business parks, etc.) will have a NO WEAPONS sign or similar sign near entrances.

- Your landlord or Security (if applicable) can provide additional information on local policies on concealed carry weapons.
- Even though a ban on concealed weapons is in place for your location, you may still encounter situations where a patient enters your location with a weapon in their possession.
- The ban does not apply to off-duty local, state, and federal law enforcement officers who are often required to carry their weapons when not on duty.

Team members, including those licensed to carry a concealed weapon, are prohibited from bringing any firearm or weapon onto/into company property (Consult the Luxottica Employee Guide on HR Solutions for additional information).

Procedure

There are times when you or another team member might see a patient with a concealed weapon, either in a side holster or in their pockets or coat.

What should you do in the event you're serving a patient who is carrying a concealed weapon?

- If the patient is behaving normally, and is not creating a threatening situation, it is recommended that you continue to serve the patient as normal, and do not refer to the weapon. (The person carrying the weapon could potentially be an off-duty law enforcement officer and would therefore pose no threat to anyone).
- It is recommended that you follow the guidance in the numbered list below if the patient displays any of the following behaviors:
    - Aggressive, threatening or hostile behavior that creates a reasonable fear of injury to yourself or another individual.
    - Makes harassing or intimidating statements, including swearing or other offensive behavior.
    - Physically assaults someone.
    - Pulls his/her handgun or weapon from pocket or holster.
    - Intentionally damages location property.
    - Makes a reference to or statements regarding his weapon.

Recommended Guidance:

1. Remain calm and attempt to keep the armed person calm.
2. Use a predetermined code word, phrase or name with a team member in an effort to have them discretely call 911 or your retail outlet security (if applicable) and request immediate assistance in dealing with an armed person in the location.
3. If other team members can discretely, safely and calmly exit the location with any other individuals without drawing the attention of the armed person, they should do so.
4. Avoid drawing attention to the weapon.
5. Avoid calling 911 in the main common area in the presence of the armed person.
6. Avoid physical contact or taking physical action against the armed person, unless you are being physically assaulted and need to flee or defend yourself.
7. Once the armed customer has left the location, immediately lock the door, ensure 911 and/or mall security has been contacted or updated with the information. Then call (866) LUX-HELP, Option 1 for violence and Option 2 for burglary.
8. Command Center staff will help walk locations through the aftermath of critical incidents and next steps.
9. Employee Assistance Program (EAP) information will be provided.
10. During the transition, incident reports for critical incidents will still need to be filled out by the location. In the next 60-90 days, the Command Center will be able to enter in all information so locations will not have to complete the process.

CONTROLLED SUBSTANCES

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Controlled substances and other prescription medications must follow the requirements listed below.

Training & Policy Acknowledgement:

- Physicians, surgery technicians, and any individual dispensing a controlled substance or medication must review and acknowledge their understanding of the Controlled Substances Policy & Procedure and the Key Control Policy.
- Managers who support the dispensing of controlled substances will also complete training & sign-off on the Controlled Substances Policy & Procedure and the Key Control Policy.

Assignment of Keys: Only authorized users will be assigned keys.

- A record listing who keys have been assigned to must be maintained. If an employee leaves the company or is terminated keys must be returned. In the event a key is not returned, the clinic door and/or cabinet may need to be rekeyed. To rekey, submit a request via the Maintenance Portal.
- A spare key must be kept in the site's safe should.

Daily Count Log: Prescription medication must be secured in a designated locked cabinet in a locked room. Purses and bags are not permitted in the room. Two individuals must perform a count any time the designated cabinet is accessed. On days surgery is performed a count must be performed by two individuals before the first surgery and after the last surgery.

- Daily Count Log must include the following:
    - <u>Initial Count</u>: Medication name, initial count, and the employee names of the two employees who performed the count along with their initials.
    - <u>Medication Dispensed</u>: Medication name, patient name, the amount/dosage, and the employee name and initials who dispensed the medication.
    - <u>Final Count</u>: Medication name, final count, and the employee names of the two employees who performed the count along with their initials.
- Log must be kept in the locked cabinet where the medication is stored.
- All logs should be retained for 5 years. At the end of the 5 years, the log should be shredded and destroyed consistent with policies governing HIPAA.

Receipt of a New Prescription Medication Shipment

- Any time a new shipment of prescription medication arrives a count should be performed with two individuals and added to the log with the designation New Shipment in the Patient Name column along with the date, the medication name, the amount received, the employee names and initials who performed the count should be listed in the log.

Handling Medication

- When medication is being dispensed or counted from a bottle, use gloves, or pour the tablet/pill into a small paper cup when providing to a patient or completing counts.

Medication Loss

- If medication breaks, is damaged, or falls on the floor, the incident should be added to the count log. Two employees must dispose of the medication and list their names and initials on the log.

Theft or Loss: In the event medication is stolen or lost, management should complete an incident report within 24 hours and partner with Asset Protection and HR.

- The physician must report theft or loss to the Drug Enforcement Agency ("DEA")by completing the *Controlled Substances (Form 106)* within one day of the incident. A copy must also be sent to the Illinois Division within one business day after the form is submitted to the DEA.
  - Online submission is available through the DEA website: https://apps.deadiversion.usdoj.gov/TLR/
  - Alternatively paper forms should be mailed to the local DEA Field Office.
  - Illinois forms should be mailed to the address below:

    IL Division of Professional Regulation,
    Drug Compliance Unit
    230 S. Dearborn St., Suite 1200
    Chicago, IL 60604
- After an event has been reviewed with Asset Protection, the clinic door and/or cabinet may need to be rekeyed. To rekey, submit a request via the Maintenance Portal.

Controlled Substances Log:

Controlled Substances Log Patient & Medication Details	Date:		Prior Count Quantity:	AM Count Quantity:	Shipment Received Quanity:	Manager + Witness Initials:
Patient Name	Reason for Medication	Time of Administration	Drug Adminstered	Quanity Tablets/Pills Administered	Batch Number	Staff Initials
Notes:			Total Quantity Administered Today:	Expected PM Quantity Count:	Actual PM Quantity Count:	Manager + Witness Initials:
			All Tablets/Pills Accounted For (circle one):		Yes	No

TeamVision
Eye care, together.

Page_____

Note:
In Illinois, opticians are unlicensed individuals. 225 ILCS 60/54.2 permits physicians in an office or practice setting to delegate patient care tasks or duties to an unlicensed person who possesses appropriate training and experience if the physician is on-site.

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Crisis Event	Process Steps for Store Associate	Email or Call AP	Email or Call Operations	Call LUX Help Line
Riots/ Uncontrolled Crowds	• Contact 911 or local police • Verify safety of all associates and customers • Contact 1-866-LUX-HELP • Complete Incident Report • Contact Operations or RMAP to determine if the store front needs to be boarded up	Call	Call	Yes
Property Damage	• Contact 911 or local police Verify safety of all associates and customers • Contact Operations • Contact 1-866-LUX-HELP • Complete Incident Report • Contact Maintenance Hotline for cleanup	Email	Call	Yes
Mold	• Place "Urgent" Work Order with photos in Service Channel (Problem Type: Health & Safety – Mildew/Fungus) • Contact 1-866-LUX-HELP • If the situation is an emergency, a manager should contact the Maintenance Hotline	Email	Email	Yes
Serious Plumbing/ Sewage Leaks	• Follow procedures in Health & Safety Manual for clean-up • Contact Maintenance Hotline • Verify safety of all associates and customers • Contact Operations • Contact 1-866-LUX-HELP • Complete Incident Report	Call	Call	Yes
Media Inquiries	• Do not make statements to any media • Contact Corporate Communications	Call	Call	
• Burglary/ Robbery Between $1,000-$5,000	• Call 911 • Contact Maintenance Hotline	Call	Call	Yes
Burglary/Robbery Between $5,000-$50,000	• Call 911 • Contact Maintenance Hotline	Call	Call	Yes
Burglary/Robbery >$50,000	• Call 911 • Contact Maintenance Hotline	Call	Call	Yes
Suspicious/ Unattended Packages	• Do not open, handle or disturb the package • Clear the immediate area of all persons and keep others away • Do not use a cell phone or radio within the immediate proximity of the package • Call local police or 911		Call	Yes

EMERGENCY PROCEDURES

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Crisis Event	Process Steps for Store Associate	Email or Call AP	Email or Call Operations	Call LUX Help Line
Active Shooter	• Avoid: If it is safe, everyone should exit the facility immediately to AVOID the threat • Deny: If unable to exit safely, lock everyone in their current location and block the entrance to DENY the shooter's access • Defend: If you are unable to AVOID or DENY the threat, you may DEFEND yourself using whatever means are available • Call 911 when it is safe to do so	Call	Call	Yes
Bomb Threats	• Evacuate immediately to a pre-determined location and contact Security • Contact 911 or local police • Verify safety of all associates and customers • Contact 1-866-LUX-HELP	Call	Call	Yes
Chemical, Biological, and Radioactive Release	• Call 911 • Call Property Landlord • Isolate anyone who has been exposed • Anyone exposed should wash hands and any exposed skin with soap and water • Do not touch or move the item or material • Keep the area isolated • Do not allow other individuals to enter the area • Contact 1-866-LUX-HELP		Call	Yes

Fire Emergency	• Call 911
	• Call Property Landlord
	• If you see flames:
	    • Remain calm
	    • Evacuate immediately to nearest designated area
	    • Close doors behind you
	    • Pull nearest fire alarm
			Call	Yes

Medical Emergency	• Do not move an injured person • Contact 911 or local police • Contact 1-866-LUX-HELP • Complete Incident Report		Call	Yes
Power Outage	• Verify safety of all associates and customers • Contact 1-866-LUX-HELP		Call	Yes
Severe Weather	• Manager will direct all associates and customers to immediately evacuate or take shelter • Verify safety of all associates and customers • Contact 1-866-LUX-HELP • Complete Incident Report		Call	Yes

EXTERNAL VISITOR

Policy
To create a safe and secure environment for our team members, it is important for all individuals to follow the External Visitor Policy & Procedure.

On occasion, all Practice locations will receive external visitors from non-Luxottica companies, agencies, organizations, etc. to perform work related duties. In most instances, but not always, a Practice location will be informed of these visits in advance via phone, email or other Corporate communications.

The Practice Manager, Assistant Practice Manager or key holder is responsible for ensuring that ALL non-EssilorLuxottica visitors are legitimately hired for third party work or are business affiliates of EssilorLuxottica and visiting to perform a requested work function.

CRITICAL ACTION REQUIRED: Immediately upon arrival, external visitors must present a valid company ID and/or a visit authorization letter. Some visit times and dates may also be confirmed by using the Maintenance Portal.

Definition:
External visitors are third party representatives hired (not employed by Luxottica) or are business affiliates of Luxottica which include, but are not limited to:
- Construction Contractors/Consultants
- Surveyors
- Repairs & Maintenance Vendors
- Janitorial Services
- Regulatory Agencies and Inspectors (local, federal, state & provincial)

Procedures
Construction, Repairs & Maintenance
Location construction within the building may be performed by several different companies or contractors. Location repairs and maintenance work will be requested and regulated by the home office.

Construction, Repairs & Maintenance Visits
- Practice Manager, Assistant Practice Manager and key holder will receive:
- Notification of construction visit 72 hours prior to visit.
- Notification of repairs and maintenance visit is based on location need.
    - Verify visit time/date in Maintenance Portal.
    - Contractors/consultants typically call ahead to schedule appointment.
- A copy of an official visit authorization letter presented in person or via email (construction visits only).

Practice Manager, Assistant Practice Manager, Key Holder Responsibility

- Informing team members and doctors (if applicable) of visit scope.
    - Interactions should be limited and not disrupt business.
- Requesting and verifying contractor/consultant present a valid ID and/or an official visit authorization letter.
    - Contractor/consultant should present letter at time of visit or email in advance of visit.
- Allowing contractor/consultant to perform necessary job functions.
- Refuse external visitor entry if:
    - Verification of job duties are not in Maintenance Portal
    - Authentication in the form of a valid ID and/or official visit authorization letter are not presented.
- Contact Operations with questions.

Agency Inspections

Locations may receive inspections from external agencies including occupational safety or environmental regulatory agencies (local, state, federal or provincial), fire departments, construction and building permit inspectors, water and wastewater utilities, etc. Some of the duties performed by these agencies may include:

- Inspections ranging from routine checks on life safety systems (e.g. alarms or sprinklers) to an investigative inspection of a workplace complaint (e.g. reported work-related injury/illness or an alleged environmental harm).

Agency Inspections Visits

Practice Manager, Assistant Practice Manager and key holder will receive:

- Notification of agency inspections in some instances.

Practice Manager, Assistant Practice Manager and key holder Responsibility

- Informing team members and doctors (if applicable) of inspection scope.
    - Interactions should be limited and not disrupt business.
- Requesting the inspector present a valid ID and state the purpose of the inspection.
- Allowing inspector to perform necessary job functions.
    - Refer to the Health & Safety Manual found in the Operating Manual for additional information.
- Refer to the Pricing Accuracy Weights & Measures Policy & Procedure for additional details on pricing inspections.
- Refuse entry if a valid ID and explanation of inspection scope have not been presented at time of visit.
- Contact Operations with questions.

Policy

The Regional Manager of Investigations (RMI) Team will be the main point of contact for locations regarding all Critical Incidents (burglaries, robberies, violent threats/acts), as well as any shoplifting incidents over $5,000.

- This team of investigators will work to identify and initiate cases involving organized retail crime and will work with the locations directly to provide any trends, activity, and case progress.
- The RMIs will also partner with Regional Managers of Asset Protection (RMAPs) to integrate training to locations and promote awareness.
- Direct communication with the locations will be vital in the investigative process for the RMI team, and locations may be contacted for evidence collection, law enforcement reporting, and other pertinent steps in the investigation.
- A 24-hour staffed command center was created at the CSC to assist locations with critical incidents.

Procedures

Employee Occupational Illness or Injury

- Refer to Ciao! Optical Tool Kit - HR Solutions/Workers Compensation.
- Workers Compensation forms can be faxed to (513) 765-6965.

Critical Incidents Procedure

- Locations should contact 911 first, then call **(866) LUX-HELP, Option 6**; Option 1 for violence and Option 2 for burglary.
- Command Center staff will help walk locations through the aftermath of critical incidents and next steps.
- EAP information will be provided.

All other concerns

- Locations should call (866) LUX-HELP and listen to the pre-recorded options for concerns related to inventory, refunds, discounts, coupons, gift cards, missing cash or deposits, cameras, alarms, or location keys.
- If a location is unable to get their questions answered from the recorded message, they should contact their RMAP or Operations.
- Any concerns of internal fraud should still be called into the RMAP or Netclaims system at 1-888-88-SEE-IT (1-888-887-3348).

Shoplifting Procedure

- Continue to follow all 3 Rs procedures.
- (866) LUX-HELP, Option 6, then Option 3, will help locations determine who to call for shoplifting incidents.
- Contact your RMI for any shoplifters who were apprehended and/or for shoplifting incidents over $5,000.
- Submit an incident report and inventory adjustment following reporting the incident.
- If applicable, locations need to burn TWO copies of video pertaining to the entire shoplifting incident.
    - The burned video should contain footage from the time the suspect(s) entered the location until they exit with unpaid merchandise. Ensure camera angles depict the theft. Location help for burning video can be found on the camera monitor desktop.

Please Note

Customer Incident reports **MUST** be completed for, but not limited to, the following situations:

- Active Shooter-Command Center will complete the Incident Report
- Assaults-Command Center will complete the Incident Report
- Bomb threats-Command Center will complete the Incident Report
- Cash shortages over $50
- Civil disturbances, such as unruly crowds
- Electrical power interruption
- Fires
- Natural disasters
- Product later recovered or returned after a previous shoplifting incident
- Property damage (water damage, leaking roofs, etc.)
- Robbery or Burglary-Command Center will complete the Incident Report
- Shoplifting (known or suspected)
- Threatening telephone calls, letters, or other type of harassment to the location or a specific team member
- Threats of, or actual personal injury or property damage by, an angry patient/customer, employee or shoplifter - Command Center will complete the Incident Report
- Unsafe conditions/chemical spills (See the Chemical Safety Manual)

Note: some of these will have a specific policy and procedure for additional information.

KEY & SAFE

Policy

The Location Keys and Safe Controls Policy and Procedures is designed to control access to the location and security-related areas, such as the safe, manager's office, frame stockroom, and personnel files.

- The Practice Manager (PM) is responsible for controlling and distributing keys and safe combination. The location's keys and safe combination can only be given to authorized key holders. All key holders must keep keys in their possession at all times. Under no circumstances will keys be given to anyone or left unsecured anywhere in the location (this includes drawers, coats, purses locked in the manager's office or shared lockers, etc.).
- Spare keys must be kept locked in the safe or locked in an anchored key box.
- When entering or leaving the building during working hours, all team members must use only the front doors as team member entrances and exits.
- All other perimeter doors (if they are not public entrances) should be kept locked and/or secured with emergency exit alarms activated at all times.
- Management or authorized key holders should personally supervise the receiving of all shipments, garbage removal, and other business activities requiring the opening of emergency exits.
- All packages must be checked, in accordance with the Locker & Bag Check policy, before leaving Company premises.
- Only team members should have access to restricted areas (such as break rooms, stock rooms, etc.) and this should only be during their scheduled working hours.

Procedures

Perimeter Door Key

- Keys will be given to authorized key holders. The number of key holders is based on location volume and operating hours. Questions on key holder assignments should be directed to Operations or your RMAP.
- If a resignation, termination or transfer of a key holder occurs and the key holder DOES NOT return their keys to the PM, acting PM, or RMAP, then the perimeter door lock cores and keys must be changed immediately. In addition, all designated high shrink locations may be required to change the perimeter door lock cores and keys.

Obtaining Replacement Core Locks/Keys

Review the three (3) scenarios listed below to determine your best course of action:

Do you meet the following criteria?

- Are you a Practice Manager?
- Do you need to change the location's lock cores/keys?
- Do you lack current access?
- Are you unable to gain access?
- Do you need immediate access? (emergency)

If you answered "Yes" to all of the above questions, then follow the steps below:

1. Call Emergency
2. Maintenance at (513) 765-3500.

Do you meet the following criteria?

- Are you a Practice Manager?
- Do you need to change the lock cores/keys?
- Do you have current access?
- Is your situation important but not an emergency?

If you answered "Yes" to all of the above questions, then follow the steps below:

1. The current lock system could be an InstaKey, and you may be able to change the locks manually.
2. Open your safe.
3. Once inside the safe check to see if you have a manual REKEY KIT.
4. The REKEY KIT will consist of a control key and 5-7 new operator keys.
5. Follow the instructions included in the manual REKEY KIT to change the lock cores.
6. Once the locks are changed the PM should assign the keys to individual team members. Each team member receiving a key must sign a Key Holder Agreement acknowledging all key holder responsibilities, including the fact that keys are never to be shared, loaned out or duplicated.
   - Violation of the key agreement may lead to Corrective Action up to and including termination of employment.
   - Operations must approve the selection of any non-management key holders for a location.
7. Discard any old keys.
8. Use the Maintenance Portal to request a new manual REKEY KIT.
9. Once the new manual REKEY KIT arrives place it in the safe for future utilization.

3. Do you meet the following criteria?

- Are you a Practice Manager?
- Do you need to change the lock cores/keys?
- Do you have current access?
- Is your situation important but not an emergency?
- Have you checked your safe and confirmed that you DO NOT have a manual REKEY KIT?

If you answered "Yes" to all of the above questions then follow the steps below:

1. Use the Maintenance Portal to request new core locks and keys.
2. The lock company contracted by the Maintenance Department will send all new cores/keys, or Next Step Keys. The core and locks will come to the attention of the PM. It is the responsibility of the PM to
3. change the cores and keys or move the cores to the Next Step in the series.
4. After changing the cores and keys, the PM has four days in which to return all the old cores, keys, and control keys back to the lock company.
   - If Next Step Keys/InstaKey is used, the PM can just throw out the old keys once each core is moved to the Next Step.

5. The PM should assign the keys to individual team members. Each team member receiving a key must sign a Key Holder Agreement acknowledging all key holder responsibilities, including the fact that keys are never to be shared, loaned out or duplicated.
   - Violation of the key agreement may lead to Corrective Action up to and including termination of employment.
   - Operations must approve the selection of any non-management key holders for a location.
6. If you changed the core locks with Next Step Keys/InstaKey then use the Maintenance Portal to request a new manual REKEY KIT.
7. Once the new manual REKEY KIT arrives place it in the safe for future utilization.

Safe/Safe Combinations

- The safe must be kept locked at all times and never set on day lock (one or two digits away from the opening).
- The safe combination must be changed immediately upon the resignation, termination, or change in key holder status. Requests must be made by the PM or Operations to the Cincinnati Service Center (CSC)Maintenance Department by accessing the Maintenance Portal or calling (513) 765-3500.
- The safe combination must be memorized by the authorized management team member and not written down. The combination should not be a birthday, social security number, location phone number or anything that would be directly connected to the location or the individual creating the code.

Unable to Open Safe

Electronic safe:

1. For an electronic safe check, the batteries to determine if battery replacement is necessary.
2. If the new batteries DO NOT allow entry, then call Emergency Maintenance at (513) 765-3500.
3. A technician will be dispatched to open the safe. To gain access into the safe the technician will drill the safe which will make it inoperable.
4. A new safe will need to be ordered to replace the inoperable safe. Contact your RMAP or Operations to order a new safe for your location.
5. Work with your RMAP or Operations for a temporary "safe" solution until the new safe arrives.

Manual safe:

1. If you cannot gain entry into a manual entry safe, then call Emergency Maintenance at (513) 765-3500.
2. A technician will be dispatched to open the safe. To gain access into the safe the technician will drill the safe which will make it inoperable.
3. A new safe will need to be ordered to replace the inoperable safe. Contact your RMAP or Operations to order a new safe for your location.
4. Work with your RMAP or Operations for a temporary "safe" solution until the new safe arrives.

LOCKER & BAG CHECKS

Policy

In locations where lockers are provided for team members, management is responsible for providing locks for each locker. In all locations, all team members, including management, doctor's office staff (e.g., Optometrists), field managers, and visitors must have their purses, packages, briefcases, etc. inspected by a member of management each time they leave the location. This includes lunches, breaks, errands, end-of-shift, and any other time a team member leaves the location for any reason.

Procedures

Locker Inspection Process

- Practice Manager (PM) should retain a passkey or combination for each lock and keep securely in the safe. All team members are required to lock their lockers at all times. Management will periodically check each locker to verify compliance with this policy.
- The Company is not responsible for any personal property that is lost or stolen. Locks can be ordered in Central Purchasing.
- If lockers are not available or an insufficient number of lockers are not provided for all team members as well as management, personal property such as purses, wallets, etc. must at least be secured in a locked desk or cabinet.
- Personal belongs should not be stored in a designated work area (front desks, exam lanes, patient access common areas).
- Team members should take caution to bring valuables to the workplace.
- The Company is not liable for missing/stolen/damage personal items.
- Non-valuables can be stored in a manager's office or in the back inside a cabinet.
- In locations where lockers are provided for team members, the PM (with an additional manager or team member acting as witness) must periodically inspect all lockers.
  - The inspection will not be announced, and must not be posted on any schedule or calendar prior to its completion.
  - Locker inspections must be documented on a Monthly Locker Inspection Form that should be posted on or near team member lockers.
- All team members are expected to voluntarily assist management with locker inspections. Any team member who refuses to cooperate with these inspection procedures may be subject to disciplinary action.
- If Company merchandise is found while conducting a locker inspection and the team member cannot produce a valid receipt; management should hold and secure the merchandise.
  - If proof of purchase is not immediately available, management should document the UPCs and description of the merchandise found, take a picture of the merchandise when possible and contact Regional Manager of Asset Protection (RMAP) immediately.
  - DO NOT accuse the team member of committing theft.

Bag and Package Check Process

It is the team member's responsibility to find a manager or authorized key holder to inspect his/her package, purse, etc. prior to leaving the location. This security check is mandatory and must be implemented on a consistent basis. It is the responsibility of management and authorized key holders to ensure that this bag and package check procedure is enforced.

- If Company merchandise is discovered while the manager is conducting a package check and the team member cannot produce a valid receipt or proof of purchase, management should hold and secure the merchandise.
    - If no proof of purchase is immediately available, management should document the UPCs and description of the merchandise found, take a picture of the merchandise when possible and contact Asset Protection immediately.
    - DO NOT accuse the team member of committing theft.
- A manager or keyholder should refrain from reaching their hands into personal bags such as purses and backpacks.
- The manager/keyholder should visually inspect the contents without touching them.
- **If any items of concern, including merchandise with no valid proof of purchase, are uncovered during a locker, bag or package check, management or the key holder should contact the RMAP immediately.**

It is the responsibility of all team members to know this policy and procedures and to comply fully. Team members are encouraged to seek guidance when a situation may be unclear. If a team member has any questions about this policy or is unsure of how to comply with the policy, please contact a manager.

All presumed or actual violations or misuse must be reported to management. If it is determined that this policy has been violated, those involved may be subject to discipline up to and including termination of employment to include prosecution to the fullest extent of the law.

NON-SOLICITATION

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Policy

Individuals not employed by the Company are prohibited from soliciting funds or signatures, conducting membership drives, distributing literature or gifts, offering to sell merchandise or services (except as previously approved by the Company or philanthropic purposes), or engaging in any other solicitation, distribution or similar activity on Company premises at any time.

The Company may authorize a limited number of fund drives by team members on behalf of charitable organizations, such as OneSight, or for team members in need. Team members are encouraged to volunteer to assist in these drives, but their participation is entirely voluntary.

Review Solicitation and Distribution Policy in Luxottica Employee Guide for additional details.

REMOVAL OF COMPANY ASSETS

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Policy

To maintain accurate financial accounting of fixed assets, it is very important that all location equipment is transferred and/or disposed of properly.

Removal of location equipment, inventory or other company assets or supplies such as toilet paper, lab equipment, company tools, and office fixtures without authorized transfer or management approval is a violation of company policies and procedures.

In the event of a team member's resignation, termination, or transfer, it is required that all location documents and company assets remain in the location.

This includes, but is not limited to:

- Personal Health Information documents (PHI)
- Location Keys.

Personnel files for team members that leave the company should be sent to the home office, if the team member is transferred, the team member's personnel file should be sent to their new location (ATTN: Practice Manager or Store Manager if transferring to a Retail Brand location).

Procedure

An Equipment Transfer/Disposal Form (CP# 110890) must be completed for the transfer or disposal of any equipment.

Procedure

Robbery

A robbery happens when a person(s) uses force or the threat of force against a team member to steal items from the location. In the event of a robbery, team members should attempt to follow these guidelines:

During a Robbery:

- Attempt to stay calm. Try not to make any sudden moves that would anger or cause the robber to panic.
- Let the robber know you intend to cooperate. Try not to disagree or fight the robber.
- Attempt to follow the robber's orders precisely and calmly.
- Try to avoid screaming, making any type of gesture or do anything to call attention to the situation.
- Try to observe every detail about the robber without looking directly at them.
- If possible, without endangering anyone, note the means and direction of the robbers when they leave the location.

Recommended steps AFTER the robber has left:

- After the robber leaves, lock the doors and contact 911 first, then call (866) LUX-Help, Option 1 for violence and Option 2 for burglary.
- Try not to let anyone into the location except the police and security (may be applicable based on location).
- Try not to touch anything that the robber might have touched. Secure the scene to protect any evidence.
- Have everyone immediately write down information about the robber and robbery. Do not compare notes.
- If patients are present during the robbery and cannot stay, get their name, address, and telephone number for the police.
- Employee Assistance Program (EAP) information will be provided.
- Contact the command center, Operations and your Regional Manager of Investigations (RMI).
- Command Center staff will help walk locations through the aftermath of critical incidents and next steps.
- Complete an on-line Incident Report within 24 hours.
  - Toolkit > Asset Protection > Incident Report > select the appropriate category "Violent Crimes/Threats".
- If applicable, pull and replace the SD memory card from the security camera or save the footage if the location has a full camera system. (The police may seize this as evidence).
- Do not speak to members of the media; refer all inquiries to Operations.

SALES SOLICITATIONS

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Policy

Team members are not to accept unauthorized sales solicitations.

Procedures

Do not give the caller your name or another team member's name (these callers use names frequently instead of purchase order numbers).

Your standard answer should be: We purchase everything through our corporate office in Cincinnati, Ohio. Please contact them at:

Luxottica Retail
4000 Luxottica Place
Mason, OH 45040
Attn: Purchasing Department

Sometimes scam vendors will ship you products you did not order.
If you receive unexpected goods, services or invoices:

- Do not use the goods – partner with Operations to determine if the order is legitimate (items ordered by you directly or by the Home Office).
- If you determine the goods are not legitimate, send the invoice, goods, and packing slip with details to the Asset Protection Department. Mail to:

  Luxottica Retail
  4000 Luxottica Place
  Mason, OH 45040
  Attn: Asset Protection Department
- If you receive any calls about the order, refer them to Operations. We are not under any obligation to return unordered goods.

Policy

Eyeglasses are prime targets for shoplifters as they can be easily picked up and concealed. Most shoplifting losses can be prevented by following the 3R's of shoplifting prevention: Recognize, React, and Respond. Personal safety is always paramount. Managers and team members should not use force or pursue a suspected shoplifter.

Procedures

Prevent Shoplifting

- **Recognize** all patients as they enter the location. Great customer service and team member engagement is the key to shoplifting prevention. **Recognize** what is happening in the location. Customer service should be the first priority. Be especially aware of any situations or disturbances that may be a diversionary tactics designed to draw your attention away from the shoplifters.
- **React** by approaching and servicing all customers. This greatly reduces the shoplifter's opportunity to steal.
- **Respond** to customers by covering all areas of the location. Whenever a team member must leave the main area, he/she should let a manager know. The manager should alert the lab (if applicable) and another team members when additional assistance or coverage is required in the main area.

Things to Look For

Shoplifting can occur at any time, but certain parts of the day are critical. Professional shoplifters are patient and will steal when team members are apt to be less alert. Therefore, their favorite times to 'work' are during openings, shift changes, closings, and when a location is extremely busy.

1. Watch your patient/customer's eyes. If they are really shopping, they will be looking at merchandise. If they are looking at you or other team members in the location, they usually either need assistance or are thinking about shoplifting. Respond by servicing the customer!
2. Recognize customers who have loose or baggy clothing. They can easily conceal merchandise under these garments.
3. Recognize customers with large bags or boxes, particularly if they are for businesses not nearby, or if they have no business affiliation (gift bags, etc.). They could easily conceal merchandise in these containers.
4. Recognize patients/customers who seem nervous or refuse assistance.
5. Recognize patients/customers who visit the location on a regular basis but never seem to buy anything.
6. Be aware of a patient/customer who creates a disturbance. He/she may be a decoy, drawing your attention away from others who are trying to steal.

Recognize

How to Spot a Shoplifter

There are basically two kinds of shoplifters who steal from our locations:

- **Professionals** – are those who make a living by stealing, relying on a lack of awareness by team members and creating their own opportunities to steal. Professional shoplifters normally target the newest, highest fashion, and most expensive merchandise in the location. They can work alone or
- in a team and use diversionary tactics to accomplish their theft.
- **Amateurs** – are opportunists who take advantage of the opportunities we create through our own lack of awareness or poor customer service. By following the 3R's and providing excellent service, most amateurs will purchase the merchandise they were considering stealing.

React

How to Stop a Shoplifter

The moment you suspect someone may be considering shoplifting, refer to the 3 R's of Shoplifting found on your 3-part Asset Protection Poster:

- If a team member suspects or witnesses a customer concealing merchandise. Ask the customer if they need help selecting a pair of eyeglasses or sunglasses for purchase.
- Under no circumstances should any team member attempt to apprehend, pursue or chase a suspected shoplifter!
- Continue to give great service. If the customer gives a team member concealed glasses, thank them and ask them if they would like to purchase the eyewear.
- Notify the manager/key holder. Complete an online incident report if necessary.

Respond

How to Report a Shoplifting

- Contact (866) LUX-HELP, Option 3 will help locations determine who to call for shoplifting incidents.
- Contact your Regional Manager of Investigations (RMI) which is found on the Asset Protection link from the Ciao! Toolkit and Regional Manager of Asset Protection (RMAP) for any shoplifters who were apprehended and/or for shoplifting incidents over $5,000.
- Submit an incident report and inventory adjustment following reporting the incident.
- Shopliftings under $5,000 should have an incident report and inventory adjustment submitted.
- For thefts of five (5) or more items or repetitive theft incidents, contact Operations and RMAP for further guidance.
- If applicable, locations need to burn TWO copies of video pertaining to the entire shoplifting incident.
- The burned video should contain footage from the time the suspect(s) enter the location until they exit with unpaid merchandise. Ensure camera angles depict the theft. Location help for burning video can be   found on the camera monitor desktop.

Do not call the police, landlord, or retail outlet security to report any nonthreatening shoplifting incident unless directed to do so by a member of Asset Protection. Contact the command center and answer the question prompts and you will be advised on who to contact and next steps.

Policy

The Complimentary Eyewear Program provides one free pair of eyewear with lens enhancements to all active team members and those on an approved leave of absence on his/her anniversary date. Certificates may be used by team members and their immediate family members only ("immediate family" means family members who are allowed as a federal tax exemption by the team member). Every doctor employed by a Practice will receive a certificate for one complimentary pair of eyeglasses (frames and lenses) each year. The certificate will be presented to each doctor on the anniversary date of his/her employment with the Practice. Limit one per doctor. The certificate may be used by the doctor or by any member of his/her family until the end of their employment with the Practice. Certificates may only be used at the practice they are employed at.

The Complimentary Eyewear Certificate is valid for ONE product only: either a pair of prescription eyewear/sunwear OR a pair of plano eyewear/sunwear. Prescription lenses can ONLY go in the frames obtained with the same Complementary Eyewear Certificate. Individuals may not use the certificate to put prescription lenses in a pair of previously purchased frames.

Procedures

- The entire EssilorLuxottica Complimentary Eyewear Certificate must be presented in full.
- Certificates may be used by the team member/doctor and their immediate family members only ("immediate family" means family members who are allowed as a federal tax exemption by the team member/doctor).
- The team member/doctor must accompany any qualifying family member at the time of redemption.
- The certificate may not be redeemed if the team member/doctor is no longer employed.
- Team members must follow the instructions for redemption on the certificate. Certificates may be redeemed only for the brands listed on the eligible frame list and frame price limit is MSRP $500.
- Redeemed Complimentary Eyewear Certificates must be attached to the receipt and filed in the DCR (Daily Closing Report).
- One exchange within 30 days of original dispense date is allowed.
- Complimentary eyewear must be approved and processed by Practice Management or a designated Key Holder.
- Practice Manager purchases must be approved by another Practice Manager or designated Key Holder.
- See Complimentary Eyewear Certificate for additional terms, conditions, and guidelines.
- Product obtained through the Complimentary Eyewear Certificate cannot be resold by the team member/doctor or family member.
- Certificates will arrive by the 15th of each month for team members celebrating their Luxottica anniversary (i.e. January anniversaries will receive certificates in early January). For the few certificates that do not arrive by the 15th of the month for the team member's anniversary month, contact Operations, providing them with the employee's name, LUX ID #, and site number.
    - Operations must email re-issue requests with this information to compeyewear@aonhewitt.com within 60 calendar days from the beginning of the individual's anniversary month (i.e. if the individual's anniversary is January 20, the Operations authorization must be sent by the last day of February (Feb 28).
    - After the 60-day time period, requests for certificates not received will not be accepted.
    - Once the certificate is delivered to the individual, lost or misplaced certificates will not be replaced. Practice Manager is to remind team members to handle their certificates with care.

CONTESTS / GIFTS / PRIZES

Policy

Cash and non-cash prizes, gifts, awards, and contests are considered to be taxable wages by the IRS (Fringe Benefits Tax Guide). The value of these items must be included in the team member's wages and is subject to taxation. The Company's withholding policy depends upon the distribution method of the award. Under no circumstances is cash to be removed from the cash register to pay for contests, gifts or prizes. Practice initiated contests (i.e. contests where only team members of a particular location are eligible for the prize) must be approved by Operations. Checks issued by the Payroll department will be net of the appropriate withholding taxes. Non-cash awards (trips and prizes) will be "grossed up" as not to burden the team member for the tax impact of receiving the award.

Procedures

Prizes and gift certificates - Taxes on the market value of the award will be calculated and paid by the Company when added to the team member's wages. These taxes (team member and employer) will be charged to the team member's cost center unless otherwise requested.

Payroll check - Taxes will be deducted from the team member's payroll check. The team member will receive a check for the net amount of the award (contest winnings less taxes). Contest amount, as well as the employer taxes, will be charged to the team member's cost center unless otherwise directed. If the cash payout is to be "grossed up" so the recipient receives the full amount of the award on an after- tax basis, VP Ops approval is required.

Policy

This policy applies to all team members involved in optical tasks. Every team member is responsible for following the state regulations in their Practice location. Team members must understand and follow the policy and procedure to ensure optical tasks are properly performed. Failure to follow state regulations correctly is against company policy.

Field Operations must ensure Practice locations are in compliance with state law and coach Practice Managers.

This includes:

- Holding Practice Managers accountable for appropriate staffing and scheduling of licensed and apprentice opticians.
- Being proactive in recruiting and educational efforts to build a strong bench of apprentice and licensed optician talent.
- Ensuring Practice Managers maintain complete and up-to-date profiles for their licensed, apprentice, and student opticians in the HR system.
- Ensuring Practice Managers develop their expertise in the area of understanding licensed optician requirements for their state.

Practice Managers are directly responsible for ensuring their location is in compliance with state law, as well as developing a strong bench of talent.

This includes:

- Staffing and scheduling the Practice location to ensure appropriate licensed optician coverage.
- Promoting training and education for apprentices to build a strong bench, including use of Leonardo educational offerings.
- Ensuring licensed opticians (an apprentices where applicable) complete required continuing education and renew licenses and certifications on time.
- Ensuring up-to-date profile information for all team members in the HR system, including licensed opticians, apprentice opticians, and student opticians.
- Ensuring apprentices are scheduled according to specific regulations regarding supervision.

Licensed Optician	Holds an opticiary license in one of the 23 licensed states or 9 licensed provinces. Must sit for a board exam with varying prerequisites. Various paths to Licensure are listed below.
Certified Optician	An Optician in non-licensed states. Company policy is that a team member may be titled as a Certified Optician after passing the American Board of Opticianry (ABO) exam.
Apprentice Optician	A team member seeking an opticianry license by working under a licensed optician for 2 to 4 years depending on state requirements. Registers with the state board to meet certain hour and educational requirements.
Student Optician	A team member seeking an opticianry license by graduating with a 2-year degree in Opticianry through one of the Opticianry Degree programs in North America (known as “diploma” programs in Canada).

Procedure
Who Can Perform Optical Dispensing Tasks

Type	Description	States/Provinces
High Regulation	Only Licensed Opticians can perform optical dispensing tasks	PR
Moderate Regulation	Only Licensed Opticians and Apprentice Opticians can perform optical dispensing tasks	United States: AR, CT, KY, MA, NJ, NV, NY, OH, TN, VA, VT, WA Canada: AB, MB, SK, ON, PQ, PEI, NS, NB, NL
Low Regulation	Any trained team member can perform optical dispensing tasks as long as a Licensed Optician is present	United States: AK, AZ, CA, FL, GA, HI, NC, NH, RI, SC Canada: BC
No Regulation	Any trained team member can perform optical dispensing tasks	All other states, no Canadian provinces fit this description

Optical Dispensing Tasks
While definitions of optical dispensing tasks can vary slightly by state in general, they can include:

- Taking frame and lens measurements
- Inspecting and verifying finished eyeglasses
- Adjusting eyeglasses to fit the customer
- Dispensing tasks also include making the final determination that a particular frame, lens or frame and lens combination is appropriate for use with the customer's prescription

Other tasks typically don't constitute dispensing, and any team member can perform them:

- Showing frames and lenses to patients (frame styling)
- Discussing the qualities and attributes of frames, lenses, tints, coatings and accessories
- Making recommendations for frames and lenses based on frame styling and intended use (lifestyle selling) - but subject to licensee/apprentice confirmation
- Entering a work order into the Point of Sale (POS)
- Performing laboratory work - except for in the state of CT where lab personnel must be licensed
- Transacting the sale

Digital Measurement System

All team members receive general training on the capabilities and operation of the Digital Measurement System. Specific task related training on Digital Measurements is based on the team member's job duties and, where applicable, state requirements for ophthalmic dispensing activities.

- Use of the Digital Measurements function may be limited to licensed opticians, registered apprentices, and team members working under licensed supervision, depending upon the requirements of state or provincial law.

Policy

The Company appreciates the committed efforts of team members to become Opticians. They are who makes us the experts in helping the world see. The company provides resources to help you obtain and renew your apprenticeship, certifications and licenses/registrations. Please read this policy in its entirety before applying for any optician reimbursements. The guidelines explain how to file for reimbursement and what expenses are eligible.

Eligibility

EssilorLuxottica will reimburse the optician expenses listed below for full-time and regular part-time Licensed Opticians incurred after first day of service. In the following states: **AK, FL, MA, NC, NJ, NV, NY, SC, VA, & WA.** State-mandated apprentice Optician programs and initial licensing expenses are covered for all apprentices (full-time, regular and casual part-time) beginning on the first day of employment.

Reimbursement Categories:

- **ABO & NCLE Exams:** The Company will reimburse exam fees incurred after first day of service when passing the American Board of Opticianry (ABO) and National Contact Lens Examiners (NCLE) examinations.
  - Travel or hotel expenses may be reimbursable in certain circumstances. See the detailed category description for further details.
- **ABO & NCLE Renewal:** Full-time and regular part-time team members are eligible for reimbursement of renewal fees for ABO & NCLE certification incurred after first day of service.
  - Team members can request reimbursement for the full cost of each renewal once every three years.

Apprentice Registration and Renewal

EssilorLuxottica will reimburse the costs of registration and renewal for full-time and regular part-time Apprentice Opticians incurred after first day of service.

- The Company will also reimburse apprentices for state-mandated apprentice programs in **AK, FL, MA, NC, NJ, NV, NY, SC, VA, & WA** beginning on the first day of employment, up to $750.
- For apprentices in states that require the Career Progression Program (CPP), Luxottica has a special arrangement to be direct-billed for the cost of the program. See details in the section covering Career Progression Program (CPP).

Initial State Licensing/Registration

EssilorLuxottica will reimburse full-time and regular part-time team members for initial state licensing fees incurred after first day of service.

- This includes state licensing exams, initial license or registration fees, and associated expenses such as, but not limited to, finger printing and passport photos.
- Travel or hotel expenses may be reimbursable in certain circumstances. See the detailed category description for further details.
- Reimbursement is also included for casual part-time team members in **AK, FL, MA, NC, NJ, NV, NY, SC, VA, & WA.**

State License Renewal and Continuing Education

- EssilorLuxottica will reimburse full-time and regular part-time team members for renewal fees for state optician licenses incurred after first day of service.
- The Company will also reimburse fees for continuing education (CE) incurred after first day of service.
  - Please note however that free CE courses provided by Luxottica via Leonardo is available for your convenience.
  - There is a $300 bi-annual SUPPORTING DOCUMENTATION maximum for CE expenses.
  - In order to have your claim approved, you must submit documentation supporting the claim. In all cases, this includes the proof of payment. Most claim types require another piece of proof. **Any claim that does not include all required documentation will not be approved.** Please find below specific evidence that will provide the proof needed.

Supporting Documentation

Proof of Payment

- A copy of any one of the following will be considered proof of payment:
  - An image of the front and back of a check used for payment.
  - A copy of the debit/credit card receipt used for payment, clearly showing the charge.
  - An official receipt from the organization to which payment was made. Hand-written receipts are only acceptable when it is printed with official letterhead/logo of the organization.

Proof of Passing an Exam

- Exam reimbursements are only given when the exam is passed.
  - A letter or other document from the organization overseeing the exam noting a passing score was achieved, is required.

Proof of Licensure

- Initial and renewal license, registration and/or certification claims are required to include proof of the credential.
- For state license/registration, a copy of the license, license card or renewal seal with the expiry date, or screen shot of an online verification from the state board showing active status and the new expiry date.
- For ABO & NCLE renewals, a copy of the letter/email showing the renewal payment will be considered proof of valid certification.

Proof of Completion

- All continuing education claims require proof of completion.
- This requires a certificate of attendance or completion, signed or stamped by the sponsoring organization.

Travel Reimbursement

- For team members who must travel **at least 100 miles** (round-trip) to take the ABO, NCLE or State exam will be reimbursed for travel expenses as outlined below:
  - Travel to the exam location, at the per-mile rate at time of claim submission.
  - Any tolls incurred, and meals on the day of the exam, to a maximum of $50.
- In addition, team members who must travel **at least 150 miles** (round-trip) will be reimbursed for:
  - One-night lodging expense, to a maximum of $200.
- For team members who must travel **at least 150 miles** (round-trip) and those who must sit for multiple day exams, and travel **at least 100 miles** (round-trip).
  - One-night lodging expense, to a maximum of $200.
- Team members claiming more than these maximum travel expense rates will be reimbursed only for the maximum rates listed.

Multi-state Licensed Team Members

- Initial licensing and travel expense reimbursement is intended to allow team members to recover costs associated with licensing requirements in their home state, which assists the company.
- Any team member requesting reimbursement for initial licensing or travel expenses outside of their home state must receive prior Operations approval for these expenses to be reimbursed.

Apprentice Career Progression Programs In Required States

For team members in states where the CPP program is required, Luxottica pays the National Academy of Opticianry (NAO) directly for this program.

- In order to take advantage of this benefit, do not apply using the regular application process.
- Call NAO at 1-800-229-4828 or email OCPP@nao.org.
- You must have a commitment from a licensed optician to be your sponsor prior to calling.
- This benefit will be made in two payments by Luxottica directly to the NAO as follows: $400 for Phase I and $800 for Phase II.
- The required books will be sent to you at your location once Luxottica has paid the invoice for each phase.
- NAO will forward the invoice to the Expense Payables Department your manager who will approve and forward invoice for processing.
- Team members in New Jersey should refer to the procedure posted at your location called the NJ Apprentice Optician Program. Reimbursement or contact your Regional Manager.
  - New Jersey team members may receive up to $750 per calendar year for college course expense or access the General Tuition Benefits if enrolled an opticianry degree program.
  - See http://www.nfos.org/ for information on accredited programs.

Continuing Education

- Continuing education (CE) to meet all ABO, NCLE and many licensed state requirements is offered through Leonardo in a partnership with Quantum Optical at no cost to all Luxottica team members.
  - This is the only source for CE credits administrated through Luxottica
- For CE reimbursement, all team members are eligible on the first day of employment. However, the expectation is that team members will use the free CE when allowed and send in reimbursement for the additional CE needed.
  - State rules on CE can change, so please check to make sure your state accepts online CE credits.
  - Any courses can be verified at https://www.quantumoptical.com/
- Please note that in states where state society or optical organization memberships include CE hours, these fees will be covered but after taking courses, as proof of completion is required.
  - The Company will not reimburse any CE fees prior to course completion, or travel expenses incurred, including mileage/parking costs.
- NOTE: Courses that are only ABO and NCLE approved are reimbursable when used to complete state requirements.
  - These courses are not reimbursable when used only for ABO and NCLE certification renewal as these requirements can be met through Luxottica University.
- Team members may receive a maximum of $300 per two-year period for CE courses.
  - This maximum is calculated on a calendar-year basis (January 1 – December 31) odd through even years (such as 2015-2016, or 2017-2018).
  - This is calculated based on date expense occurred, not on claim submission date.

Procedure

Online Optician Reimbursement

All Optician expense claims should be filed using Concur Online Reimbursement.

- Practice Managers should assist team members with needed training to use Concur.
- Reports will be approved by Store Operations.

Team Member Responsibility

Prior to submitting expenses for reimbursement, it is the team members' responsibility to:

- Read and understand this policy, including eligibility criteria.
- Seek your Practice Manager for training on how to use Concur Expense Online Reimbursement system to submit claims.
- Ensure proper documentation is attached to your expense report.
- Submit reimbursement requests within 90 days of incurring expense or completing exams/courses.

Policy

All team members must personally clock in and out on the desktop or Tablet during their work shift, including meal breaks (meal break punches are for non-exempt/hourly team members only). All hours worked must be recorded, "off the clock" work is not permitted; this includes exempt and non-exempt team members. Practice Managers or co-workers are not permitted to clock in/out for another team member. If there is an error in a team member's timesheet the team member must notify their manager to have the appropriate edits made within the time keeping system or a missed punch request must be submitted for manager approval. Each Saturday evening after close of business, the manager must edit (as necessary) and approve hours in the time keeping system. This must be completed after the last team member has clocked out for the day and prior to end of day processing. Failure to do so could result in a team member not being paid correctly.

Procedure

1. Daily, the closing manager must verify all team members' pay data (hours) in the time keeping system, including confirmation that all punches are included and accurate; missed punch submissions should be approved.
2. Manager executes payroll approval procedures at the end of the week.
3. Retain payroll paperwork and copy of schedule, if needed, according to Record Retention Policy. The time keeping system supports a paperless system, so only print these if necessary. Once payroll is complete in the time keeping system, if any discrepancies are found, the manager must send any changes to Operations for historical timecard corrections by Monday morning.

Record Type	Retention
Air Emission and Permits 1. Active 2. Expired	1. Active 2. 2 Years
Appointment Books	2 Years
Associate Personnel Files (old paper employment application and employee guide acknowledgements, attendance record form, performance improvement plans/ action plans, performance review forms, corrective action records (informal and formal), meal period waivers (where applicable).	Active if storage capacity exists; If no storage capacity/upon termination GBS Document Imaging, 1035 N. Meridian Rd., Youngstown, Ohio 44509-9905. Continental US-based locations may use the postage paid and addressed GBS return envelope available via Central Purchasing (CP #3031679 HR-1221). Island locations may send to GBS via Campus Ship. Ensure that the store number, brand, and employee Luxottica ID are noted on the back of the envelope in the spaces provided and on the document(s).
Corporate Credit Card Logs and Receipts	7 Years
Customer File, Order and Dispensing Records (including eyewear order forms)	7 Years (either electronic or paper format is acceptable unless specified) Paper copy of Rx must be kept at store in: • Florida: 2 Years • South Carolina: 3 Years • New Jersey: 6 Years • Connecticut: 7 Years
Damage Disposition Final "Sign Off" (signed by Witness and PM/APM)	1 Year
DCR's - Credit card Receipts, Voids, Returns, and EOD Reports	90 Days
Emergency Action Plans (for e.g. Hurricane Preparedness) for Stores: 1. Active 2. Superseded	1. Active 2. 1 Year After Being Revised
Hazardous Waste/Material Filings	3 Years
Hazmat Transportation Records	3 Years
HIPAA Sheet/Log	6 Years
Incident Reports	Active; To Legal Department Upon Conclusion of Matter
Injury and Illness Data Reports	5 Years

Record Type	**Retention**
Inspection Records & Reports	10 Years
Inventory Documents (including Inventory Adjustment Records)	Keep until year closed to assessment by IRS
Lab Order Tickets	90 Days
Material Safety Data Sheets	30 Years
OSHA Files, Logs, Reports and Inspections	5 Years Following the End of the Calendar Year that these Reports Cover
Patient Files	10 Years
Permits & Operating Licenses (Including Embedded Building and Construction Floor Plans) 1. Active 2. Expired	1. Active 2. Years
Recalls and Transfers	2 Years
Quality Records and Reports	5 Years
Safety Records	5 Years
Safety, Health, Security Compliance Reports and Inspections	7 Years
SPCC Plans (Spill Prevention Control and Control and Countermeasure Records) and Release/ Spill Records	3 Years
Store Schedules – Held in Digital and Hard Copy	5 Years
Telephone Records	1 Year
Timekeeping Reports (electronic or print-outs), Paper Timesheets including Timesheet Correction Forms 1. New York 2. California 3. All Other States	1. 6 Years 2. 5 Years 3. 3 Years
Vendor Inspections – Fire Department/HVAC	5 Years
Vision Care Paperwork (corrected claim forms, Medicare forms, signature capture, vouchers, etc.)	10 Years

Policy

This policy applies to all team members who communicate online on their own behalf, both during work and non-work time, and both in and out of the workplace. It also applies to team members whose core work responsibilities include online communications or are otherwise participating at the request of the Company.

The Company recognizes that online communications, including participation in social media, may be a part of some team members' everyday lives. The Company supports responsible online communication that complies with the following guidelines and best practices. Ultimately, team members are solely responsible for what they post online. Before creating online content, team members should consider some of the risks and rewards that are involved. Keep in mind that any conduct that adversely affects a team member's job performance, the performance of others or otherwise adversely affects patients, suppliers, people who work on behalf of the Company or the Company's legitimate business interests may result in disciplinary action up to and including termination of employment.

Disclose Your Connection to the Company

Whenever discussing the Company, or Company products or services online, team members must disclose their employment with Luxottica. Team members may not represent themselves as spokespersons for the

Company and must note that any opinions expressed are their own and do not represent the official position of the Company. A team member's employment connection must be disclosed regardless of the space limitations of the medium used.

Do Not Disclose Any Confidential Company Information

Disclosure of any Company confidential, proprietary or trade secret information is strictly prohibited. Any Company information that is subject to a Confidentiality Agreement or Non-Disclosure Agreement cannot appear in team members' online posts under any circumstances. This includes but is not limited to: strategies and plans; sales and financial results; product releases, marketing or promotions; new store designs; inventory/pricing information; and customer information. Team members should not make comments about the Company that are maliciously false or make disparaging remarks about competitors. If a team member has any questions about whether information is confidential, he/she may contact his/her manager, Employee Relations or Corporate Communications before disclosing any such information, or err on the side of caution and not disclose the information.

Give Your Honest and Truthful Opinions

Team members should make sure they are always honest and accurate when posting information or news, and if a mistake is made, correct it quickly. Be open about any previous posts that have been altered. Remember that the Internet archives almost everything; therefore, even deleted postings can be searched. Team members should never post any information and rumors they know to be false about the Company, fellow team members, customers, suppliers, people working on behalf of the Company, or competitors. Team members should always be fair and courteous to fellow team members, patients, suppliers or people who work on behalf of the Company. Team members should keep in mind that they are more likely to resolve work-related complaints by speaking directly with other team members or by utilizing the Company's Open Door Policy than by posting complaints to a social media outlet. Nevertheless, team members who decide to post complaints or criticism should avoid using statements, photographs, video or audio that reasonably could be viewed as malicious, obscene, threatening or intimidating, disparaging to patients, team members or suppliers, or that might constitute harassment or bullying. Examples of such conduct might include offensive posts meant to intentionally harm someone's reputation or posts that could contribute to a hostile work environment on the basis of race, color, gender, national origin, religion, age, disability, sexual orientation, citizenship, veteran or military status, pregnancy, genetic information, or any other status protected by laws, regulations, ordinances or Company policy. All Company marketing/advertising material must be approved by the Legal Department in accordance with Company policy.

Respect Intellectual Property Rights

Show proper respect for the laws governing copyright, fair use of copyrighted material owned by others, trademarks and other intellectual property, including the Company's own copyrights, trademarks and brands. To minimize the risk of a copyright violation, you should provide references to the source(s) of information you use and accurately cite copyrighted works you identify in your online communications. Do not infringe on Company logos, brand names, taglines, slogans, or other trademarks. Sensitive and personally identifiable information (such as patient and vendor names, individual social security numbers, protected health information, etc.) should never be cited or referenced without approval in compliance with all Company policies, laws and regulations.

You Are Personally Liable For Your Actions Online

Team members are personally liable under federal, state and local law for their actions and omissions with respect to their online communications. The Company reserves the right to hold a team member directly responsible for any claims that arise from a team member's violation of the law, this policy, or the Company's rights. By communicating online, team members agree to indemnify the Company, its parents, affiliates and subsidiaries from any liability that arises out of the foregoing.

We Reserve the Right to Ask You To Remove Content

The Company will, in its discretion, review your social networking activities. Please note that this policy applies even if your social networking is anonymous or under a pseudonym. If you do engage in such social networking, you should be aware that in appropriate circumstances the Company will take steps to determine your identity. The Company may request that team members temporarily confine their social networking to matters unrelated to the Company if it determines this is necessary or advisable to ensure compliance with securities regulations or other laws. The Company also may request that team members remove content that may

violate the law or Company policies – for example, content about patients, coworkers, supervisors, the Company, vendors, or suppliers that is vulgar, obscene, threatening, intimidating, harassing, libelous, or discriminatory on the basis of race, color, gender, national origin, religion, age, disability, sexual orientation, citizenship, veteran or military status, pregnancy, genetic information, or any other status protected by laws, regulations, or ordinances.

Promotions, Giveaways or Contests

Online giveaways, sweepstakes and contests are subject to applicable laws, compliance with Company policies and all applicable rules and guidelines of social media sites. All Company promotions must be reviewed in advance by the Legal Department.

Using Company Systems for Personal Use

Per the Company's IT Acceptable Use Policy, team members should not use Company systems (computers, servers, networks, etc.) for personal use, including creating, access non-business-related information or websites. Team members should refrain from using social media while on work time or on equipment provided by the Company, unless it is work-related as authorized by your manager. Do not use Company e-mail addresses to register on social networks, blogs or other online tools utilized by personal use.

Limitations

Nothing in this Policy will be interpreted to limit or interfere with team members' rights under Section 7 of the National Labor Relations Act. For example, this policy is not intended to prohibit team members from discussing with others the terms and conditions of their employment.

Relationship to Online Communications Policy in the Luxottica Employee Guide

This policy replaces and supersedes the Online Communications Policy located in the Luxottica Employee Guide.

Policy

All team members (non-exempt/hourly and exempt/salaried) are entitled to reimbursement for expenses they incur while conducting Company business, even if the team member is not traveling during the expenditure. As long as the expenditure is for the benefit of the Company, the team member will be reimbursed.

- Team members must submit expense reports online through Concur.

Procedure

Registration and First Time Log In

- To start the Web T&E process, email webte@luxotticaretail.com to receive your Employee ID (this is NOT your LUX ID). In your email provide:
  - Full legal name
  - EL ID
  - Cost Center
  - EssilorLuxottica email address (if not available, please substitute a valid personal email address)
  - Approving Manager's Name
  - Currency (USD/CAD)
- You will receive your T&E Employee ID within 3-4 business days. You must complete the request for your ID number prior to logging into Web T&E for the first time.
- After registration is completed, refer to the document titled "Creating and Entering a T&E Report".

Process

1. Create and enter Travel & Expense report.
2. Submit receipts.
3. Email webte@luxotticaretail.com for any questions or problems.

Or

1. Create and enter Travel & Expense report for Optician Licensing fees.
2. Submit supporting documentation.
3. Email webte@luxotticaretail.com for any questions or problems.