



# **ANCOR Policy & Procedures Manual**

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# Table of Contents

<b>Table of Contents .....</b>	<b>ii</b>
<b>Section I: Employee Policy .....</b>	<b>2</b>
A: GENERAL INFORMATION ABOUT ANCOR .....	2
Purpose and Coverage of this Handbook.....	2
Our Employee Relations Philosophy .....	2
Employment At Will.....	3
Equal Employment Opportunity .....	3
ANCOR's Policy Against Harassment .....	4
Whistleblower Policy.....	6
Building a Professional Staff .....	6
B: PAYROLL, PERSONNEL AND ADMINISTRATION .....	10
Importance of Accurate Data .....	10
Personnel Data Changes and Records.....	10
Normal Business Hours .....	11
Working from Home.....	12
Flextime Scheduling .....	13
Timekeeping .....	13
Overtime .....	13
Paydays .....	13
Administrative Pay Corrections.....	14
Performance Evaluation.....	14
Emergency Closing.....	14
Reimbursement for Business Expenses .....	15
C: LEAVES & APPROVED ABSENCES .....	15
Vacation Benefits.....	16
Paid Holidays .....	17
Paid Sick Leave.....	18
Paid Parental Leave.....	19
Unpaid Leave .....	19
Bereavement Leave.....	21

Staff Volunteer Work Leave .....	21
Military Leave.....	21
Jury Duty or Court Appearances.....	22
Voting Time .....	22
Personal Leave .....	22
D: BENEFITS .....	23
Social Security Coverage.....	23
Workers' Compensation Insurance.....	24
Unemployment Compensation Insurance .....	24
Liability Insurance .....	24
Health/Dental Insurance.....	24
Life Insurance .....	24
Long Term Disability Insurance .....	25
Retirement Plan.....	25
Professional Development/Education Assistance .....	25
E: BUSINESS OPERATIONS .....	26
Visitors in the Workplace .....	26
Use of Phone and Mail Systems .....	26
Company-Provided Cellular Phones/PDAs .....	26
Personal Appearance.....	27
Solicitations.....	27
Kitchen Area .....	28
Personal Use of ANCOR Property .....	28
Personal Property and Working Conditions .....	28
Conflicts of Interest.....	28
Outside Employment .....	29
Ethics Policy .....	29
Protection of Confidential Information.....	30
Media Policy .....	30
F: COMPUTER AND INTERNET USE POLICY .....	31
Mobile Computing Security.....	32
Smoke-Free Environment .....	34
Accident Reporting .....	34
No Weapons Policy.....	34

Drug and Alcohol Policy .....	34
H: DISCIPLINE AND TERMINATION .....	36
Discipline .....	36
Grievance and Problem Resolution Procedure .....	37
Reasons for Termination of Employment.....	38
Procedures for Termination of Employment .....	38
Severance Pay .....	39
Outside Reference Checks .....	39
Return of Property.....	39
I: CHIEF EXECUTIVE OFFICER SUCCESSION PLAN.....	40
Rationale .....	40
Key Functions of the Chief Executive Officer .....	40
Succession Plan.....	40
J: SUMMARY .....	44
<b>Section II: ANCOR Finance &amp; Investment Policy.....</b>	<b>47</b>
A: ANCOR FINANCIAL POLICY.....	47
ANCOR Financial Goals .....	47
ANCOR Tax Exempt Status .....	47
Fiscal Responsibility of the Board of Directors.....	47
Generation and Application of ANCOR Funds .....	48
Cost and Overhead Recovery.....	48
Budget Development Process and Oversight Authority .....	48
ANCOR Reserve Fund .....	52
Standard Reports and Schedules .....	54
Safeguards and Controls .....	55
Credit Card Purchase of ANCOR Goods and Services .....	55
Annual Audit of Financial Records .....	55
Borrowing .....	55
Risk Management .....	56
Indemnification .....	56
Insurance .....	56
Conflict of Interest .....	57
Reimbursement Policy .....	57
Out-of-Pocket and Other Expenses.....	58

B: ANCOR INVESTMENT POLICY .....	59
Delineation of Responsibilities .....	59
Ethics and Conflict of Interest .....	60
Investment Guidelines .....	60
Allocations to Long-Term Investments .....	60
Operating Fund .....	60
Short-Term Reserve Fund.....	61
Long-Term Investment Fund .....	61
Safeguards.....	62
Records and Reporting.....	63
<b>Section III: Procedures.....</b>	<b>65</b>
A: FINANCIAL PROCEDURES .....	65
Bank and Investment Accounts .....	65
Receiving Funds and Banking .....	66
Purchasing and Payments .....	67
Financial Statements and Reports .....	68
Planning and Budgeting.....	69
Document Retention and Destruction.....	70
Miscellaneous .....	71
B: MEMBERSHIP ADMINISTRATION PROCEDURES .....	72
Membership Eligibility and Entitlements .....	72
Membership Dues .....	73
Formally Designated Representatives of Member Agencies.....	74
ANCOR Member Discounts .....	74
<b>Section IV: Board of Directors Policy .....</b>	<b>76</b>
A: STATEMENT OF UNDERSTANDING .....	76
B: BOARD PROCESS POLICIES .....	78
1. Accepting Responsibilities.....	78
2. Enunciating Government Policies and Values.....	79
3. Governing Process .....	79
4. Policy Development.....	79
5. Complaint Resolution Regarding Board Members.....	80
6. Fact Finding/Grievance Resolution Regarding the CEO.....	82
7. Board Self-Review .....	83

8. Board Composition .....	84
9. Types of Board Sessions .....	84
10. Absences .....	84
11. Committee Process.....	85
12. Committee Responsibilities .....	85
13. Leadership Development Committee .....	86
14. Chief Executive Officer (CEO) Evaluation: .....	88
15. Board Director Individual Performance Assessment.....	90
C: EXECUTIVE LIMITATIONS.....	92
D: CONFLICT OF INTEREST & DISCLOSURE STATEMENT .....	94
 <b>Section V: Job Descriptions: Board of Directors, Officers, Chair, Vice Chair and Board of Representatives .....</b>	<b>100</b>
A: BOARD OF DIRECTORS .....	100
B: BOARD OF REPRESENTATIVES .....	106
 <b>Section VI: Other Related Policies .....</b>	<b>108</b>
A: MEDIA POLICY .....	108
B: EXHIBIT POLICY .....	108
C: WEB POLICY .....	108
D: RECORDS RETENTION POLICY .....	110
E: POLICY ON MEMBER ASSESSMENTS.....	111
F: POLICY ON PUBLIC POLICY PRIORITIES .....	111
General .....	111
ANCOR Public Policy Principles (approved by the Board of Directors February 2019) ..	111
 <b>Section VII: ANCOR Position Statements .....</b>	<b>114</b>
A: ANCOR POSITION STATEMENT ON LITIGATION .....	114
B: ANCOR QUALITY PLEDGE.....	116
C: ANCOR POSITION STATEMENT ON PEOPLE-FIRST LANGUAGE.....	118

# **Section I**

## **Employee Policy**

# Section I: Employee Policy

## A: GENERAL INFORMATION ABOUT ANCOR

*We are glad that you decided to join the American Network of Community Options and Resources (ANCOR), and want to tell you a bit more about who we are, what we do, and how we do our work here. ANCOR was founded in 1970 with the mission to promote and assist private providers who offer services and supports to people with disabilities and their families.*

### **Purpose and Coverage of this Handbook**

We feel it is important to keep our employees fully informed. As part of this process we have created this Employee Handbook to communicate the employee benefits available to eligible employees, and to provide some general guidance about ANCOR's rules and operating procedures. This Handbook sets out general policies, which ANCOR uses, in hiring, management, compensation, vacations, discharge and other aspects of the employer/employee relationship.

**This Handbook is not a contract, and the language used in the Handbook is not intended to create or to be construed as a contract.** Instead, this Handbook is solely informational in nature. The policies within this Handbook are subject to change by the association from time-to-time without prior notice. This Handbook modifies any and all pre-existing rules, benefits and policies whether written or otherwise.

As an employee, we encourage you to read this Handbook carefully to ensure that you are familiar with its contents. If you have any questions about the policies set forth in the Handbook, you should contact the Office Manager or Chief Executive Officer (CEO).

### **Our Employee Relations Philosophy**

ANCOR's goal is to develop a team of happy, loyal and productive employees who are eager to help meet the mission of our organization and create continued opportunities for employment and advancement for all employees.

The key to the success of any team is mutual support, respect and openness to differences. To build an environment of trust, it is essential that all of us openly communicate our desires and expectations, and try to work together in a courteous manner to resolve our differences.

We recognize that communication is a two-way street. Employees are encouraged to openly talk with their direct reports about ideas they may have to improve ANCOR's operations, and to discuss any problems which may prevent the operations from running in an efficient, professional manner. Employees also are encouraged to talk openly with their direct reports about any concerns they may have with respect to their particular working conditions.



It is ANCOR's policy to strive at all times:

- To select and hire the best qualified men and women without regard to race, color, age, sex or sexual preference, marital status, national origin, religion or disability.
- To provide wages, salaries and employee benefits that are competitive with those provided for similar positions in the Washington association community. To regularly review wages, salaries and benefits to ensure they are competitive.
- To provide safe working conditions by maintaining an orderly operation and developing and adhering to policies and practices that ensure the safety and health of our employees.
- To provide a work environment free from all forms of harassment including, but not limited to, harassment based on sex, race, color, religion, national origin, age or disability.
- To encourage development of the individual by providing training and other opportunities for skill development and advancement.
- To recognize length of service (seniority) as an important factor in cases of promotion and layoffs, other qualifications being equal.
- To put in writing an Employee Handbook to communicate the policies and practices of ANCOR and to notify employees of any changes.
- To keep employees informed by providing timely communications and informational meetings regarding developments within ANCOR of interest to employees.
- To encourage open discussion of all ideas, suggestions, problems and matters of concern among employees and management. It is only natural that differences of opinion, complaints and problems will occur. When this happens, full and fair consideration will be given to all viewpoints to develop a positive solution.
- To promote loyalty and pride in ANCOR and the membership it serves by following this philosophy so that all staff members will take a sincere interest in their jobs and each other.

## **Employment At Will**

**The employment relationship between ANCOR and its employees is “at-will.”** This means that employment is of indefinite duration, and may, regardless of time or employee status, be terminated at any time by the employee or ANCOR, for any reason or no reason, and with or without cause or notice. Any representation of an employment relationship that is different from that described above will be invalid unless specifically agreed to in writing and signed by the employee and the CEO and/or President of the association.

## **Equal Employment Opportunity**

In compliance with applicable federal laws and organizational philosophy, ANCOR's decisions regarding employment are designed to utilize only valid requirements for hiring and promotions, and to ensure equal employment opportunity in all other aspects of employment. This means that ANCOR is committed to equal employment opportunity without regard to race, color, creed, religion, sex (gender), sexual orientation, disability, national origin, age, or veteran status in connection with hiring, placement, promotion, demotion, discipline, recruiting, advertising,

solicitation, compensation, selection for training or termination of employment. The CEO oversees the implementation and monitoring of our EEO policy, but equal employment opportunity is considered to be the responsibility of all employees.

ANCOR is also required by law and organizational philosophy to make reasonable accommodations for qualified individuals with disabilities, unless doing so would result in an undue hardship. This policy governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, and access to benefits and training. If an employee has a disability or impairment that is creating job difficulties or requires an accommodation, this matter should be brought to the attention of the CEO.

ANCOR is also obligated to comply with the Immigration Reform and Control Act of 1986, and cannot employ any individual unless he/she is a citizen of the United States or an alien with proper authorization to work in the United States. Each new employee must complete the Employment Eligibility Verification Form I-9 and present documentation establishing identity and employment eligibility. Employees with questions on immigration law issues are encouraged to contact the CEO.

## **ANCOR's Policy Against Harassment**

ANCOR is committed to a workplace free from all forms of harassment. It is ANCOR'S policy to prohibit all types of harassment, including, but not limited to, harassment based on: sex, race, color, religion, national origin, age or disability. This policy extends to each and every level of operation. This means that harassment, whether by a fellow employee, a member, a guest, or a member of management, will not be tolerated. Activities of this nature are unlawful and serve no legitimate purpose; they have a disruptive effect on an employee's ability to perform and they undermine the integrity of the employment workplace and relationship.

Harassment is verbal or physical conduct relating to an individual's sex, race, color, creed, religion, national origin, age or disability when this conduct:

- has the purpose or effect of creating an intimidating, hostile or offensive working environment;
- has the purpose or effect of unreasonably interfering with an individual's work performance;
- or otherwise adversely affects an individual's employment opportunities.

Some examples of conduct that may constitute prohibited harassment include: slurs, jokes, cartoons, stereotypes, statements, etc. based upon sex, race, color, creed, religion, national origin, age or disability.

## **Sexual Harassment**

Acts considered to constitute **sexual harassment** include, but are not limited to, unwelcome sexual advances, requests for sexual favors and other verbal or physical conduct of a sexual nature when:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
- an individual's submission to or rejection of such conduct is used as a basis for an employment decision affecting that individual; or
- the purpose or the effect of such conduct is to substantially interfere with the affected individual's work performance or to create an intimidating, hostile or offensive work environment.

Some examples of unwelcome behavior that can be construed as sexual harassment include, but are not limited to: sexual advances, proposition, sexually suggestive gestures, sexual jokes, touching, physical assault, sexually explicit or suggestive objects or pictures, references to a person's body parts, requests for sexual activity and/or sexually explicit conversations.

## **Complaint Reporting Procedure**

ANCOR takes allegations of harassment very seriously. Employees who believe they are the victims of harassment should do the following:

1. If possible, document or otherwise record each incident of alleged harassment, including the date, time, place and details of what was said or done, and the surrounding circumstances.
2. If comfortable doing so, clearly and directly communicate to the offending individual that his/her conduct is unwelcome, and request that the offensive behavior stop.
3. Immediately bring the matter to the attention of any individual in a supervisory position, including the CEO.

No employee has the authority to condition any job benefit on an employee's acceptance of or agreement to any conduct that may in any way violate this policy. Employees who believe they have been deprived of any job benefit or have been threatened should immediately report this information to a direct report, the Office Manager or the CEO. Any direct report or the Office Manager **must** report immediately to the CEO any incidents that they are aware of that may constitute a violation of this policy.

ANCOR will protect the confidentiality of harassment allegations to the extent possible under the circumstances. ANCOR will actively investigate all harassment complaints, and if it is determined that harassment has occurred, will take appropriate disciplinary action against the offending party, up to and including discharge. In the event the harassment complaint involves a third party, or non-ANCOR employee, the CEO will take appropriate measures to investigate the harassment complaints and then proceed as appropriate to protect the employee against further harassment.

Retaliation against any person who has complained about harassment, filed a charge of harassment, or who otherwise participated in an investigation of harassment **will not** be tolerated. Such activity is unlawful and will result in severe discipline, up to and including discharge.

## **Whistleblower Policy**

ANCOR is committed to maintaining the highest standards of ethical and legal business conduct and promotes a working environment that values respect, fairness and integrity and is committed to open communication. It is the purpose of this policy to provide an avenue for employees to raise concerns and reassurance that they will be protected from reprisals or victimization for whistleblowing.

ANCOR encourages employees to come forward with knowledge of or a concern that some policy, practice or activity of ANCOR is in violation of the law or adopted policies of the organization. Concerns under this policy would include financial improprieties, accounting or audit matters, ethical violations or activities that are unlawful or not in line with ANCOR policies.

Concerns should be reported to an employee's supervisor or the CEO. If for any reason a person finds it difficult to report their concerns to their supervisor or the CEO, they may report directly to the Board President. Whenever possible, ANCOR will maintain the confidentiality of the employee. However, identity may have to be disclosed to conduct a thorough investigation or to comply with the law. Reports may be made anonymously, recognizing that ANCOR may be unable to fully investigate and evaluate anonymous complaints. ANCOR reserves the right to discipline persons who file a bad faith or knowingly false complaint or report.

ANCOR prohibits retaliation against an employee, who in good faith has raised a complaint or participated in an investigation under this policy, with the intent or effect of adversely affecting the terms or conditions of the whistleblower's employment. Any employee who believes they are being retaliated against may file a complaint with their supervisor, the CEO or Board President.

All complaints and reports will be reviewed. Appropriate investigation, determination of fault or corrective measures will be handled by appropriate management or independent person such as auditors and/or attorneys when warranted.

## **Building a Professional Staff**

*At ANCOR, we believe that all staff are professionals and that we must:*

**HAVE AND STAND BY STRONG PERSONAL AND PROFESSIONAL STANDARDS  
AND ETHICS**

- Have high expectations of ourselves and others.
- Consistently carry out responsibilities in a thorough and timely manner.
- Make and stand by difficult decisions.
- Adhere to staff values so that we may choose behaviors and actions that communicate and role model the values we share.

### **DISPLAY CONVICTION IN OUR BELIEFS**

- Know that we are not in control, but rather “principles ultimately govern and control” (*Covey*)
- Demonstrate courage to align with principles and go against the grain of old assumptions and paradigms, e.g., being staff driven.
- Commit to the vision and mission of ANCOR.

### **TREAT OTHERS WITH DIGNITY AND RESPECT**

- Respect the privacy of others
- Maintain confidentiality
- Be worthy of the trust and respect of others
- Be sensitive to the strengths and limitations in ourselves and each other and be helpful and supportive.

### **WORK TOGETHER AS A TEAM**

- Empower others through the delegation and sharing of decision-making authority
- Recognize individual accomplishments while celebrating the efforts of the ANCOR team.
- Support each other in times of crisis to conserve individual resources and preserve our strength as a team.
- Exercise leadership.
- Effectively manage the stress that comes with working in a highly motivated and stimulating environment, understanding that the individual gifts we bring to the team are invaluable and irreplaceable.
- Mediate conflicts effectively as an objective, diplomatic liaison among team members.
- Compromise, as it is a key to effective teamwork.
- Maintain an environment of open and honest communication in which individuals can discuss concerns, plan and brainstorm.
- Seek responsibility and take responsibility for your own actions and decisions.
- Consistently follow written as well as informal policies, procedures and protocols.

### **DEMONSTRATE A POSITIVE OUTLOOK**

- Speak positively and by practicing good listening.
- Be an enthusiastic cheerleader of colleagues.

- Have a can-do attitude and be a role model of the power and potential of each individual.
- Recognize individual achievements.
- Portray a positive image of ANCOR in all forums during and outside of work hours.
- Make impossibilities possibilities
- Have a sense of humor
- Remember that attitude makes a big difference.

### **DEMONSTRATE EFFECTIVE COMMUNICATION SKILLS**

- Practice open and honest communication.
- Listen objectively to what others say before reacting
- Respond in a tactful and respectful manner.
- Offer and receive constructive feedback
- Understand the significance and impact of framing and body language.
- Learn and practice conflict resolution and mediation skills

### **CONTINUOUSLY IMPROVE**

- Recognize our own weaknesses and strive to improve
- Emphasize quality and practice “kaizem”
- Support and model high quality standards
- Demonstrate a willingness to acquire new skills
- Recognize the exciting possibilities that change can create
- Demonstrate the skill to effect positive change.
- Display flexibility, open-mindedness, innovation and creativity.
- Not resist change and not fear loss or loss of power; rather embrace change by demonstrating a sense of urgency; through a belief that everything is possible; by communicating a clear focus and not fear risk-taking.

### **DISPLAY EXEMPLARY INTERPERSONAL SKILLS**

- Be patient and understanding, especially when others express differing opinions and ideas.
- Demonstrate humility, saying “I am wrong; I apologize”, when needed.
- Demonstrate empathy---seek first to understand. Put yourself in the shoes of others when needed.

### **BE VISIONARIES**

- Plan ahead and be ready for events and situations that are likely to occur.
- Project beyond the day-to-day tasks, challenges and issues to how things should be.
- Take action for the future.
- Understand that the antithesis of “proactive” is “reactive” and that being reactive is an unwise use of human and fiscal resources.
- Use analytical thinking to manage risk.

**BE ORGANIZED**

- Carry out and help others to carry out goals and responsibilities
- Manage your time efficiently and effectively
- Focus on those tasks and activities that will have the greatest positive impact on programs and services.
- Effectively prioritize multiple priorities.
- Build skills to work in a multi-tasked environment.
- Meet deadlines and be prompt to meetings.
- Persevere and stick to a given task.

**PRESENT A PROFESSIONAL IMAGE****VALUE THE IMPORTANCE OF BEING A LIFE-LONG LEARNER**

- Support the professional development of those you supervise or mentor.
- Recognize when to follow the lead of others who may be more knowledgeable than ourselves.
- Keep up with current trends in the field.
- Identify and initiate professional growth and development on an ongoing basis.

## **B: PAYROLL, PERSONNEL AND ADMINISTRATION**

### **Importance of Accurate Data**

ANCOR relies upon the accuracy of information contained in the employment application, as well as the accuracy of other data presented throughout the hiring process and employment. Any misrepresentations, falsifications, or material omissions in any of this information or data may result in the exclusion of the individual from further consideration for employment or, if the person has been hired, may result in termination of employment. It is the practice of ANCOR to check employment references of all employees.

### **Personnel Data Changes and Records**

ANCOR maintains a confidential personnel file for every employee. It is the responsibility of each employee to promptly notify ANCOR of any changes in personnel data so that these files can be accurate at all times. Personal mailing addresses, telephone numbers, number and names of dependents, individuals to be contacted in the event of an emergency, educational accomplishments, and other such status reports should be updated as necessary. If any personnel data is changed, the employee must notify the Office Manager.

### **Employment Categories**

Each employee is designated as either NON-EXEMPT or EXEMPT from federal and state wage and hour laws. NON-EXEMPT employees are entitled to overtime pay under the specific provisions of federal and state laws. EXEMPT employees are excluded from the overtime provisions of federal and state wage-hour laws.

REGULAR FULL-TIME employees are regularly scheduled to work a full-time (40 hour) schedule and are not employed on a temporary, casual or introductory basis. Regular full-time employees are eligible for ANCOR's full benefits package, subject to the terms, conditions and limitations of each benefit program.

REGULAR PART-TIME employees are regularly scheduled to work a specific part-time schedule of less than 40 hours per week and are not employed on a temporary, casual or introductory basis. Regular part-time employees may be eligible for ANCOR's benefits, subject to the terms, conditions and limitations of each benefit program and depending on the number of hours worked weekly. Regular part-time employees may qualify for holiday pay or reduced pension coverage if working in excess of a half-time basis. Section IC and ID provide further clarification of the benefits available. In addition, the Office Manager should be consulted about benefit eligibility.

INTRODUCTORY employees are those whose performance is being evaluated to determine whether regular full-time or regular part-time employment in a specific position is appropriate. Benefits are not provided for introductory employees.



TEMPORARY employees are those who are hired as interim replacements or to temporarily supplement the work force or to assist in the completion of a specific project. Employment assignments in this category typically are of a limited duration. Employment beyond any initially stated period does not in any way imply a change in employment status. Temporary employees retain that status unless and until notified in writing by the CEO of a change. While temporary employees receive all legally mandated benefits (such as workers' compensation insurance and Social Security), they will be ineligible for ANCOR's other benefit programs. If a temporary employee has a change in employment status to regular full-time or regular part-time, the time of employment as a temporary employee is not applied to fulfill any benefit waiting period in accordance with the terms and conditions of the benefit program.

CASUAL employees are those who have established an employment relationship with ANCOR, but who are assigned to work on an intermittent and/or unpredictable basis. While they receive all legally mandated benefits (such as workers' compensation insurance and Social Security), they are ineligible for all of ANCOR's other benefit programs.

### **Introductory Periods**

All employees (except temporary and casual workers) will work on an introductory basis for the first 60 calendar days after their date of hire. This introductory period is intended to give new employees the opportunity to demonstrate their ability to achieve a satisfactory level of performance and to determine whether the new position meets their expectations. ANCOR uses this period to evaluate employee capabilities, work habits, and overall performance.

Any significant absence will automatically extend an introductory period by the length of the absence. In instances where ANCOR determines that the designated introductory period did not allow sufficient time to thoroughly evaluate the employee's performance, the introductory period may be extended. Upon satisfactory completion of the initial introductory period, employees enter the "regular" employment classification and qualify for "regular" employment benefits.

Employees who are promoted after completion of their initial introductory period must complete a secondary introductory period of 30 calendar days with each assignment to a new position.

If an employee fails to satisfactorily complete the initial introductory period, the employee will be terminated.

All introductory employees are eligible for those benefits that are required by law, such as workers' compensation insurance and Social Security. Upon becoming regular full-time or regular part-time employees, they may be eligible for additional ANCOR benefits. Any such benefits will be subject to the terms and conditions and eligibility restrictions of each benefits program. Employees should read the information for each specific benefits program for the details on eligibility requirements. Employees will be credited with this introduction time in meeting the time requirements of various benefits as permitted under the terms and conditions of the benefit program.

## **Normal Business Hours**

Regular office hours are Monday through Friday, 9:00 A.M. to 5:00 P.M., with a 30-minute paid lunch period. Other starting and ending times may be considered to meet specific employee or ANCOR needs.

All personnel are expected to be at work at their assigned time of arrival, ready to work. If an employee is unable to work, it is the employee's responsibility to inform his/her direct report one hour prior to the start of the workday. Failure to do so may result in the employee's pay being docked.

Personal business should be arranged outside of regular work hours, if at all possible. If it is not possible to arrange personal business at a time outside of work hours, employees should refer to the Leaves Section or talk with a direct report to find out the procedures and requirements which must be followed in order to ask for permission to take time off from work.

## **Working from Home**

Work-at-home is defined as a situation where circumstances are deemed appropriate for an employee to be compensated for performing assigned responsibilities outside of the ANCOR office, typically their place of residence.

Approval for working from home must be granted in advance and is at the discretion of the CEO. In making a request to work from home, an employee should provide a brief description of the work to be accomplished. Approval will be granted on a case by case basis and, except in extreme circumstances, for one day at a time.

While working from home employees must be accessible by email and/or phone.

Care of the ANCOR owned equipment, supplies, and records is the responsibility of the employee and is to be used only for business purposes.

Copies of all records, papers, and correspondence must be safeguarded by the employee to protect them from unauthorized disclosure, loss, or damage, and for their return to the ANCOR.

Release or destruction of any records is only done at the ANCOR office according to statute and ANCOR policy.

The employee agrees to return such items to ANCOR when no longer needed for the work-at-home assignment, or when otherwise requested by ANCOR.

Equipment owned or provided by the employee is used at no cost or risk to ANCOR and is maintained by the employee. Exceptions to this should be prearranged, documented, and approved by the CEO.

The employee is responsible for operating costs, home maintenance, or any other incidental cost (e.g. utilities) associated with the use of his/her residence.

If ANCOR equipment is lost, stolen, or damaged, the employee agrees to participate in any investigation and to include the ANCOR equipment in his/her home owner's insurance claim.

Workers' Compensation laws may apply if the employee is injured in the course of performing official duties at the work location in the home. ANCOR is not liable for other property damage or bodily injury that results from participation in a work-at-home arrangement.

See Section I, F for Mobile Computing Security Policy

## **Flextime Scheduling**

Employees may request the opportunity to adjust their days of work or starting/ending times to better accommodate personal or family responsibilities. These adjustments may be requested on a temporary or permanent basis.

Granting of flextime scheduling is within the discretion of the CEO. Usually, initial approval will be on a trial basis to determine whether such scheduling is workable in the particular job being performed by the employee. ANCOR reserves the right to unilaterally alter the starting/ending times or days of work of an employee, where such an adjustment appears more likely to allow the employee to be able to fulfill obligations to both the association and family.

## **Timekeeping**

Accurately recording of time worked is the responsibility of every non-exempt employee. Federal and state laws require ANCOR to keep an accurate record of time worked by non-exempt employees in order to calculate employee pay and benefits. Time sheets will be provided to contemporaneously record time worked as well as absences or departure from work for personal reasons. All overtime work must be recorded on time sheets. Altering, falsifying, or tampering with time records may result in disciplinary action, up to and including termination of employment.

It is the responsibility of every employee to sign his/her own time records to certify the accuracy of all time recorded. Their direct report will review and then initial the time record before submitting it to the Office Manager.

## **Overtime**

When ANCOR's needs cannot be met during regular working hours, employees will be asked to work overtime. Non-exempt employees are entitled to overtime pay at the rate of 1.5 times their regular hourly rate if they work over 40 hours in a workweek. Overtime is not paid unless the hours are actually worked, so leave time (such as sick days, vacations days, etc.) will be excluded in determining whether the employee is eligible for overtime pay.

Non-exempt employees are not permitted to decide on their own initiative that they will work overtime. All overtime work must receive the direct report's prior authorization. Failure to comply may result in nonpayment for the overtime hours worked.

## **Paydays**

All employees are paid biweekly on every other Friday. Each paycheck will include earnings for all work performed through the end of the previous payroll period. In the event that a regularly

scheduled payday falls on a day off (such as a holiday), employees normally will receive pay on the last day of work before the regularly scheduled payday.

## **Administrative Pay Corrections**

ANCOR takes all reasonable steps to ensure that employees receive the correct amount of pay in each paycheck, and that employees are paid promptly on the scheduled payday. In the event that there is an error in the amount of pay or any other payroll processing error, the employee should promptly bring the discrepancy to the attention of the Office Manager so that corrections can be made. If the error results in an underpayment, then a new or additional paycheck will be issued as soon as possible. If the error results in an overpayment or other error, the correction will be reflected in the next regular paycheck.

## **Performance Evaluation**

Direct reports and employees are strongly encouraged to discuss job performance and goals on an informal, day-to-day basis. Formal performance evaluations are conducted at the end of the introductory period. Thereafter, periodic performance appraisals should be completed at least annually (and may be completed more often where extra counseling appears appropriate). This appraisal process is designed to provide employees with feedback on performance and suggestions for improvement and continued development. Employee input is encouraged during appraisals.

Subsequent to performance evaluations, employees will be informed of compensation increases. Increases are based upon performance, improvement level, relative contributions, skills, attitude, dependability, work record, level of responsibility, adherence to ANCOR Staff Values Statement, and ANCOR's financial condition.

On occasion, a direct report may forget that an appraisal is due because of other work pressures. Employees are encouraged to, and should, speak up and request their appraisals if overdue.

## **Emergency Closing**

At times, emergencies such as severe weather, fires, or power failures may disrupt the association's operations. Employees will be given paid leave when the office is officially closed due to temporary emergency conditions.

As a general rule, if the federal government has excused employees because of weather conditions, ANCOR offices will be likewise closed. If the CEO elects to close ANCOR's office because of an emergency situation, other than a closing mirroring federal government action, employees will be so notified.

In the circumstances described above, the leave will not be deducted from an employee's accrued leave.

## **Reimbursement for Business Expenses**

ANCOR will reimburse employees for reasonable business expenses incurred at ANCOR's request or while on assignments away from the normal work location.

Minor business reimbursements can be obtained from the Office Manager by providing an explanation and receipt for the expense. Examples of these types of reimbursements would be postage, office supplies, etc.

All business travel must be approved in advance by the CEO. Employees whose travel plans have been approved should make all travel arrangements through ANCOR's designated travel agency. If departure time is known far enough in advance, every effort should be made to secure the lowest possible fare. All frequent flyer mileage and all other bonus plans offered by airlines are the property of the employee.

When approved, the actual costs of travel, meals, lodging, and other expenses directly related to accomplishing business travel objectives and paid by the employee will be reimbursed by ANCOR. Employees are expected to limit expenses to reasonable amounts. Cash advances to cover reasonable anticipated expenses may be made to employees after travel has been approved. Employees should submit a written request to the CEO when travel advances are needed.

Out of pocket expenditures of cash by employees who claim cash reimbursement must submit detailed expense accounts to the Office Manager by the 10<sup>th</sup> of the month immediately following the month in which the expense was incurred. (For example, expenses incurred in January must be submitted by February 10<sup>th</sup>.) The expense record must show the amount, date, and place; what the expense was for; and must be accompanied by a receipt, voucher or other source document. Expense reports more than two months overdue will not be reimbursed. (For example, expenses incurred in January, but submitted after April 10<sup>th</sup>, will not be reimbursed).

Employees who are involved in an accident while traveling on business must report the incident to the CEO as soon as possible. Vehicles rented by ANCOR may not be used for personal use without prior approval.

ANCOR issues credit cards to certain employees. In all cases, employees issued cards are responsible for the accuracy of the charges, and any accompanying records. Credit cards are to be used for direct company business; personal charges are prohibited and grounds for dismissal.

Abuse of this business travel expenses policy, including falsifying expense reports to reflect costs not incurred by the employee, can be grounds for disciplinary action, up to and including termination of employment.

## **C: LEAVES & APPROVED ABSENCES**

The purpose of this section is to identify the common reasons that employees request time off work, and to provide some guidelines on situations when ANCOR will treat such absences as

excused. Obviously, not every possible situation can be envisioned or identified, and ANCOR retains the right to decide whether a particular absence should be excused in any particular situation.

Federal and/or state law requires certain types of leave. These types of leave include leave to obtain treatment for work-related injuries; military leave; time needed to vote; and appearance in court for jury duty or in response to a subpoena. ANCOR will grant an approved absence if an employee needs leave for these reasons upon receipt of a timely notice for such leave, proper verification of the need for such leave, and completion of any necessary forms and paperwork for the leave.

In addition to these government-required leaves, ANCOR provides paid vacation leave. We also realize that times will arise when an employee may need to take time off from work because of illness or in order to attend to various civic, personal or family matters which cannot be handled outside of the normal work day.

## **Vacation Benefits**

ANCOR encourages regular employees to take vacations as provided for in this policy in order to relax, unwind and enjoy a well-deserved paid break from work. The amount of paid vacation time which employees receive is governed by their time of service as set forth below:

### **Exempt Employees**

- Three weeks (120 hours) after one year of service (accrued on a per pay period basis after the initial introduction period).
- Four weeks (160 hours) per year after two years of service (accrued on a per pay period basis after the first year of employment).

### **Non-Exempt Employees**

- Two weeks (80 hours) after one year of service (accrued on a per pay period basis after the initial introduction period).
- Three weeks (120 hours) per year after two years of service (accrued on a per pay period basis after the first year of employment).

Regular part-time employees receive vacation time prorated to the hours worked. For example, an employee working 20 hours per week (or half time) would receive paid vacation of one week after one year of services (accrued on a per pay period basis after the initial introduction period) for the first year and then 60 hours per year thereafter (accrued on a per pay period basis after the first year of employment).

Regular full-time and part-time employees may carry over up to 120 hours of vacation leave. For carry-over purposes, all employees are on the ANCOR fiscal year, which ends December 31, meaning that on December 31 any unused vacation leave in excess of 120 hours will be lost.

Vacation pay is paid at the employee's base pay rate at the time of vacation. When a paid ANCOR holiday occurs during a scheduled vacation, the employee will receive pay for the holiday in lieu of vacation for that day.

Requests for vacation are to be submitted in writing to the employee's supervisor with a cc to the Director of Finance ideally at least two weeks in advance for approval. ANCOR will make every effort to approve vacation leave as requested. However, taking into account business needs, ANCOR will maintain minimum staffing. When multiple requests are made for the same leave dates, approval will be given in the order written requests are received by Director of Finance. If minimum staffing is reached, the CEO will not be able to approve additional leave requests, even if it has been approved by the employee's direct supervisor.

If an employee has unused vacation leave at the time of termination of employment, payment for a maximum of 120 hours of the unused vacation will be paid at the employee's current base pay rate. Any unused vacation leave that is in excess of 120 hours at the time of termination will expire, and employees will not receive any compensation for this remaining time in their vacation leave account.

## **Paid Holidays**

ANCOR observes the same holidays as the federal government as listed below:

- New Year's Day
- Martin Luther King Day
- Presidents' Day
- Memorial Day
- Independence Day
- Labor Day
- Columbus Day
- Veterans Day
- Thanksgiving
- Christmas Eve (1/2 day)
- Christmas
- New Year's Eve (1/2 day)

ANCOR will grant paid holiday time off to all regular full-time employees, as well as regular part-time employees regularly working 20 or more hours per week.

Holiday pay will be calculated based on the employee's straight-time pay rate (as of the date of the holiday) and prorated to the hours normally worked in a week.

ANCOR may choose to substitute holidays (Presidents' Day, Columbus Day or Veterans Day) for other paid leave days. For example, Presidents' Day may be exchanged for the Monday after Easter; or Veterans Day may be exchanged for the Friday after Thanksgiving. In such events, ANCOR will be officially open for business on the government holiday and then closed on the substitute day. In the event an employee feels strongly about celebrating the holiday that is being

used in such an exchange, every effort will be made to allow that employee to take the holiday off and then work the substitute day. Holiday substitutions will be announced with sufficient notice to allow employees to take full advantage of available time off.

There may also be times that an ANCOR employee may elect to work on an ANCOR-observed holiday and exchange the holiday worked for another day off. In such instances, the employee must have the approval of the CEO. Should an employee leave for any reason before the exchange day is used, it will bear no monetary value.

When an observed holiday falls on a weekend, ANCOR will announce the day on which the holiday will be observed. Generally, a holiday that falls on a Saturday will be celebrated on Friday; and a holiday that falls on a Sunday will be celebrated on Monday.

ANCOR recognizes that employees may wish to observe holidays other than those listed above (for example, a religious observance). Subject to ANCOR's business needs, these requests will be granted as a paid vacation day or leave without pay.

## **Paid Sick Leave**

An eligible ANCOR employee may receive paid sick leave under the following circumstances:

1. **Eligibility.** Regular full-time and part-time employees are eligible for paid sick leave after an initial introduction period.
2. **Amount of Sick Leave.** Regular full-time employees will accrue paid sick leave at the rate of four hours per month beginning at the end of the initial introduction period through the 12th month of employment. Thereafter, paid sick leave will accrue at a rate of eight hours per month. Regular part-time employees will accrue sick leave on a pro-rated basis depending on the hours worked.
3. **Use of Sick Leave.** Sick leave may be used for an illness or a doctor, dentist or other medical practitioner appointment of the employee or a member of his or her immediate family. Sick leave may not be used in a circumstance in which the employee receives compensation for lost wages under some other insurance program such as workers compensation.
4. **Immediate Family.** Immediate family includes: parents of the employee (or other persons who have been the functional equivalent of parents of the employee, such as guardians or step-parents), spouse of the employee, siblings of the employee, children of the employee.
5. **Carry Over of Unused Balance.** Unused sick pay may be accumulated and carried over from year to year, up to a maximum of 480 hours. Any sick leave that is unused at the time



of termination will expire, and the employee will not receive any extra compensation for any remaining sick leave hours.

## **Paid Parental Leave**

An eligible ANCOR employee may receive paid parental leave under the following circumstances:

**1. Eligibility.** A regular full-time employee is eligible to request a paid parental leave of absence after completion of 12 months of full-time service. Granting of paid parental leave is not guaranteed. The CEO may grant paid parental leave if the following conditions are met:

- a. The employee has provided reasonable assurance that he or she intends to return to his or her full-time duties with ANCOR upon completion of the approved period of leave.
- b. The CEO determines, in his or her discretion, that granting of the paid parental leave request is manageable within ANCOR's staff workload, priorities and budget.

**2. Use of Paid Parental Leave.** Paid parental leave may be requested for the birth of a son or daughter of the employee, or the placement of a son or daughter with the employee for adoption or foster care. Paid parental leave must be used within six months after the birth or placement for adoption or foster care. The employee may be required to provide periodic reports concerning his or her planned return to work.

**3. Amount of Leave.** An eligible employee may receive up to six weeks of paid parental leave in any 12-month period.

## **Unpaid Leave**

An eligible ANCOR employee may receive unpaid leave under the following circumstances:

- 1. Eligibility.** Regular full-time employees are eligible for an unpaid leave of absence after completion of 12 months of full-time service. Employees who are temporary, casual or permanent part-time workers also qualify for such leave if they have worked for ANCOR for at least twelve months and have worked at least 1,250 hours in the 12 months immediately preceding the beginning date of the requested leave.
- 2. Reason for Leave.** Leave may be requested in order to deal with any of the following circumstances:
  - a. The employee's own serious health condition.

- b. The serious health condition of a member of the employee's immediate family.
  - c. The birth or adoption of a child by the employee.
3. **Immediate Family.** Immediate family include: parents of the employee (or other persons who have been the functional equivalent of parents of the employee, such as guardians or step-parents), spouse of the employee, siblings of the employee, and children of the employee.
  4. **Serious Health Condition.** Serious health conditions includes inpatient care in a hospital, hospice, or residential medical care facility; continuing treatment by a health care provider for a chronic serious health condition; and temporary disabilities associated with pregnancy, childbirth, and related non-permanent medical conditions.
  5. **Amount of Leave.** An eligible employee may receive up to 12 weeks of unpaid leave within any 12-month period. The employee must first use any available paid sick leave before taking unpaid leave. The combined use of paid sick leave, paid parental leave, and unpaid sick leave may not exceed 12 weeks in any 12-month period.
  6. **Request for Leave.** An eligible employee should make a request for unpaid leave to his or her supervisor at least 30 days in advance of foreseeable events, and as soon as possible for unforeseeable events. The supervisor may require submission of a health care provider's written statement verifying the need for medical leave, and its beginning and expected ending dates.
  7. **Health Insurance Benefits.** During unpaid leave, ANCOR will continue to provide health insurance benefits on the same basis as provided before commencement of the leave. If an employee fails to return to work after leave, the employee will be required to reimburse ANCOR for his/her health insurance premiums paid during the leave.
  8. **Intermittent Leave.** When appropriate to permit the employee to deal with a serious health condition of the employee or an immediate family member, ANCOR's CEO may approve the use of intermittent unpaid leave, such that the total amount of leave granted does not exceed 12 weeks in any 12-month period.
  9. **Return to Work.** An employee returning from unpaid leave for a serious health condition may be required to submit a health care provider's verification of his or her fitness to return to work. If an employee fails to report to work at the end of an approved leave, or fails to submit requested status reports during such leave, ANCOR will treat the employee as having resigned.

## **Bereavement Leave**

Employees are provided with three days of paid bereavement for the time which an employee needs to miss work in order to attend the funeral of one of the following relatives: spouse, child, parent, sibling, grandparent, or grandchild of the employee or the employee's spouse. Additionally, up to one day of paid bereavement is provided for other relatives or close friends.

In order to allow an employee to deal with the particular trauma of the death of a parent, spouse or child, ANCOR will allow the employee to take additional paid and/or unpaid time off. The employee should contact the CEO if the employee wishes to obtain extended leave in such instances.

Requests for funeral leave must be made as soon as the employee is aware of the need for leave. Under some circumstances additional paid and/or unpaid leave may be granted for bereavement.

## **Staff Volunteer Work Leave**

ANCOR encourages our employees to become involved in and contribute to the social strength of their communities, lending their voluntary support to programs that enrich the quality of life and opportunities for all citizens.

In support of employee volunteering, ANCOR employees may take up to three paid hours of leave time each month, during regular work hours, to participate in their specific volunteer program. This time can be taken monthly or aggregated; e.g., combine volunteer time allocation to take a full or multiple day(s) for volunteer activity.

Volunteer time should not conflict with the peak work schedule, other work-related responsibilities, create need for overtime, or cause conflicts with other employees' schedules. Interested employees should have expected performance or above.

Volunteer activities should be done on an unpaid basis. Activities may include, but are not limited to, mentoring, tutoring, coaching, chauffeuring/delivering, donating blood, clean-up/maintenance, various supports of not-for-profit events. They may be one-time activities or ongoing.

## **Military Leave**

Should employment with ANCOR be interrupted by active military duty or by reserve training obligations, employees will be granted a military leave of absence and reinstatement rights in accordance with all applicable federal and state laws.

## **Jury Duty or Court Appearances**

ANCOR encourages all employees to meet their civic responsibility by serving on a jury when called upon to do so, and serving as a witness if subpoenaed for any matter. Employees summoned to serve on a jury, or subpoenaed as a witness, will receive the difference between regular pay and any pay received from the government for performing jury duty service for a maximum of ten days. Additional jury duty time beyond ten working days will be treated as unpaid leave.

Any absence for jury duty will be considered to be excused, and during the period of jury service the employee will be treated in the same manner as any employee on unpaid personal leave. If an unpaid leave will present an undue hardship to the employee, the employee should advise the court of this fact at the time of jury selection.

In order to receive pay under this policy, an employee must give the jury summons or subpoena to his/her direct report immediately after receiving it. It is the employee's responsibility to keep ANCOR informed of the dates and expected duration of jury duty or court appearances. At the conclusion of jury duty, employees must present proof of such service.

Employees who wish to make court appearances in their own litigation should make advance arrangements to request time off for such appearances. Vacation time normally may be applied to the absence, if such time is available and advance arrangements have been made.

If an employee appears as a witness on behalf of ANCOR in any litigation, the time spent will be treated as working time and will be paid.

## **Voting Time**

Most employees have adequate time to vote before or after work hours. If special arrangements need to be made to arrange adequate voting time, employees should request adjustment of their work schedules at least one day before the date of the election. Direct reports can assist in making such arrangements.

## **Personal Leave**

An unpaid leave of absence may be granted to regular full-time employees to allow an employee to handle personal, family, educational or religious matters which cannot be handled using regular vacation time or sick time and which are not covered by any of the paid leave outlined above. Such personal leaves may be granted for periods of time up to a maximum of six weeks during a two-year period. The decision to grant or deny the leave is within the sole discretion of the CEO based upon a number of factors, including the amount of time requested; whether vacation time was available which could have been used in lieu of asking for added time off; the reason for the request; whether the leave will benefit or hinder ANCOR in any way; the prior work history of the employee; the hardship to the association if the leave is granted; and other related factors.

Employees are not eligible to apply for a personal leave until after they have completed two full years of service. Except in extremely unusual circumstances, no employee will be granted more than one extended personal leave (i.e., leave in excess of two weeks and up to six weeks) in any two-year period. All such leaves will be unpaid; no benefits will accrue during any extended leave; and the employee will be required to reimburse ANCOR for health and life insurance premiums during any extended leave.

### **Differences Between Exempt and Non-Exempt Employees**

As a general rule, non-exempt employees who take time off for personal or family-related absences will not be paid for the time missed unless the time can be made up, except where the employee has accrued vacation or sick pay which is permitted to be applied to the absence.

Exempt employees usually will be expected to make up work missed by a partial day of absence during a work week. As a result, ANCOR normally will not dock exempt employees for partial days of absence, except in situations where the frequency and duration of the absences make it unlikely that the time can be made up (such as extended intermittent leave). However, exempt employees are subject to being docked for absences of one full day or longer due to illness or injury, unless they have appropriate paid benefit leave time available which may be applied to the absence.

## **D: BENEFITS**

All employees, regardless of classification or status, are eligible for Social Security contributions on their behalf; are covered by workers' compensation insurance if injured on the job; and are covered by unemployment compensation insurance in accordance with state laws.

In addition to these benefits, regular full-time employees are eligible for each of ANCOR's benefit programs subject to eligibility requirements and any limitations or conditions of each program. Employees who are permanent part-time employees also may be eligible for these benefit programs if they meet certain minimum service and hours-worked requirements.

### **Social Security Coverage**

Every pay period, each employee and ANCOR will contribute a percentage of your wages into the Social Security system, including Medicaid. This money provides certain important benefits for each employee. The benefits offered by Social Security and Medicaid include disability payments and medical insurance for you if you become totally disabled for any reason prior to normal retirement; survivor benefits to your spouse and minor children if you die; and also retirement benefits and health insurance for you and your spouse when you reach retirement age. Information about available Social Security and Medicaid benefits may be obtained from your nearest Social Security office.

## **Workers' Compensation Insurance**

Workers' compensation insurance is paid in full by ANCOR and goes into effect immediately upon employment. Any medical or hospital expenses resulting from a work-related injury are covered by this insurance. In addition, if your injury prevents you from working, this coverage may also pay.

An employee who sustains an injury, no matter how slight, should immediately report it to the Director of Finance. Failure to do so can result in the forfeiture or reduction of your workers' compensation benefits.

## **Unemployment Compensation Insurance**

ANCOR pays premiums to the state unemployment insurance fund in order to provide unemployment insurance for its employees. Eligibility for unemployment compensation benefits is determined in accordance with state law. Eligible employees receive weekly benefits based on earnings during the nine calendar quarters proceeding the time of their application for unemployment benefits.

## **Liability Insurance**

ANCOR provides professional liability insurance for all employees. Additional coverage is provided for officers and directors.

## **Health/Dental Insurance**

ANCOR provides a comprehensive health/dental insurance program for the employee at no cost to regular full-time employees who have completed the 60-day introductory period and regular part-time employees who work at least 30 hours per week.

As members of a benefit trust, ANCOR's employees have the option of multiple health, dental and vision plans, some of which include spouse and/or dependents. ANCOR will pay towards the employee's plan and coverage choices up to the equivalent of the highest plan premiums for single employee health, dental and vision coverage.

Information about the health insurance plan and eligibility requirements is available from the Director of Finance. Additionally, employees eligible for coverage will receive coverage booklets that describe the details of this benefit.

## **Life Insurance**

After completing the introductory period, eligible regular full-time employees or regular part-time employees working 30 or more hours a week will receive ANCOR-paid life insurance coverage in

the amount of \$30,000. Information about the life insurance plan and eligibility requirements is available.

## **Long Term Disability Insurance**

ANCOR also provides paid Long Term Disability Insurance for regular full-time employees who have completed the initial introductory period plus an additional 30-day employment period (for a total of 90 days). Eligible employees will be provided with information regarding this benefit. Questions on this benefit should be directed to the Director of Finance.

## **Retirement Plan**

ANCOR provides a 401k Plan to which it makes a Qualified Nonelective Contribution for eligible employees equal to 3% of their pay for the portion of the plan year they are an active participant. To be eligible you must be an employee, age 21 and over, and have completed three months of employment (including the initial introductory period). Eligible employees will automatically become a participant in the plan on January 1, April 1, July 1 or October 1 coinciding with or next following completion of the eligibility requirements. The employee's contribution will automatically be 3% unless the employee specifically elects a different eligible contribution amount or elects out on the enrollment form. The ANCOR 401k Plan Summary will be distributed to each employee and a copy will be on file at the office for reference. Please contact the Director of Finance if you have questions regarding this benefit.

## **Professional Development/Education Assistance**

ANCOR strongly encourages personal and professional development and provides an annual allowance to each staff member for dues and subscriptions, program registration and support and resource materials. This program is open to all regular full-time employees.

ANCOR also supports formal education in the form of tuition assistance. In order to be eligible for tuition assistance, the employee must have completed two years of service. Individual courses or courses which are part of a degree, licensing, or certification program must be related to the employee's current job duties or to a foreseeable future position in the association. An employee who desires to receive educational assistance must apply to the CEO in writing for approval of the course before enrollment. ANCOR has the sole discretion to determine whether a course qualifies for educational assistance.

Upon receiving approval, the employee will be eligible for tuition assistance when he/she can produce evidence of satisfactory completion of the course with a grade of C or higher. Such assistance will amount to reimbursement to the employee of one-half of the cost of tuition and books for the course (and will be conditioned upon a commitment by the employee to repay all educational assistance payments received within the last 12 months of his/her employment if he/she quits before having worked a full 12 months after such payment).

## **E: BUSINESS OPERATIONS**

### **Visitors in the Workplace**

To provide for the safety and security of employees and the ANCOR office, only authorized visitors are allowed in the workplace. Restricting unauthorized visitors helps maintain safety standards, protects against theft, ensures security of equipment, safeguards employee welfare, and avoids potential distractions and disturbances.

### **Use of Phone and Mail Systems**

Personal calls during business hours should be kept to a minimum and be short in duration. Personal long distance calls should be made only when necessary and tracked for reimbursement to the association. Excessive use of the phone to conduct personal business or make personal calls may constitute cause for disciplinary action including dismissal.

The use of ANCOR-paid postage should be tracked and reimbursed. Minimal use of association supplies, copiers and the fax machine is permitted. It is in the sole discretion of the Office Manager and/or CEO to determine when use becomes excessive and unacceptable.

Use of ANCOR computers, e-mail and Internet accounts is addressed in Section F.

While ANCOR wants to create and maintain a friendly workplace environment, employees should be mindful that business hours are for work and any interruptions for personal business should be very brief and kept to a minimum.

### **Company-Provided Cellular Phones/PDAs**

#### **Criteria for Issuing Cell Phones/PDAs**

Issuing a business-owned cell phone or PDA to an ANCOR employee for work-related communications will be based on the following criteria:

- The nature of work assigned requires an employee to travel frequently, but remain in close contact with ANCOR, volunteers and/or members.
- Due to frequent and prolonged time out of the office, a cell phone or PDA is required to support departmental operations.
- The nature of the work assigned requires the individual to be reasonably available outside of normal office hours.
- The nature of the work assigned is critical to the operation of ANCOR and immediate response may be required.

#### **Policy on Use**



To protect the employee from incurring a tax liability for the personal use of this equipment, cell phones or PDAs are to be used for business purposes only. Phone logs will be audited regularly to ensure no unauthorized use has occurred.

Employees in possession of company equipment such as cellular phones or PDAs are expected to protect the equipment from loss, damage or theft. Upon resignation or termination of employment, or at any time upon request, the employee may be asked to produce the phone or PDA for return or inspection. Employees unable to present the equipment in good working condition within 72 hours may be expected to bear the cost of a replacement.

In the event of a disaster or emergency affecting ANCOR, cell phones or PDAs in non-critical areas will be redistributed to support mission-critical areas.

### **Policy on Safety**

ANCOR has a zero tolerance policy regarding using a cell phone or PDA while driving. Employees who are issued a cell phone or PDA for business use are not authorized to use the device while driving, regardless of the circumstances, including slow or stopped traffic. For the employee's safety and the safety of others it is imperative to pull over and stop at a safe location to dial, receive or converse on the cell phone or PDA in any way. Safety must come before all other concerns. Under no circumstances are employees allowed to place themselves or others at risk to fulfill business needs. In accordance, employees who are charged with traffic violations resulting from the use of their phone or PDA while driving will be solely responsible for all liabilities that result from such actions.

## **Personal Appearance**

Dress and good personal grooming standards contribute to the morale of all employees and affect the business image ANCOR presents to members, vendors and visitors. During business hours and at any association function, employees are expected to present a clean and neat appearance and to dress according to the requirements of their positions and scheduled events. Consult the Office Manager if you have questions as to what constitutes appropriate attire.

## **Solicitations**

In an effort to assure a productive and harmonious work environment, solicitation or distribution of literature by non-employees is prohibited.

Employees may not solicit or distribute literature regarding non-business activities during actual working time. In making any solicitations, employees should remember ANCOR's policies on courtesy, and avoid actions that may make others uncomfortable or be viewed as harassment of others. ANCOR reserves the right to prohibit solicitations which are offensive or in poor taste.

Similarly, while the occasional sale of items is permitted (such as school candy, Girl Scout cookies, etc.), employees are not permitted to carry out any recurring sales activity during working hours.

## **Kitchen Area**

The kitchen area is provided for employees and employees are responsible for cleanliness of this area. A microwave and refrigerator are provided. Items in the refrigerator should be marked with the owner's name. All perishable items in the refrigerators must be removed before the weekend. Employees are responsible for washing dishes they use.

## **Personal Use of ANCOR Property**

ANCOR equipment, supplies, materials or other property may not be removed from the premises for personal use under any circumstances unless you are specifically authorized in writing to do so by the CEO.

## **Personal Property and Working Conditions**

ANCOR wants to provide a comfortable work environment for employees. Employees are welcome to bring small personal items such as pictures for desktop display. However, ANCOR cannot be responsible for the loss of personal property and employees should avoid bringing valuables to work. Purses should be stored out of sight to avoid theft.

Employees should also bear in mind that it may be necessary for ANCOR personnel to enter your office, desk, files, drawers, cabinets, etc. at any time with or without notice, and/or with or without your presence or knowledge. Employees are on notice that they should not have any expectations of privacy at work.

## **Conflicts of Interest**

ANCOR employees are expected to avoid actions that involve, or appear to involve, conflicts of interest between ANCOR duties and other business ventures or personal relationships.

Employees who have access to confidential or privileged ANCOR information are prohibited from sharing this information with other persons, including ANCOR employees and/or members, who are not specifically authorized to have access to such information, or from using such information for personal gain.

Significant (i.e., in excess of \$100) gifts, loans, favors or other forms of compensation should not be accepted from any person, firm or corporation without specific authorization from the CEO.

When an employee accepts anything of significant value from a vendor without immediate and prompt disclosure, or otherwise violates this policy, the employee will be subject to serious discipline (up to and including discharge).

Employees will be required to sign a conflict of interest form at the time of employment.

## Outside Employment

If there is a question regarding outside employment with regard to conflict of interest, the employee should discuss the situation with the CEO.

Employees normally will be allowed to hold outside jobs with companies that are not members, suppliers or vendors of ANCOR, as long as they continue to meet the performance standards of their job with the association. All employees will be judged by the same performance standards and will be subject to the association's scheduling demands, regardless of any existing outside work requirements. If ANCOR determines that an employee's outside work interferes with performance or the ability to meet the requirements of the association, the employee may be asked to terminate the outside employment if he or she wishes to remain employed by ANCOR.

Employees may not perform work for other companies, or for their own personal business ventures, on ANCOR time. Likewise, employees may not use, sell or convey confidential business knowledge acquired while at the association to any third parties (regardless of whether still employed by ANCOR or working elsewhere at the time that such information is conveyed).

## Ethics Policy

As ANCOR professionals, staff will commit to carrying out the vision and mission of the organization. Staff commits to:

1. Recognize that the chief function of ANCOR at all times is to serve the best interests of our member constituency.
2. Accept as personal duty the responsibility to keep up to date on emerging issues and to conduct themselves with professional competence, fairness, impartiality, efficiency and effectiveness.
3. Respect the structure and responsibilities of the Board of Directors, provide them with facts and advice as a basis for their making policy decisions, and uphold and implement policies adopted by the Board of Directors.
4. Conduct organizational and operational duties with *positive* leadership exemplified by open communication, respect, creativity, dedication and compassion.
5. Serve with respect, concern, courtesy and responsiveness in carrying out the organization's vision and mission.
6. Demonstrate the highest standards of personal integrity, truthfulness, honesty and fortitude in all activities in order to inspire trust and confidence.
7. Respect and protect privileged information.
8. Strive for personal professional excellence and encourage the professional development of others.

## **Protection of Confidential Information**

The protection of confidential business information is vital to the interests of ANCOR. Such confidential information includes, but is not limited to, the following examples:

- Information about employees (including compensation, evaluations and the like)
- Membership lists and other member information
- Financial information

Employees who improperly use or disclose confidential business information will be subject to disciplinary action (up to and including discharge).

## **Media Policy**

To ensure the quality and consistency of ANCOR information disseminated to media sources, the following policy shall be enforced:

- All media contacts are to be handled by the CEO, or his or her designee, regardless of who the media representative is or whom he or she represents or how innocuous the request.
- All press releases or other promotional materials are to be approved by the CEO or his or her designee prior to dissemination.

Failure to comply with ANCOR's media policy shall be grounds for disciplinary action.

## **F: COMPUTER AND INTERNET USE POLICY**

As part of ANCOR's commitment to the utilization of new technologies, all employees have access to the Internet. In order to ensure compliance with existing copyright and decency laws, to protect the association from being victimized by the threat of viruses or hacking into the association's system, and to encourage a high standard of work ethics, the following policy has been established.

- It is ANCOR's policy to limit Internet access during business hours to official business. Employees are authorized to access the Internet for personal business after or before-hours or during lunch so long as use is in strict compliance with the other terms of this policy.
- Employees using ANCOR's Internet accounts are acting as representatives of the association. Employees should consider ANCOR's reputation when using e-mail since both the employee and the association are identified in each e-mail message. Since employees unfortunately cannot control the end use of sent e-mails, they should take care to write professionally and to consider the consequences if an e-mail inadvertently were to be sent to the wrong addressee or to become public.
- ANCOR realizes that from time to time personal use of e-mail is necessary. However, employees are discouraged from excessive personal use of e-mail.
- Employees are prohibited from using instant messaging software unless approved in writing by the CEO or from reading or posting personal messages on the Internet at any time when using ANCOR computers and/or electronic resources.
- Employees are prohibited from the use of ANCOR's computers and/or electronic resources in attempts (successful or not) to gain unauthorized access to remote systems, to "crash" systems or programs, or to otherwise "wreak havoc" or cause damage.
- Files which are downloaded from the Internet must be scanned with virus detection software before installation or execution. The knowing and/or negligent introduction or spreading of viruses or the malicious tampering with any computer system is expressly prohibited.
- Employees are strictly prohibited from using e-mail and/or any other electronic media (including, but not limited to, software, media files, or data streams) for transmitting, retrieving or storing of any communications of a discriminatory or harassing nature, or which are derogatory to any individual or group, or which are obscene or X-rated, or are of a defamatory or threatening nature; or for "chain letters;" or to promote personal political beliefs or personal business or commercial interests; or for sending unauthorized or unsolicited bulk e-mail; or for any other purpose which is illegal or against ANCOR's policy or contrary to the interests of the association.
- Forgery (or attempted forgery) and/or attempts to read, delete, copy or modify the e-mail of others are strictly prohibited.
- The truth or accuracy of information on the Internet and in e-mail should be considered suspect until confirmed by a separate and reliable source.
- The Internet does not guarantee the privacy and confidentiality of information. Sensitive material transferred over the Internet may be at risk of detection by a third party. Employees should consider this and exercise caution and care as appropriate. Employees

are prohibited from transmitting in any way proprietary or confidential ANCOR material (software, internal correspondence, etc.) without prior written permission of the CEO.

- The use of alternate Internet Service Providers on ANCOR computers is not permitted unless authorized in writing by the CEO, and then use of these providers is to be in strict compliance with this policy.
- United States copyright and patent laws protect the interests of authors and software developers in their products. It is against federal law and ANCOR's policy to violate the copyrights or patents of others in general and specifically on or through the Internet. Employees may not download or use copyrighted material without obtaining written authorization.
- Use of ANCOR computers for personal purposes (playing games, blogging, personal correspondence and documents, etc.) during business hours is prohibited. Maintaining personal files should be limited. The use or installation of personal software is prohibited without written permission from the CEO.
- ANCOR reserves the right, in its discretion, to review any employee's computer and/or Internet files, folders, programs, messages or usage associated with the association or its Internet accounts to the extent necessary to ensure that the association's computers and electronic media and services are being used in compliance with the law and with the association's policies. If ANCOR elects to use monitoring systems or software, employees will be so notified and the result may be 24-hour monitor logs of Internet usage which may reveal information such as which World Wide Web sites have been accessed, the e-mail addresses of those receiving communications, etc. ANCOR will not disclose any of the logged, or otherwise collected, information to a third party except under compulsion of the law.
- Responsibility for use of the Internet that does not comply with the law and/or this policy lies with the employee so using it, and such employee must indemnify ANCOR for any direct loss and reasonably foreseeable consequential losses suffered by the association by reason of the breach of law and policy.

Any alleged or documented breach of this policy will be reviewed with the involved employee and may be subject to disciplinary action. If the breach is of an illegal or very serious nature, the breach may be treated as grounds for dismissal.

## **Mobile Computing Security**

This policy is to make employees aware that mobile computing, which encompasses Blackberries, laptops, USB flash drives, or offsite computers, carries with it inherent security risks and requires special precautions.

Two areas of potential security breaches are the device and its method of Internet connectivity.

1. Device: all devices must have active anti-virus software and accept automatic Windows updates (not including Blackberries, which receive security updates over the air). It is the prerogative of the employee to accept prompts to install these updates and restart the device when necessary. The employee will not install third-party software or visit

websites outside the realm of what is required for work without prior consultation with the IT Director. Should the security of the device be compromised through either theft, unauthorized access, or expired anti-virus software, the employee should notify the IT Director immediately.

2. Internet Connectivity: the network to which the device connects to the Internet should have adequate security protocols in place, including a firewall and login credential authorization. When the network security is in question, such as a public Wi-Fi spot (hotel lobby, coffee shop) or using an access card that connects via cell towers (AT&T laptop card), the employee will be mindful that these are the least secure methods of Internet connectivity and should refrain from accessing secure data if at all possible. When accessing websites that require login credentials, the employee will log out of the session or account when finished.

## G: SAFETY

### **Smoke-Free Environment**

ANCOR provides a smoke-free environment. Employees who choose to smoke must do so outside ANCOR premises.

### **Accident Reporting**

If an employee witnesses an accident involving a coworker, that employee is required to notify a direct report or another staff member immediately. As necessary and with proper precautions, first aid should be rendered and, as necessary, transport to emergency care locations swiftly arranged.

Likewise, if an employee sustains any accidental injury at work, no matter how minor, that employee is required to notify a direct report immediately so that ANCOR may make an assessment of whether emergency medical treatment is advisable. By promptly notifying the association of job-related injuries, an employee also will protect his/her rights to workers' compensation benefits in the event that the injury is serious.

### **No Weapons Policy**

ANCOR does not permit employees to possess firearms or other weapons on association property (including in cars parked on its premises) or when carrying out your duties as an ANCOR employee.

### **Security Inspections**

ANCOR wishes to maintain a work environment that is free of illegal drugs, alcohol, firearms, explosives, or other improper materials. Desks and other ANCOR property remain the sole property of the association and may be subject to inspection if a violation of this policy is reasonably suspected.

### **Drug and Alcohol Policy**

It is ANCOR's desire to provide a drug-free, healthful, and safe workplace. To promote this goal, employees are required to report to work in appropriate mental and physical condition to perform their jobs in a satisfactory manner.

While on the association premises and/or while conducting business-related activities, no employee may use, possess, distribute, sell, or be under the influence of excess alcohol or illegal drugs. ANCOR, at its discretion, may permit limited use of alcohol at association-sponsored functions (such as a holiday party, picnic or business function), under the condition that employees closely monitor their own consumption and that of any guests to ensure orderly behavior, and under the further condition that a designated driver will be used as necessary. Similarly, the



association may permit certain employees who entertain members or business associates in the regular course of their work to engage in limited use of alcohol, under the same conditions.

The use of prescribed drugs is permitted on the job only if it does not impair an employee's ability to perform the essential functions of the job effectively and in a safe manner that does not endanger other individuals in the workplace.

The use, sale or possession of illegal narcotics, drugs or controlled substances by ANCOR employees while on ANCOR premises (including parking lots), or while on ANCOR business away from ANCOR premises, is prohibited. Employees are also prohibited from reporting to work while under the influence of illegal narcotics, drugs or controlled substances. Violations of this rule will result in immediate termination and any such substances will be turned over to the appropriate law enforcement authorities for possible prosecution.

Off-the-job drug and/or alcohol use which could adversely affect an employee's job performance or could jeopardize the safety of other employees, the public or ANCOR-owned or leased property (including the parking lots) is also cause for immediate termination.

Employees who are arrested and convicted for off-the-job drug and/or alcohol activity may be considered in violation of this policy. In determining what action to take, ANCOR will consider the nature of the charges, the employee's present job assignment, the employee's record with ANCOR, the impact of the employee's conviction on ANCOR's ability to maintain efficient operations and any other factor which ANCOR deems relevant under the circumstances.

If an employee believes that he/she may have a substance dependency or abuse problem, the employee is encouraged to discuss these matters with the CEO. Employees may request approval to take an unpaid leave of absence to participate in a rehabilitation or treatment program through the association's health insurance benefit coverage, provided that any abuse occurred off-premises and provided that the employee is not currently facing disciplinary action for violation of the drug policy. Volunteering to participate in a treatment program does not excuse or limit the employee's obligation to meet ANCOR's policies and standards regarding attendance, job performance and safe and sober behavior on the job, but ANCOR will consider such efforts by employees in determining whether or not to retain that employee.

ANCOR reserves the right to require an employee to submit to a drug and/or alcohol test when it has reasonable basis to believe that this policy has been violated.

## **H: DISCIPLINE AND TERMINATION**

### **Discipline**

If an employee fails to meet ANCOR's overall expectations for performance of the job (including compliance with association rules and procedures, as well as use of common sense and common courtesy), ANCOR must decide whether imposition of discipline is likely to fully correct performance deficiencies and turn the employee into a desirable worker.

In general, ANCOR uses a "fair warning" discipline system. An employee will receive two written warnings identifying the problem, discussing ways to solve it, outlining the consequences if the problem is not resolved, and setting an appropriate deadline for resolving the problem. If the problem is not resolved after two written warnings, termination may occur. For less serious problems, an employee may receive a verbal warning, with a notice placed in his/her file that will be removed after three months provided the problem has been resolved. If the problem is not resolved, a written warning may be given.

If ANCOR does not believe that discipline is likely to turn the employee into a desirable worker, then the employee is subject to immediate termination. Instances where no disciplinary action is likely to be considered to be worthwhile include situations where, despite real effort, the employee simply cannot do the work assigned (whether due to lack of needed skills, personality issues, or other factors which the employee is likely to be unable to change within the time needed). Discipline also may be considered not to be worthwhile where the overall record of the employee is poor and/or the employee requires an excessive amount of supervisory time (e.g., the direct report is often dealing with problems created by the employee, or often having to oversee the employee's work to get satisfactory work or effort, or often having to adjust schedules due to unexcused absences, tardiness or poor work effort by the employee).

In making the decision on whether to impose discipline, as well as what type of discipline to impose, ANCOR considers the following types of factors: the severity of the particular offense in question (some acts are so serious that termination is the only viable option); the prior overall record of the employee (including the number of times that the employee has presented past disciplinary problems, even if different from the current offense); the effect of the offense/discipline on the morale of other employees; the effect of the offense/discipline on those who do business with the association, including members; and whether the employee has demonstrated an overall aptitude, ability and willingness to satisfactorily perform assigned job duties (so that it makes sense to devote supervisory time and resources towards working with the employee to try to correct the problems).

ANCOR believes in treating every employee as an individual and in assessing each particular situation on a case-by-case basis to determine the disciplinary action to be taken. On occasion, this may mean that an employee will receive greater or lesser discipline for a particular offense than someone else (in most cases, this arises when one person has a clean disciplinary record and has been doing excellent work for several years, while the other is a short-time employee who has been in constant trouble for varying offenses since hire and whose overall work is poor).

Any of the following types of disciplinary action may be given to an employee. In addition, when the decision is made to continue employment, ANCOR reserves the right to impose special requirements or terms on the employee as a condition of continued employment (such as probationary periods during which additional infractions and/or failure to adhere to an agreed performance improvement plan may result in further disciplinary action or termination).

- Termination - ANCOR decides that further employment of the individual is not in its best interest, and severs the employment relationship.
- Written warning - Employee receives formal written notice from his/her direct report or the CEO of the infraction, and the steps required to correct the problem. Employee must commit in writing to immediate correction of the problem.
- Verbal warning - Employee is verbally notified by his/her direct report or CEO of the infraction, and a commitment is obtained from the employee to cease or correct the offending conduct immediately. A note will be placed in the employee's file to be removed after three months provided the offending conduct has ceased.

The type of discipline imposed is at the sole discretion of the association. Employees who are dissatisfied with the discipline imposed are free to present their complaints through the problem resolution procedure. However, pending resolution of their complaint, any discipline imposed will continue in effect unless ANCOR specifically advises the employee to the contrary.

## **Grievance and Problem Resolution Procedure**

Whenever people work closely together, complaints and misunderstandings are bound to arise from time to time. ANCOR will make every effort to provide employees with an opportunity to bring such matters to management's attention and receive prompt and fair consideration. To that end, ANCOR will employ the procedure set forth below for handling grievances and problems.

1. Employees should submit problems or grievances, in writing, to their direct report or the Office Manager. An investigation will be made, and the employee issuing the grievance will be advised of the outcome as quickly as possible.
2. Employees who are not satisfied with their direct report's or the Office Manager's response may request that the CEO review the matter.
3. Employees who are not satisfied with the CEO's response may request the President to conference with the CEO to review the matter.

ANCOR supports open, free communication at all levels. This procedure is not designed to discourage employees from talking to anyone at ANCOR at any time. Rather, it is simply a procedure to ensure that grievances and problems are dealt with in a prompt, responsive and consistent manner.

Employees who come forward under this procedure will be protected against retaliation or negative consequences regardless of how the grievance or problem is resolved. Employees should also be assured that the confidentiality of all such matters will be maintained to the fullest extent possible.

## Reasons for Termination of Employment

Employment may be ended by the employee or by ANCOR at any time, and for any reason. Common reasons for ending the employment relationship are:

- **Resignation** - voluntary employment termination initiated by an employee. As a courtesy, ANCOR requests two weeks' notice of resignation of a non-exempt employee and four weeks' notice of resignation of an exempt employee so that it can seek to fill the opening with minimum disruption.
- **Layoff** - involuntary employment termination initiated by the organization for lack of work; staff reductions; and the like.
- **Retirement** - voluntary employment termination initiated by the employee meeting age, length of service, and any other criteria for retirement. As with a resignation, advance notice is expected.
- **Termination** - involuntary employment termination initiated by ANCOR when further employment of the individual appears to no longer be in the best interest of the association. This category includes non-disciplinary terminations (such as where an employee cannot return from leave, or is unable to do the job despite good faith effort, or simple personality conflicts where the relationship has deteriorated to the point where the association concludes the person must go). It also includes terminations for disciplinary reasons.

## Procedures for Termination of Employment

Upon termination of their employment, employees will receive their final pay in accordance with applicable state law (usually at the next regular pay period following termination). All accrued, vested benefits that are due and payable upon termination also will be paid at this time. Other accrued benefits, such as benefits under retirement plans, will be distributed under the terms of those plans.

After termination, health insurance benefits usually may be continued for a short period of time depending on the terms of the plan. Any extension of benefits beyond termination will be at the employee's expense. It may be possible to continue certain other insurance benefits at the employee's expense, depending on the terms of those plans. The employee will be notified in writing of the benefits that may be continued, and of the terms under which this is possible.

ANCOR will generally schedule exit interviews at the time of employment termination. The exit interview will afford an opportunity to discuss such issues as employee benefits, repayment of outstanding debts to the association, or return of ANCOR-owned property such as keys. Suggestions, complaints, and questions can also be voiced at this time.

## **Severance Pay**

ANCOR does not have a policy for payment of severance pay on termination. However, it reserves the right to offer such pay to particular employees, at its sole discretion. Any payment of severance pay will be conditioned upon execution of a full release of any claims against the association arising out of employment and/or termination (except for rights under any existing benefit plans, and claims which cannot be released without court approval).

## **Outside Reference Checks**

Reference checks on former employees are handled by the Office Manager or the CEO. As a general rule, ANCOR will confirm only dates of employment, last position held, and salary at termination in response to reference checks (unless the employee engaged in such gross misconduct that ANCOR may have a legal obligation to disclose to others).

Upon request, ANCOR will provide departing employees with a statement, which describes the association's general policy on references, and lists the information applicable to your employment, which you may then provide to future employers in lieu of a formal reference check.

## **Return of Property**

Employees are responsible for all property, materials or written information issued to them or in their possession or control. All ANCOR property must be returned by employees on or before their last day of work. Where permitted by applicable laws, the association may withhold from the employee's final paycheck the cost of any items that are not returned when required. ANCOR may also take all action deemed appropriate to recover or protect its property.

# **I: CHIEF EXECUTIVE OFFICER SUCCESSION PLAN**

## **Rationale**

In order to ensure the continuous coverage of executive duties critical to the ongoing operations of ANCOR and its services to members, the Board of Directors is adopting policies and procedures for the temporary appointment of an Acting Chief Executive Officer in the event of an unplanned and extended absence of the Chief Executive Officer. Actions taken under this policy should be made consistent with the terms of the CEO employment agreement and any applicable law, which have priority over this policy. Additionally, nothing contained in this policy is intended to modify or waive the rights of either party to the CEO employment agreement.

## **Key Functions of the Chief Executive Officer**

The following are key functions of the Chief Executive Officer (CEO):

1. Serve as the organization's principal leader, representative, and spokesperson with Congress, the Administration, other federal and state policy makers, payors, industry partners, disability community stakeholders and the public.
2. Support the Board of Directors.
3. Convene and lead the staff management team.
4. Participate in recruitment, interview, selection, and evaluation process for directly supervised staff and other key management level positions.
5. Implement ANCOR's strategic plan as approved by the Board of Directors.
6. Monitor organizational cash flow and financial statements and investment reports monthly.
7. Maintain accountability for current year operating budget and for financial performance of investment portfolio.
8. Ensure timely and appropriate communications with independent auditors.

## **Succession Plan**

**Succession plan in the event of a temporary, unplanned absence (short term)**

1. Definitions

- a. A temporary absence is one in which it is expected that the Chief Executive Officer will return to his or her position once the events precipitating the absence are resolved.
  - b. An unplanned absence is one that arises unexpectedly, in contrast to a planned leave, such as a vacation or sabbatical.
  - c. A short-term absence is three months or less.
2. Plan:
- a. In the event of an unplanned absence of the Chief Executive Officer, the CEO (or if the CEO is not able to communicate, then the Chief Operations Officer) shall immediately inform the Chair of the Board of Directors of the absence, and assume the position of Acting CEO pending action of the Executive Committee.
  - b. The Board of Directors delegates authority to the Executive Committee to affirm the procedures prescribed in the plan or make modifications that the officers deem appropriate, and then to implement the terms of this emergency plan in the event of the unplanned absence of the CEO. This includes the authority to increase the compensation of the Acting COO for the term of the appointment. Upon implementation of any part of the succession plan, the Executive Committee will inform the full board of Directors.
3. First and second back-ups to the position of the Acting Chief Executive Officer
- a. Should the COO be unable to serve as the Acting CEO, the first back-up appointee will be the Vice President of Government Relations.
  - b. The second back-up appointee will be the Director of Communications or the Director of Finance, depending on which individual the Executive Committee determines is best qualified.
  - c. In the event that the standing appointee, the COO, is new to his or her position and fairly inexperienced with ANCOR, the Executive Committee may decide to appoint one of the back-up appointees to the Acting CEO position. The Executive Committee may also consider the option of splitting executive duties among the designated appointees.
4. Authority and restrictions of the appointee
- a. The person appointed as the Acting CEO shall have the full authority for decision making and independent action as was authorized by the Board to the CEO, with the exception of terminating or hiring staff, modifying compensation of staff, or initiating or terminating a major ANCOR program, without consultation with the Executive Committee.

5. Communications plan

- a. Immediately upon transfer of the responsibilities to the Acting Chief Executive Officer, the Acting Chief Executive Officer shall work with the Board Chair to draft a memo to staff to address this temporary leadership restructuring.
- b. The Acting Chief Executive Officer shall then convene the staff and distribute this memo to staff, discuss and answer any questions or concerns.
- c. As soon as possible after the Acting Chief Executive Officer has begun covering the temporary, unplanned absence of the Chief Executive Officer, Board Directors and the Acting Chief Executive Officer shall jointly communicate the temporary leadership structure to ANCOR membership and key industry partners.

6. Completion of short-term emergency succession plan

- a. The decision about when the absent Chief Executive Officer returns to lead ANCOR should be determined by the Chief Executive Officer (not the Acting CEO) and the Board Chair, but subject also to the terms of the CEO's employment contract. They will arrive at a mutually agreed upon schedule and start date. A reduced schedule for a set period of time can be allowed, by approval of the Board Chair, with the intent that the Chief Executive Officer will work his or her way back up to a full-time commitment.

**Succession plan in the event of a temporary, unplanned absence (long term)**

1. Definition

- a. A long term absence is one that is expected to last more than three months but no more than one year.

2. Conditions and procedures

- a. The applicable conditions and the procedures to be followed shall be the same as for a short-term absence, with the following modification: The person appointed as the Acting CEO shall have the full authority for decision making and independent action as was authorized by the Board to the CEO. The Acting Chief Executive Officer shall give immediate consideration, in consultation with the Executive Committee, to temporarily back-filling the management position left vacant by the Acting Chief Executive Officer. Some functions usually performed by staff may need to be temporarily outsourced.

3. Completion of the long-term emergency succession period

- a. In the event of a long term unplanned absence that in fact lasts longer than three months but is expected to last no longer than a year, the Executive Committee



shall make a recommendation to the Board of Directors regarding whether it is in ANCOR's interest to terminate the CEO's position after 90 days, or hold the position open for his or her return.

In the event the Board of Directors determines it is in the Association's best interest to keep the position open for the CEO, the decision about when the absent Chief Executive Officer returns to lead ANCOR should be determined by the Chief Executive Officer (not the Acting CEO) and the Board Chair. They will decide on a mutually agreed upon schedule and start date, provided however that if they are unable to agree after a reasonable period, ANCOR may terminate the CEO, subject to the terms of the CEO's employment agreement. A reduced schedule (and possibly a commensurate reduced salary) can be allowed for a set period of time, by approval of the Board Chair, with the Chief Executive Officer's intention to work his or her way back up to full time commitment after a reasonable period of time (the Chief Executive Officer's physician and/or ANCOR's general counsel are likely to weigh in on this decision).

### **Succession plan in the event of a PERMANENT unplanned absence**

#### **1. Definition**

- a. A permanent absence is one in which it is firmly determined after a period of 90 days of absence that the Chief Executive Officer will not be returning to the position. In such a situation, it is presumed that the CEO's employment contract will be terminated and is no longer a relevant consideration.

#### **2. Conditions and procedures**

- a. The Executive Committee will determine the need for an Interim Chief Executive Officer, and plan for the recruitment and selection of an Interim Chief Executive Officer and/or permanent Chief Executive Officer.
- b. The applicable conditions and the procedures to be followed shall be the same as for a long-term temporary absence, with one addition: Within 30 days of the date on which it is determined that there is a need for a permanent change in Chief Executive Officer, the Board of Directors shall appoint a three-to-five member Search Committee to plan and carry out a transition to a new permanent Chief Executive Officer. The Board Chair shall appoint the Chair of this committee.
- c. The Board will also consider the need for outside consulting assistance depending on the circumstances of the Chief Executive Officer transition and the Board's capacity to manage the transition and search.

**Adopted by the ANCOR Board of Directors 6.15.20**

## J: SUMMARY

All of the policies set forth in this Handbook can easily be summed up by saying that as an employee of ANCOR you can be assured that the association wants to work with you to help you become the best you can be. ANCOR expects all employees to treat co-workers and the association in the same spirit of respect and cooperation.

The ANCOR staff has developed a core values statement, which appears below.

Employees with questions or comments about any of the policies or procedures of this Handbook should feel free to discuss the matter with a direct report, the Office Manager or the CEO.

### ANCOR STAFF VALUES STATEMENT

Values are the standards that influence every aspect of our lives and provide direction to our decisions. Above all, the ANCOR Staff is committed to providing excellent, quality service to our members. We use the following values to deliver on that commitment:

- Integrity:** We are ethical, honest and principle-driven. Because of our consistency, our word has value and we are accountable for our commitments.
- Courage:** We believe in order for ANCOR to succeed, we must be courageous leaders--bold in vision, optimistic about the future and wise in our decisions. We stand by our convictions and use our influence to educate and lead the industry.
- Empowerment:** We are supported in taking risks and understand that failure can be a learning experience. We are not afraid to let go of old approaches in order to find new solutions. We are recognized internally and externally for our role and expertise in helping ANCOR achieve its mission. We own the solutions to obstacles facing achieving our objectives.
- Responsibility:** We have a duty to serve as mission-focused stewards for ANCOR. We understand that there are paradoxes and ambiguities when serving a trade association, but we are committed to speaking the truth regarding the future of the industry and we are accountable for providing the direction and guidance to move ANCOR toward its goals and objectives.
- Innovation:** We are change agents for the industry, seeking new solutions and answers in a changing environment. We keep an open mind and are flexible in solving problems. We are dedicated to improving ourselves through life long learning and personal and professional growth.

- Respect:** We respect the value of each individual's contribution and are tolerant of differences and imperfections. We strive to understand each individual's point of view before responding and practice open, honest communication. In all things, we practice civility.
- Collaboration:** We believe in teamwork as a means to increase efficiencies and achieve common goals. We recognize that a diversity of individuals and ideas is important and value the viewpoints of all team members. We are able to keep the larger picture in focus while working as a team to achieve our objectives.
- Celebration:** We recognize individual and collective achievement and contributions. We are proud of our diversity of talents and backgrounds and empathize with and support one another in good times and bad. We have fun.

# **Section II**

## **Finance and Investment Policy**

# **Section II: ANCOR Finance & Investment Policy**

## **A: ANCOR FINANCIAL POLICY**

### **ANCOR Financial Goals**

The American Network of Community Options and Resources (ANCOR) is a 501(c)(6) not-for-profit organization founded in 1970. ANCOR's mission is to advance the ability of its members in supporting people with intellectual and developmental disabilities to fully participate in their communities. Increasing assets is a legitimate goal that allows ANCOR to further its mission. It is the policy of the Board of Directors of ANCOR that the realization of these worthwhile purposes warrants a financially vital organization, so that expended capital can be replenished, the association's capability can be enhanced, the eroding effects of inflation can be offset, new technologies can be adopted, services can be expanded, and ANCOR can be protected against financial harm due to recessions or other uncontrollable situations.

ANCOR's tax exempt status is predicated on its service to private providers as a whole — not on the provision of benefits exclusively to its own members. Accordingly, selected ANCOR activities, products and services will be available to members and non-members alike. Reasonable pricing differentials can and will be used, however, since member dues provide a foundation for all ANCOR activities.

All funds earned under the auspices of ANCOR are part of the assets of ANCOR. No ANCOR member, director, officer, employee, committee member, or any other private individual shall receive at any time a share of the net earnings or pecuniary profit from the operations of ANCOR. This prohibition shall not prevent the payment to any such person of reasonable compensation for services rendered to ANCOR in fulfilling any of its purposes, as defined and approved by the Board of Directors or CEO approved staff incentives.

### **ANCOR Tax Exempt Status**

ANCOR is exempt from federal taxes under the 501(c)(6) designation used for not-for-profit organizations. Maintaining this tax exemption shall be a primary concern of all officers, directors and staff of ANCOR.

### **Fiscal Responsibility of the Board of Directors**

The ANCOR Board of Directors is legally responsible for all assets and liabilities of the association.

### **Generation and Application of ANCOR Funds**

Operating as a 501(c)(6) not-for-profit organization, ANCOR generates funds in relation to an annual budget that is approved by the Board of Directors. ANCOR funds are generated from such areas as:

- Member and Associate Member dues
- Registration from conferences, seminars and webinars
- Sale of professional publications and services
- Advertising and affinity program royalties and commissions
- Sponsorship and underwriting of ANCOR activities
- Donations and bequests
- Grants and contracts
- Investment income

ANCOR funds are expended to further the aims of ANCOR in such areas as:

- Conferences, webinars, workshops, courses, and seminars
- Membership, programs and committee services and activities
- Printing and publishing ANCOR publications. Activities in the areas of professional development, inter-association affairs, education, public policy, public relations, government relations and future ANCOR growth
- ANCOR office(s) and staff expenses

### ***Cost and Overhead Recovery***

All direct program and activity expenses shall be recovered either through income generated from programs and activities or through budget allocation of ANCOR funds.

It is important to the financial welfare of ANCOR that all officers, directors and staff recognize that the indirect or overhead expenses of ANCOR are real costs of carrying out activities. As appropriate, overhead costs shall be recovered in all ANCOR revenue budgets and/or pricing structures for products, activities and services.

### ***Budget Development Process and Oversight Authority***

The CEO and ANCOR staff, in consultation with committee members, are responsible for developing a draft budget for presentation to the Finance Committee in a timely manner. Upon approval of the Finance Committee, the proposed budget is presented to the Board of Directors for approval. The approved budget then becomes effective on January 1, the beginning of ANCOR's fiscal year.

Implementation of the budget is the responsibility of the CEO who maintains budget control. The Director of Finance oversees accounting functions so that monthly and quarterly financial reports are prepared and distributed as appropriate.

Annual operating budgets must be used for activities that promote the mission and vision of ANCOR. Annual operating accounts shall not be used for personal expenses of any kind or in any way which is imprudent or is in violation of law or of commonly accepted business and professional ethics.

Any unused balance in the general operating budgets at the end of the fiscal year reverts to the general fund balance and may not be carried over into the subsequent fiscal year for budgetary purposes. The exception to this is Board authorized restricted fund projects.

### ***Budget Amendments***

Should the situation arise that the budget established for a particular fiscal year needs to be altered by more than five percent, the Board of Directors can amend the budget. The Board of Directors may also authorize unbudgeted expenses.

### ***Cash Management***

The authority and responsibility for effective management of cash flow of ANCOR rests with the CEO and Director of Finance. The CEO and Director of Finance shall ensure that ANCOR income is collected and that debts are paid in a timely manner.

The CEO and Director of Finance shall also ensure that the earnings of all funds and income are appropriately accounted for and credited.

### ***Unrestricted Funds***

Unrestricted funds include all revenues that are not specifically restricted as to their use. Unrestricted funds include income from dues, publication sales, advertising sales, conference registrations and fees, interest and investment earnings income, fees obtained in the execution of externally funded projects and some contributions.

Overhead recovery received in connection with execution of grants, contracts, sponsored projects and/or programs is pooled with unrestricted funds for the purpose of covering ANCOR expenses.

### ***Restricted Funds***

Restricted funds are those revenues advanced to and accepted by ANCOR with the stipulation that they be used exclusively for the accomplishment of specific objectives. Association, government and privately sponsored programs can be included in this category.

Restricted funds are unavailable for any use other than that for which they have been advanced. As stipulated in the original agreement with the sponsor, direct expenses incurred by ANCOR in fulfilling the purposes of these activities are reimbursed out of these funds. Reimbursement of overhead expenses is determined on a project by project basis. Earnings on restricted funds accrues to the benefit of ANCOR.

Upon fulfilling specified objectives, and unless otherwise stipulated in the original agreement with the sponsor, any remaining funds shall become part of the general assets of ANCOR.

The CEO and Finance Committee have the authority and responsibility to ensure adequate cash capacity for restricted programs and projects. The CEO and Finance Committee will direct

collection of these funds and if all reasonable and timely efforts to secure the required and agreed upon funds from the sponsor(s) fail, and there are insufficient restricted project reserve funds to cover expenses, the related activity shall be held in abeyance until adequate funds are made available.

## **Investments**

### ***Organization and Responsibilities***

The ANCOR Board of Directors authorizes the CEO and Director of Finance, with the informed advice and consent of the Finance Committee, to manage the investments of ANCOR within bounds of an approved investment policy. The Finance Committee will review the investment policy annually.

The CEO, Director of Finance and Finance Committee shall monitor the investment program and counsel appropriate courses of action. The CEO, Director of Finance and Finance Committee shall always exercise judgment, care, discretion and intelligence in the management of ANCOR investments with due regard to the balance of potential income versus the potential risk to ANCOR's financial well-being.

### ***Short-Term Investments***

All funds not immediately needed for expenses and cash-flow maintenance during the fiscal year will be invested in short-term instruments such as Certificates of Deposit, Treasury Bills, or other instruments approved by the Finance Committee.

The short-term investment decisions will be the responsibility of the CEO and Director of Finance in consultation with the financial organizations involved, and, if needed, an investment counselor.

### ***Long-Term Investments***

The Finance Committee has authorized a portion of ANCOR's reserve funds be placed in Long-term investments, to be held for a minimum period of 3 to 5 years. For further details refer to the Long-term Reserve Fund description in Section II. B. ANCOR Investment Policy.

After the completion of the annual audit report of ANCOR accounts, the CEO, Director of Finance and Finance Committee shall analyze and determine whether any additional funds should be added to long-term investments. This determination will be made only after thorough analysis of the previous year's investment decisions and close examination of the projected budget for the current year.

The long-term investment decisions will be the responsibility of the CEO, Director of Finance and the Finance Committee, the financial organizations involved, and, if needed, an investment counselor.



### ***Limits and Controls***

The Investment Sub-committee shall report on the performance of all ANCOR investments to the ANCOR Finance Committee, which subsequently reports to the Board of Directors. Copies of investment reports shall be forwarded on an annual basis to the Finance Committee for review. Acting within the parameters of the Investment Policy guidelines, ANCOR's Investment Sub-committee in conjunction with an Investment Consultant will report and make recommendations to the Finance Committee. The purpose of this policy is to protect ANCOR from becoming insolvent and to provide growth in the financial base of the organization to support future activities.

### **Capital Assets**

#### ***Furniture and Equipment Assets***

Any piece of furniture or equipment that costs \$5,000 or more and having an expected lifetime of greater than one year shall be considered part of the capital assets of ANCOR.

#### ***Software Assets***

ANCOR's website, database and other significant software programs are considered capital assets. All program enhancements that cost \$5,000 or more are to be considered capital assets.

#### ***Depreciation of Capital Assets***

Capital assets shall be depreciated across their expected useful lifespan according to straight line depreciation accounting practice, thereby matching the cost of an asset to the periods in which it is used.

### **Income**

#### ***Dues Income***

The dues structure and increases for ANCOR are recommended by the Finance Committee and approved by the ANCOR Board of Directors. All such dues are payable to ANCOR through the annual billing process. Members are encouraged to pay dues by 'lock box' or online electronic transaction to the ANCOR bank account. Since ANCOR committees receive an annual budget allocation from the general funds of ANCOR, they are prohibited from charging dues or assessing any fee for committee membership.

#### ***Non-Dues Income***

To keep membership dues to an affordable level while simultaneously expanding services and capabilities, the association will establish non-dues income streams through activities that are appropriate to the mission of ANCOR. Non-dues income can be derived from, among other things, conference, seminar and webinar fees; affinity royalties and commissions; sponsorships; advertising and investment income.

The CEO shall approve the selling price for all advertising, sponsorships and ANCOR publications, including any appropriate discount schedule for quantity sales.

The CEO is delegated the authority to approve fee structures for all conferences, seminars, webinars and related activities. From time to time, the Finance Committee and/or Board of Directors may review the fee structures for these events and provide guidance to the CEO.

The Board of Directors delegates to the CEO and Director of Finance all responsibility for monitoring all unrelated business income and appropriately accounting for related overhead and indirect costs to apply against unrelated business income for tax filing purposes.

### ***Investment Income***

ANCOR derives unrestricted income from investing excess cash. The investments are under the management of the CEO, Director of Finance and Finance Committee.

### ***Grants and Contracts***

ANCOR may apply for and receive government, corporate, foundation, and private grants and contracts to carry out activities in relation to its tax-exempt purposes and the mission of the association.

All grant or contract agreements between ANCOR and external funding sources must include provisions for the recovery of direct and indirect expenses, unless otherwise authorized by the Board of Directors.

## **ANCOR Reserve Fund**

### ***Definition, Scope and Goal***

ANCOR's reserve fund is defined as ANCOR's unrestricted current assets minus unrestricted current liabilities. It is a goal of the Board of Directors that ANCOR establish reserves equal to or greater than approximately 25-30 percent of unrestricted annual income. Any time reserves drop below the 25-30 percent benchmark, the association will make every effort to recover reserves to the benchmark by the time specified by the Board of Directors.

### ***Bank Accounts***

Bank and investment accounts are to be established by the Director of Finance at the direction of the CEO and as authorized by the Board of Directors. The Director of Finance is also responsible for the day-to-day maintenance of these accounts through payments and deposits recorded in ANCOR's computer accounting program.

All funds received on behalf of ANCOR must be deposited in a timely manner in an official ANCOR bank or investment account.

By virtue of its incorporation, ANCOR generally provides corporate rather than personal liability for failed or flawed transactions or financial responsibility in the event of insolvency. However, failure to adhere to financial policy regarding such activities/responsibilities as bank accounts, or tax-exempt status, or use of the IRS uniform employer identification number, may result in personal liability of the responsible individual for any claims against ANCOR.

### ***Accounting and Reporting Responsibilities***

To record properly the sources and application of ANCOR funds, a Chart of Accounts reflecting all income and expense areas shall be established and maintained by the CEO and Director of Finance. The Chart of Accounts shall also classify asset and liability accounts, and the various categories of restricted and unrestricted accounts for financial reporting purposes.

The accounting function is accomplished at ANCOR headquarters under the direction of the CEO. The CEO may delegate responsibility, but not accountability, for this function to the Director of Finance. The Director of Finance maintains records in conjunction with an approved Chart of Accounts.

Financial and investment statements are prepared and distributed to the members of the Finance Committee on a monthly basis and also distributed to the Board of Directors in preparation for each meeting. Such reports may carry appended comments to explain significant areas of difference between actual and budget amounts (either income or expense), as well as authorized but unbudgeted expenditures.

### ***Method of Accounting***

The books of account and financial information of ANCOR are maintained by the Director of Finance under the direction of the CEO using the accrual method of accounting.

### **Standard Reports and Schedules**

The records and report formats must conform to the stated needs and requirements of the government agencies and services having an authorized interest (in the event of grants), the auditors retained by ANCOR, and the general principles and practices of sound management.

Financial reporting shall include the following reports and tax returns to be distributed to the Finance Committee and Board:

1. Monthly Balance Sheet - reflecting assets, liabilities and fund balance.
2. Monthly Budget vs. Actual Statement - A comparison of budget versus actual expenditures and income. Beginning with March statements year-end projections will be provided and updated quarterly.

3. Monthly Consolidated Income Statement and Consolidated Balance Sheet - reflecting ANCOR, ANCOR Foundation and ANCOR Services Corporation.
4. Financial Footnotes – When necessary, the Director of Finance will provide footnotes regarding significant deviations from budget.
5. Other reports dealing with financial matters shall be prepared from time to time by the Director of Finance as the need arises or as directed by the CEO, President, Finance Committee, Executive Committee or Board of Directors.
6. An investment performance report shall be prepared to report the long-term investment holdings of ANCOR on a quarterly basis.
7. Copies of annual 990 and 990-T tax returns.

In addition, the following reports and tax returns shall be prepared and filed:

1. Annual Tax Returns - It is a requirement of the federal and state governments that all financial activities of ANCOR be reported annually. Each year, ANCOR files the necessary tax returns to maintain its tax-exempt status, along with the necessary tax returns to report all unrelated business income.
2. Contract and Grant Reports – If ANCOR accepts contracts and grants to develop or produce professional material or conduct professional activities related to the mission of the association, each contract or grant has its own specific types of reports, both technical and financial, which must be submitted to the contracting officer on a timely basis.
3. Reports reflecting conference and seminar attendance, financial and programmatic outcomes shall be prepared, if requested, after each event and reviewed by the appropriate governing bodies. The reports and review process shall be designed to gauge performance and assist the planning of future events.

## **Safeguards and Controls**

### ***Commitment of ANCOR Funds***

The CEO is authorized to commit budgeted ANCOR funds and may delegate this authorization as appropriate.

### ***Authorized Signature***

Checks may be drawn on the ANCOR operating cash account bearing one authorized signature, except that checks greater than \$5,000 must bear two authorized signatures.

The following shall be authorized to sign checks:

1. CEO
2. Director of Finance
3. COO
4. VP of Government Relations

### **Credit Card Purchase of ANCOR Goods and Services**

ANCOR will process cardholder data in compliance with the safety procedures set by the Cardholder Information Security Program (CISP).

### **Annual Audit of Financial Records**

It is ANCOR's policy to retain a professional firm of certified public accountants to examine the annual financial statements and perform an annual audit of ANCOR, ANCOR Foundation and ANCOR Services Corporation's financial records. Included in the scope of this activity are the examination of financial procedures and safeguards and the submission of appropriate recommendations in the form of a management letter. The auditor may also be requested to provide counsel on special matters that may arise from time to time.

The Director of Finance and the ANCOR Accountant shall select the ANCOR auditor, subject to approval by the Finance Committee which serves as the Audit Committee and arrange for an annual external audit of ANCOR financial records. The audit should begin within the first quarter of the new fiscal year and conclude with the auditor's written report and presentation to the Finance Committee.

### **Borrowing**

From time to time it may be necessary for ANCOR to borrow funds from outside sources to fund operations and expansion. This may be necessary because of the seasonality of income from dues, fees and sales and/or due to major expansion or revision of ANCOR's programs and services.

Funds are to be borrowed only as required to meet these needs, and borrowing is to be consistent with sound fiscal and management practices. Borrowing is not intended to make up for inadequate planning or spending above budgeted levels.

Any additional borrowing funds should be done within the following guidelines:

1. Borrowing should be within appropriate limits approved by the Board prior to the time of borrowing.
2. Amounts should be borrowed at the lowest available interest rates
3. In lieu of a loan, a line of credit may be considered.

### **Risk Management**

ANCOR is committed to protecting its human, financial and goodwill assets and resources through the practice of effective risk management. This is accomplished through a combination of insurance coverages, continuity planning, emergency preparedness, audit and other oversights.

## **Indemnification**

The indemnification policy of ANCOR is cited in Article XIV, Sections 1 and 2 of the ANCOR bylaws. It states:

- ANCOR shall indemnify, to the fullest extent permitted and required by the District of Columbia Nonprofit Corporation Act, as such Act exists now or may hereafter be amended, its Officers and Directors who are made a party to any proceeding by reason of their office for acts or omissions performed in their official capacity.
- ANCOR also shall purchase and maintain insurance on behalf of any person who is or was a director, officer, committee member, or employee of ANCOR against any liability asserted against such person and incurred in any such capacity, or arising out of such person's status as such, regardless of whether ANCOR would have the power to indemnify against such liability.

## **Insurance**

ANCOR shall maintain insurance at the limits set by the Finance Committee to support the indemnification of the previous section. The Director of Finance shall be responsible for arranging and maintaining such insurance in accordance with the laws of the Commonwealth of Virginia.

## **Conflict of Interest**

Conflict of interest is defined as any situation in which an individual's decisions, actions, or votes could materially affect that individual's financial, business, or professional interests. It is the responsibility of all ANCOR staff, members, directors and officers to consider each item of business where they have a vote, action, responsibility, or decision authority to determine if a conflict of interest, or the appearance of such conflict of interest, may exist. Any such recognized potential conflict shall be made known immediately to the person in charge of the activity (or the next higher authority if that individual is in charge), who, after consultation with the CEO, will advise the member of the proper course of action and cause a notation of the action to be entered in the activity's record.

Any individual member or representative or employee of a member of ANCOR who is a supplier or potential supplier of goods or services to ANCOR is in a position of potential conflict of interest with respect to the provision of such goods or services.

Also see: Section IV: Board of Directors Policy, subsection D. Conflict of interest and disclosure statement.

## **Reimbursement Policy**

### ***General Policy and Requirements for Reimbursement***

The basic tenet of ANCOR is that the employees of ANCOR members who participate in various activities will do so voluntarily as part of their professional growth and for the betterment of their organization as well as to contribute to the advancement of ANCOR through its work. Any related expenses are the responsibility of the member and will not be reimbursed by ANCOR.

No expenses for travel by staff will be reimbursed unless the travel is pre-approved by the CEO or the employee's department head. All ANCOR credit card Reward Program benefits accrue to ANCOR and not the individual.

ANCOR does not reimburse for the expenses of spouses who accompany staff members on trips. Any exception must be pre-approved by the President under special circumstances when a spouse or guest will necessarily and appropriately aid in serving as official host.

### ***Air Travel***

ANCOR staff is required to book the lowest reasonable fare available, which may include the purchase of trip cancellation/interruption/delay insurance that inures to the benefit of ANCOR. Business class commercial air transportation will be reimbursed only when travel by a discount class is not available or would impose undue hardship on the traveler and must be approved by the CEO. In the case where the traveler elects to fly business or a more premium class, ANCOR will reimburse only that portion of the cost comparable to the lowest available discount fare.

ANCOR staff may elect to primarily utilize one or more airline frequent flyer programs to leverage early boarding, preferred seating and baggage benefits. Frequent flyer miles earned on ANCOR travel accrue to the benefit of the employee. However, travel should be scheduled without regard to accrual of frequent flyer miles.

Where the traveler elects to use a private automobile to make airline connections, ANCOR will reimburse both the mileage and the airport parking during the trip.

Individually contracted travel accident insurance will not be reimbursed.

### ***Automobile Travel***

When travel by private automobile is elected and pre-approved, reimbursement will be made at the rate authorized by the IRS plus receipted claims for tolls, parking fees, in route meals, lodging, or other expenses incidental to automobile travel, not to exceed the cost of the most economical class of commercial air or train transportation reasonably available.

Reimbursement for cost of a rental automobile will only be made in those pre-approved cases justified by the nature of the business of the traveler at the destination, or where other means of reaching the ultimate destination are not feasible.

### ***Out-of-Pocket and Other Expenses***

Payment of pre-approved and reasonable receipted expenses for lodging, meals, incidental expenses (including local transportation), and gratuities shall be made. Unusual expenses should be discussed with the CEO prior to incurring the expense.

Registration fees, if pre-approved, will be reimbursed if properly receipted or documented. ANCOR does not pay for personal entertainment expenses (e.g., theater tickets, cocktails, reading matter) or for expenses normally incurred in one's home location (such as laundry) unless the trip is seven consecutive days or more.

Rental of formal clothing may be claimed provided such rental was pre-approved as necessary to fulfill an approved function as an ANCOR representative.

### ***Travel Policy Exceptions***

Exceptions can be made to ANCOR travel policies by submitting a written request, in advance of the expenditure, to the CEO outlining the requested exception. The CEO has the authority to approve exceptions for all reporting areas, except his/her own. An exception for the CEO must be approved by the President. Approval must be in advance and in writing.

### **Meeting Scheduling**

It is incumbent on all ANCOR staff to schedule meetings as far in advance as possible to allow for members and staff to arrange their travel in an economical manner, taking advantage of all available discount fares.

### **Submission of Expenses**

An Expense Reimbursement Form shall be used for submission of expenses. Claims for reimbursement must be submitted with receipts by the 10<sup>th</sup> of the month immediately following the month in which the expense was incurred. All disbursements must be accounted for in the fiscal year in which they are incurred. A copy of the form should be retained by the individual submitting for reimbursement.

A check for reimbursement of travel expenses shall be cut within 30 days of receipt of an approved reimbursement form.

## **B: ANCOR INVESTMENT POLICY**



The purpose of this investment policy statement is to establish a clear understanding of the investment objectives of the American Network of Community Options and Resources (ANCOR) and to serve as a guideline for the investment and management of ANCOR funds.

### **Delineation of Responsibilities**

All parties are subject to the Prudent Person Rule, which states:

Assets shall be invested with the care, skill, prudence and diligence under the circumstances prevailing from time to time that a prudent person acting in a like capacity and familiar with such matters would use in the investment of a fund of like character and aims.

While ultimately responsible for all investments made by the association, the ANCOR Board of Directors has delegated oversight and management of ANCOR's funds to the Finance Committee. As a practical matter, however, the day-to-day management of the association's Operating and Short-Term Reserve assets will be delegated to the Director of Finance under the supervision of the CEO who will be instructed to follow the policies set forth in this statement.

The Finance Committee has established an Investment Subcommittee designated with responsibility to manage ANCOR's long-term investments in conjunction with an investment consultant as well as periodic review of ANCOR's Investment policy. The Investment Subcommittee will report and make recommendations to the Finance Committee.

The Finance Committee approves the investment consultant to advise the Investment Subcommittee and to report on ANCOR's long-term investments. The Director of Finance manages transactions as directed by the Finance Committee and reports these transactions to the CEO and Investment Sub-committee.

### **Ethics and Conflict of Interest**

Employees and members involved in the investment process shall refrain from personal business activity that could conflict with the proper execution and management of the association's investment program, or that could impair their ability to make impartial decisions. Further, no member or employee involved in the investment process shall use the authority or influence of office or employment to secure anything of value or the promise or offer of anything of value that would create an improper influence upon the member or employee with respect to that person's duties.

### **Investment Guidelines**

To achieve its investment objective, cash shall be divided into several pools, differing primarily in amount, duration and risk assumed. The investment portfolio shall be designed and managed with concern for budgetary and economic cycles, commensurate with the investment risk constraints and cash flow needs of the association.

## **Allocations to Long-Term Investments**

As warranted, the ANCOR CEO and Director of Finance will make recommendations to the Finance Committee regarding the amount of annual reserves to be allocated to long-term investments. In making this determination, the implicit assumption is that these funds will not be needed for operational expenses for a minimum of five (5) years. The staff recommendation will be reviewed and acted on by the Finance Committee at their first meeting following the annual audit.

### **Operating Fund**

#### ***Description***

Designed specifically for the daily cash management needs of the association.

#### ***Objective***

The primary objectives, in priority order, of investment activities shall be safety, liquidity and yield. Liquidity should be maintained to meet all operating requirements that may be reasonably anticipated. This is accomplished by structuring the portfolio so that investments mature concurrent with cash needs. Yield should be considered tertiary to safety and liquidity with an objective of attaining a market rate of return throughout budgetary and economic cycles.

#### ***Eligible Investments***

Federally insured certificates of deposit not to exceed federally insured amounts including interest at commercial banks or savings and loan institutions; interest bearing checking and/or savings accounts in federally insured banks and savings and loans not to exceed federally insured amounts when possible; money market funds that invest in government-backed securities, treasuries or commercial paper rated A1/P1.

#### ***Maturity Schedule***

The maturity schedule shall be determined by anticipated cash flow needs.

## **Short-Term Investment Fund**

#### ***Description***

Designed to meet the expenses occurring as the result of budgetary shortfalls or unanticipated expenses, programs, services or activities.

#### ***Objective***

The primary objective is portfolio stability and preservation of capital with a willingness to achieve investment returns that are low in exchange for security and a high level of liquidity.

### ***Eligible Investments***

Federally insured certificates of deposit not to exceed federally insured amounts including interest at commercial banks or savings and loan institutions. Also eligible are money market funds investing in government-backed securities, treasuries, or corporate paper rated A1/P1; direct obligations of the U.S. Government, its agencies and instrumentalities; investment grade corporate bonds receiving the highest rating from two nationally recognized sources (limited to 10 percent of portfolio).

### ***Maturity Schedule***

The maximum maturity for any single issue purchased shall be three (3) years.

## **Long-Term Investment Fund**

### ***Description***

Funds held for future expenditures and to maintain the financial stability of the association.

### ***Objective***

The primary objective is to achieve a modest level of appreciation while managing risk.

### ***Eligible Investments***

The targeted allocation of ANCOR's long-term investments is 70% of value in equities and 30% in bonds. However, at any given time, the following ranges of investment allocations are acceptable:

Equities: 50% to 75% of total long-term investment value.

Bonds: 25% to 50% of total long-term investment value.

Cash and Cash Equivalents: up to 10% of total long-term investment value.

If circumstances warrant, and upon recommendation by the Investment Sub-committee, the Finance Committee can approve exceptions to this range.

ANCOR's long-term equity investments may be in index funds, which offer diversification, lower administrative expense and greater transparency.

No investment in an equity security, at market, should exceed 5% of the total portfolio. No more than 25% of the entire portfolio, at market, should be invested in securities of any one sector. No more than 30% of the entire portfolio, at market, should be invested in international securities. Investments must have a weighted average credit rating of A or better.

Bond funds must have a weighted average credit rating of A or better and a Morningstar rating of a least three stars.

### ***Measurement/Benchmarking***

Total portfolio performance will be evaluated quarterly at multiple levels with the goal of achieving returns that meet or exceed appropriate indices as determined by the Investment Subcommittee.

### ***Maturity Schedule***

The target maturity for any single issue purchased shall be no less than five (5) and no greater than ten (10) years to maximize yield.

### **Safeguards**

All investment brokerage account transactions are at direction of the Finance Committee, carried out by the Director of Finance and confirmed by the CEO and Investment Subcommittee.

The Investment Subcommittee will periodically review investment statements and benchmarking reports for performance and adherence to the investment policy. The subcommittee will meet by conference call at least semi-annually to discuss investment policy, performance and potential rebalancing. The investment consultant will meet with the Investment Subcommittee to discuss portfolio performance and strategy at least annually. Meetings may be convened more frequently as circumstances warrant.

Additionally, internal controls shall be in place to ensure that these assets are protected from loss, theft or misuse. These controls shall also provide for:

- Separation of transaction authority from accounting reconciliation
- Custodial safekeeping
- Avoidance of physical delivery of securities
- Clear written delegation of authority to subordinate staff members
- Written confirmation of transactions for investments and wire transfers
- Execution of wire transfer, redemption and investment agreements with all banks, investment institutions and third-party custodians

### **Records and Reporting**

Accurate, timely, and well-maintained records of all investment transactions will be kept with the accounting records. Monthly investment statements will be reviewed by the CEO and reconciled by a person not directly involved with the investments. Periodic benchmarking reports will be forwarded to the Finance Committee and Investment Subcommittee.

Monthly, quarterly and annual financial statements will include line items for investment income and market value.

Upon request, the Director of Finance will provide a detailed account of the investment portfolio including names of investment institutions, duration of investment, estimated annualized return and appropriate notes and comments.

# **Section III**

## **Procedures**

## **Section III: Procedures**

### **A: FINANCIAL PROCEDURES**

*The purpose of this document is to outline the internal accounting procedures to be utilized in performing accounting and other financial functions. These procedures are designed to put in place internal accounting controls to help insure integrity of financial related operations and have taken into account the size and structure of the association and its staff.*

#### **Bank and Investment Accounts**

##### ***Establishment of bank and investment accounts***

Bank and investment accounts are to be established by the Director of Finance at the direction of the CEO and as authorized by the Board of Directors. The Director of Finance is also responsible for oversight of these accounts. At the direction of the Director of Finance, the Finance & HR Assistant is responsible for the day-to-day maintenance of these accounts through payments and deposits recorded in ANCOR's accounting computer database.

Any irregularities regarding any of these accounts should be noted by the Director of Finance and/or Finance & HR Assistant and promptly reported to the CEO.

#### **Check Signers**

The Director of Finance shall see that signatories to bank accounts have completed the necessary documentation and signature cards. He/she should also promptly advise the financial institution in writing when signatories to accounts change. Ideally, three to four staff members, one being the CEO, will be signatories.

The Director of Finance shall also be responsible for assuring all ANCOR issued checks over \$5,000 bear two authorized signatures and all payments over \$5,000 processed through Bill.com have been approved by two authorized signers.

Under no circumstances should anyone sign a blank check.

A register of all checking accounts shall be kept current on the computer accounting database. Since there are no manual checkbooks, all checks issued will be done so through the current computer accounting program.

All checks should be kept in a secure place. In the event a check(s) is missing, lost or stolen, the bank is to be notified immediately and a 'stop payment' issued.

#### **Transfer of Funds and Direct Payments**

Bank transfers between ANCOR's accounts will be executed by the Director of Finance under the supervision of the CEO. Transfers are processed electronically with printed transfer confirmations reviewed and initialed by the CEO or staff designated to act in the CEO's place by the Board.

The procedure to initiate a repetitive Automatic Clearing House (ACH) or one-time Electronic Funds Transfer (EFT) payment is subject to the same financial policies, procedures and controls that apply to bank transfers.

### **Reconciliation of Bank and Investment Accounts**

All bank and investment account statements shall be presented to the CEO or COO unopened. Once the CEO has opened and reviewed statements, they are given to the Director of Finance who will hold them until they are reconciled by an independent consultant. Any irregularities in accounts shall be reported to the CEO immediately. In the event a statement is not received in time for reconciliation, a statement will be downloaded by the Director of Finance for reconciliation by the independent consultant. Once the statement is received in the mail and opened by the CEO or COO it will be attached to the downloaded statement and reconciliation for verification.

Once accounts are reconciled, the CEO will review and initial the bank reconciliations to insure that the reconciled balances agree with the numbers reported on the bank statements, and that there are no unexplained adjustments on the reconciliations. Once reviewed by the CEO, the statements, supporting documents and reconciliation reports should be filed appropriately. Any voided checks for the particular time period being reconciled should be filed.

### **Receiving Funds and Banking**

#### ***Lockbox Deposits***

Provisions have been made for ANCOR dues and major meeting registrations to be made directly to a bank lockbox. Online records of these deposits will be provided by the bank in a timely manner, entered into the accounting computer database by the Finance & HR Assistant and electronic copies kept on file.

#### ***Regular Deposits***

Other payments made either by check or cash will be deposited to the bank in a timely manner. Checks or cash being held for deposit shall be kept in a locked file. A staff member other than finance or database management staff opens and prepares checks and cash for deposit. Detailed deposit slips will be prepared by the Finance & HR Assistant. For ANCOR's operating checking account, electronic remote deposits are made by the Finance & HR Assistant. Deposits into other accounts will be taken to the bank by a staff member other than the finance or database management staff.



### ***Credit Card Transactions***

Transaction information will be provided to the Finance & HR Assistant who will reconcile it against the credit card statement. The statement, reconciliation and transaction information will be provided to the CEO for review.

### **Purchasing and Payments**

#### ***Approval and Payment of Bills/Invoices***

The staff member opening the mail is responsible for scanning and emailing all incoming bills and invoices to the Director of Finance and the Finance & HR Assistant. The Finance & HR Assistant distributes the document to the appropriate staff member for review and approval.

Once bills/invoices are reviewed and approved by the staff member responsible for the line-item account, they email the bill to Bill.com. Staff members are to provide information on account and class for cost accounting purposes. Bills that have been paid by ACH agreements will also be emailed to Bill.com along with the payment receipt and accounting allocation. Supporting accounting information and payment information when paid by ACH will be attached to the bill in Bill.com by the Finance & HR Assistant who will forward the bills to the CEO and COO for review and approval. Bills over \$5,000 will require approval from both the CEO and COO. After a bill has been approved for payment the Director of Finance will review for accounting accuracy and initiate payment.

Payments should be made in a timely manner to take advantage of discounts available and meet payment due dates.

### **Refunds of Receivables**

Refunds of receivables paid by credit card will be refunded through the database to the original credit card of payment. The Finance & HR Assistant pulls refund information from the database to enter into the finance program which is reconciled by the outside accountant.

Refunds on receivables paid by check will be refunded by ANCOR check. Refund checks and supporting credit documentation are to be provided to the CEO or other signatory. Any checks signed by signatories other than the CEO will be provided to the CEO for review and initialing. Check stubs and credit documentation will be retained in ANCOR accounting files. A check disbursement spreadsheet will accompany all check disbursements. The CEO or other signatory will review the check numbers to verify the starting number immediately follows the last check used and that all checks in the sequence are presented. The signatory will initial the disbursement spreadsheet after verification.

### ***Payroll Processing***

ANCOR's payroll is processed through an outside source which is responsible for all payroll related federal and state tax filings. The payroll processing procedure is password secured to provide the highest level of security. The Director of Finance is responsible for providing employee and payroll information to the payroll service provider. ANCOR's payroll is processed bi-weekly and employees are strongly encouraged to establish direct deposit of funds.

Notification of any changes in salary or hourly rates is to be provided in writing by the CEO to the Director of Finance. Such notification shall bear the CEO's signature and be retained with the payroll records. Any notification of changes to the CEO salary will be provided to the Director of Finance in writing by the Board President.

Payroll records are provided by the payroll service provider and appropriately filed with other ANCOR financial records. Additionally payroll summaries will be provided to the CEO for review and signature for each pay period.

Payroll processing will be done in a manner to provide for confidentiality and integrity of all payroll data.

### ***Sales and Use Tax Payments***

Because ANCOR has sales of publications subject to state sales tax and some online purchases subject to use tax, it is the responsibility of the Director of Finance to track sales tax collection and use tax liability and submit payment to the state's taxing agency. Appropriate filings and tax payments are made in accordance with the schedule (generally monthly or quarterly) provided by the state.

### ***Petty Cash***

An imprest system should be used for the Petty Cash account. The funding limit for Petty Cash is \$500.

A detailed accounting record is to be kept with the Petty Cash records to track expenditures. Petty Cash is to be reconciled and replenished as necessary and at least quarterly. All Petty Cash payments are to be properly documented and the records maintained with the Petty Cash funds until reconciled. Petty Cash is to be for those expenditures that could not be anticipated or are insignificant in amount so as not to warrant check payment.

At the time a check is issued to replenish Petty Cash, the Director of Finance shall present expenditure information to the CEO for review.

### **Financial Statements and Reports**

### ***Monthly Financial Statements***

Financial statements are to be prepared by the independent consultant on a monthly basis immediately following reconciliation of account statements, ideally no later than the 15<sup>th</sup> of the month, including balance sheet, budget vs. actual report with quarterly year-end projections and consolidated balance sheet and income statements and semi-annual reserve fund report. These statements will be provided to the CEO and Treasurer for review prior to distribution to the Finance Committee. Other reports and analysis will be prepared as requested.

### ***Annual Financial Statements***

Preliminary year-end financial statements will be prepared by the independent consultant for purposes of being audited and presented to the ANCOR Board of Directors.

The financial year of the association is January 1 to December 31. The audit should begin within the first quarter of the new fiscal year and conclude with a written report and presentation to the Finance Committee on the financial condition of ANCOR.

### **Planning and Budgeting**

#### ***Budget Preparation***

ANCOR's general budgeting policy is to develop a balanced budget designed to further strategic initiatives. Below is a budgeting schedule guideline:

<b>TIME FRAME</b>	<b>TASK</b>	<b>PARTICIPANTS</b>
Early - mid-July	Review mission and strategic priorities; determine goals & objectives	Board, Committees, Staff
Mid-July - early Aug.	Develop program plan	Board, Committees, Staff
August	Develop draft detailed income and expense budgets that allow programs to meet goals and objectives/support strategic priorities; include assumptions/justifications	Staff
by Sept. 1	Submit draft budget and justifications/supporting docs	Staff
Early - mid Sept.	Assemble/review/adjust preliminary draft budgets	Director of Finance
Mid - Late Sept.	Review budgets in progress with CEO, COO	CEO, COO, Dir. of Finance
Late Sept. - early Oct.	Assemble final draft budgets for all companies in excel	Director of Finance
Early Oct.	Discuss draft budgets with staff as a group	Staff
Early - Mid-Oct.	Make final adjustments to draft budgets	Director of Finance
Last week of Oct.	Finance Committee meeting to discuss budget	Finance Committee, CEO, COO, Dir. of Finance, Finance & HR Assistant
End of Oct./beginning of Nov.	Revise budget per results of Finance Committee mtg	Director of Finance
First Friday in Nov.	Board Meeting to discuss budget	Treasurer, BOD, CEO, COO
Second week in Nov.	Make last changes (if any) to budget	Director of Finance

Continuous	Monitor budget throughout the year; respond to changes as needed	Staff/Finance Committee
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From time to time and at the direction of the Finance Committee and/or CEO, the ANCOR staff may be asked to identify new revenue and expenditure programs, carefully cost them, and set priorities.

### ***Monitoring Income and Expenses against Budget***

Actual income and expense for each line item should be compared against budget on a monthly basis. Significant variances, especially those that are actual as compared to timing related, should be brought to the immediate attention of the CEO for discussion.

In some cases where actual expense exceeds budget, staff members may be asked to develop contingency plans for dealing with budget overruns. This will enable action to be taken to get the budget back on track, or the original budget can be revised by the Board of Directors to take into account the changed circumstances. The CEO should be advised immediately if expenditure will be less or greater than anticipated. Staff members should be mindful that monitoring the budget is a continual exercise.

### **Document Retention and Destruction**

All association records should be kept for the following periods.

Corporate records	Permanent
Board minutes	Permanent
Annual audit reports and annual financial statements	Permanent
Asset/depreciation schedules	Permanent
Annual IRS and State Tax Returns	Permanent
General ledger, check and payroll registers	Permanent
Periodic financial statements and other financial records (AR/AP)	7 Years
Payment and deposit records	7 Years
Bank and investment statements including cancelled checks, reconciliations and deposit slips	7 Years
Timesheets, W-2 statements and 1099s	7 Years
Salary Schedules	5 Years
Employment and termination agreements	Permanent
All other employment records	7 Years after termination
Retirement and pension plan documents	Permanent
Accident Reports and Worker's Comp	5 Years

Donor records and acknowledgment letters	7 Years
Grant records	5 Years after completion
Leases	6 Years after expiration
General contracts	3 Years after termination

Electronic documents will be retained as if they were paper documents. Electronic files are maintained on ANCOR's cloud host and retained for the appropriate amount of time according to the above schedule. ANCOR records will be stored in a safe, secure and accessible manner. The Director of Finance shall keep financial records for the current and previous year on premise. Older hard copy records can be stored offsite. At the end of the designated time periods, hard copy records will be disposed of by shredding.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

## **Miscellaneous**

### ***Asset/Depreciation Schedule***

A fixed asset/depreciation schedule shall be kept that includes all buildings, land, furniture, computer hardware and software and equipment. Information contained in that report shall include date purchased, purchase price, description, quantity, annual depreciation, total depreciation and date sold or written off.

This information will be provided to the auditors at the time of their annual review and used in the annual tax filings.

### ***Software***

Accounting software will be reviewed periodically and updated as necessary.

### ***Security and Other Safeguards***

The computer accounting system and other accounting procedures, such as payroll processing, shall be password secured to protect the integrity of the data. In addition, current anti-virus and firewall protection programs will be provided and reassessed on an ongoing basis. Accounting programs are cloud based and hosted on secure sites.

# **Section IV**

## **Board of Directors Policy**

## **Section IV: Board of Directors Policy**

### **A: STATEMENT OF UNDERSTANDING**

ANCOR agrees to provide each Member of the Board with the following:

1. Access to the management of ANCOR, as needed for proper operation of the Board.
2. Ample notice of all meetings.
3. Minutes of all Board meetings.
4. Relevant information to conduct his or her job as a Board Member.
5. Indemnification from liability for a Board Member's reasonable and necessary actions.

As a Board Member of ANCOR, I am fully committed and dedicated to the vision and mission of ANCOR and have pledged to carry out this mission. I understand that my duties and responsibilities include the following:

1. I am fiscally responsible, with other Board Members, for this organization. I will know what our budget is and take an active part in reviewing, approving and monitoring the budget and fundraising to meet it.
2. I am legally responsible, along with other Board Members, for this organization. I am responsible to know and oversee the implementation of policies and programs.
3. I accept the bylaws and operating principles manual and understand that I am morally responsible for the health and well-being of this organization.
4. I will actively promote ANCOR, encourage and support its staff and work in concert with the Executive Committee.
5. I will attend Board meetings, be available for phone consultation, and serve on at least one ANCOR committee. If I am not able to meet my obligations as a Board Member, I will offer my resignation.
6. I am responsible for actively participating in the Board's generative, strategic process and will avoid interference with the day-to-day operational management of the organization.
7. In signing this document, I understand that no quotas are being set, that no rigid standards of measurement and achievement are being formed. Every Board Member is making a statement of faith about every other Board Member. We are trusting each other to carry out the above agreements to the best of our ability.

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

# ANCOR Governance Norms of Board Operation

REVISED 2018

Following are the norms and actions that enhance the ANCOR Board's efficiency and effectiveness, guiding it to a higher level of performance, and to which all Board members are asked to commit.

## 1. Use of the deliberative process

1. The Board has chosen to operate as a deliberative, generative body, with areas of emphasis and activity around identified overarching issues of importance to members.
2. Generative thinking produces a sense of what knowledge, information and data *means*, providing robust and multiple frameworks within which issues, challenges and opportunities will be viewed, discussed and acted upon.
3. The generative process asks questions that are *catalytic* and ensures informed discussion and decision-making; ample dialogue before deliberation and well-integrated strategic thinking and governance.
4. Generative discussion is enhanced by:
  - a. Enough time to engage in deliberative and generative discussions.
  - b. Clear outcomes for the discussions.
5. Performance is enhanced by:
  - a. Agendas that bring clarity to expected outcomes.
  - b. Use of generative discussions within committees so the next generation of leaders become familiar with the process.

## 2. Timely, effective communication and decision-making

1. Make decisions in the best interests of ANCOR and its members. (See Conflict of Interest Policy).
2. Board members are included in decisions that involve significant risk, liability or financial commitment to the association. If emergency/deadline circumstances dictate otherwise, the Board is apprised of decisions as soon as practicable.
3. The speed of decision-making varies depending on the type of issue, external deadlines, and the challenge of rapidly emerging issues.
4. Board members and staff collaborate to assess risk and opportunity factors, and set a direction for the organization.
5. All meeting summaries are reviewed and accepted.

## 3. Board member performance and engagement is enhanced by:

1. Use of appropriate issue-driven decision-making modes (vote, consensus, use of technology).
2. Well planned meetings, agendas and materials.
3. The Executive Committee works with the CEO to develop the Board agenda. This includes framing the issues, identifying timeframes, and guiding board to a decision.



4. The agenda includes use of a consent agenda item for reports not requiring discussion.
5. Meeting materials are informative and are provided for review in advance of meetings.
6. Board meeting facilitation maximizes the time and involvement of members.
7. Demonstrated respect for each member's perspective, time and effort.
8. Attending meetings fully prepared.
9. Member accountability to board responsibilities, attendance and participation.
10. Adherence to the board related policies and procedures, including annual review of same.
11. Opportunities for relationship-building.
12. A structured on-boarding process for new members.

## **B: BOARD PROCESS POLICIES**

The Board of Directors is the organization's governing body. As described in the bylaws, the Board of Directors has overall responsibility for the "property, affairs, business and concerns" of the organization.

On behalf of private providers nationwide, the ANCOR Board of Directors will govern with one voice through written policies, with an emphasis on long-term outcomes that advance the delivery of privately owned, high quality, cost-effective community supports and services to people with disabilities.

### **1. Accepting Responsibilities**

Board Directors have a responsibility to each other, and to the ANCOR members. In fulfilling these responsibilities, Board officers and directors should:

- Attend Board meetings regularly.
- Be prepared for all Board meetings.
- Become familiar with this policy manual and the ANCOR bylaws.
- Participate in Board meetings, special briefings, committees and policy decision-making.
- Make informed decisions by insisting on complete and accurate information and then support all decisions once they have been fully discussed and resolved by the Board.
- Bring to the Board issues for discussion and action.
- Invest personal energy and skills in the purposes and objectives of ANCOR, seeking opportunities where individual skills and abilities can be applied.
- Show respect for others and their opinions and respect the right of others to disagree.
- Actively discipline themselves and other Directors of the Board by identifying Board actions and conditions that run counter to these policies.

- Bring to the President’s immediate attention any condition or action that they believe exceeds an executive limitation policy or is in noncompliance with bylaws.
- Keep all information strictly confidential and make no public attribution to individual Board Directors’ discussions made during Board activities.

## **2. Enunciating Government Policies and Values**

Written policies of the Board will be one of three types:

- **Mission-Related Policies:** Affirmative statements setting forth ANCOR’s principles guiding positions on public policy/government affairs; stewardship of ANCOR; services and provider organization integrity. With regard to “organization integrity,” it is the role of ANCOR to provide resources, supports and services that advance the viability, vitality and success of member agencies, including: fiscal soundness; quality assurance; leading practices; organizational effectiveness; Board development; creativity and innovation; and accreditation, i.e., third-party assessment.
- **Board Self-Governance Policies:** Statements setting forth the tasks and style that the Board will use to accomplish its responsibilities.
- **Executive Limitations Policies:** Limiting statements binding management to prudent and ethical behavior.

## **3. Governing Process**

- The activities of the Board, its officers, directors or committees should relate to the specific responsibilities of the Board as formally adopted at Board meetings. Board officers and directors are governed by this principle.
- The Board will exercise its governing authority as a whole. Individual Board Directors may not exercise such authority except as instructed by the Board.
- The primary responsibility of the Board is to represent the members of ANCOR.
- The Board will make available the audited financial reports to members upon request.

## **4. Policy Development**

The Board policies are to be active and dynamic. They are meant to be changed and refined regularly, based on the intent of each category, the values of the Board, and the changing context within which ANCOR functions.

- Proposed resolutions made by officers and directors of the Board should be consistent with the unique focus for each of the three types of policy: Mission, Board Self-Governance, and Executive Limitations. Therefore, the Board should pass resolutions for actions only when those actions will affect solely the Board, or when specifically required in these policies, the bylaws, or the law.

- The Board should focus its delegation and accountability on the CEO through the development of policy when possible. It will not interfere with the CEO's management of ANCOR or rescue the CEO from the responsibility of management.
- Any member of the Board or the CEO may request that the President place on the Board's agenda a review of or a change to specific policies. The Executive Committee will determine how significant a suggested change is. If the suggested change does not significantly alter the meaning of the policy, the Executive Committee will have the authority to either revise or not revise the policy. The CEO or President will notify the Board of all revisions made to policy. Any new policy or revision to current policy that will significantly alter the meaning of a policy will be decided by the full Board. Current policies can only be changed by a 2/3 vote of the Board.
- The Board will establish an annual policy review calendar to coordinate the review of every policy at least once a year. The Board will make every effort to coordinate the calendar with the business cycles of its own work, reviewing appropriate policies just prior to management actions or decisions.
- The Board will establish effective and regular ways of monitoring compliance with the limitation policies, as well as determining indicators for mission-related policies.

## **5. Complaint Resolution Regarding Board Members**

- It is the policy of the ANCOR Board of Directors to provide an orderly and fair process to receive, investigate, determine the merits of complaints, and to take action necessary to resolve complaints against Board Members.
- The Board of Directors sets policy and hires the CEO. Members of the Board are not to engage in the daily operations of ANCOR.
- Examples of complaints against Board members include, but are not limited to:
  - Improper behavior against other Board Members, members, volunteers and staff;
  - Disrespectful actions at Board, or committee meetings or any ANCOR event;
  - Sexual harassment of Board Members, members, staff, or volunteers;
  - Other harassment of Board Members, members, staff, or volunteers;
  - Interacting with staff as an employer;
  - Engaging in illegal activities in the community;
  - Imposing personal business on the Board, staff, or volunteers;
  - Acting on behalf of ANCOR or holding oneself out as acting on behalf of ANCOR without Board approval;
  - Embezzlement or theft of ANCOR funds.
- Complaints should be brought to the Executive Committee, a member of the Committee (Officers of the Board), or the CEO. Complaints may be made by ANCOR members Board Members, staff, or volunteers. There should be no retaliation arising out of or in response to the investigation and no interference with the investigative process. Copies of this policy/procedure will be provided to both the Complainant and Board Member against whom

the complaint was made.

- The Executive Committee will follow the complaint resolution process as outlined below to upon receiving a complaint.
- The Committee will conduct a preliminary investigation which involves at a minimum (1) notifying the Board Member and the Complainant about the investigation, (2) interviewing the Board Member, (3) interviewing or obtaining the assistance of staff where necessary and possible without violating the confidentiality of the Board, (4) obtaining legal advice where appropriate, (5) making a finding that the complaint has or lacks merit and a recommendation of disciplinary measures where a finding of merit has been reached or making a determination that the Committee cannot resolve the issue raised by the complaint, and (6) notifying the Board Member of his/her right to a fact-finding conference.
- If the complaint is found to be without merit, the Committee will offer an explanation/apology to the Board Member and report to the Complainant that the complaint was unfounded/without merit or could not be substantiated.
- If the Board Member does not request a fact-finding and the recommended discipline does not involve suspension or removal, the findings and recommended discipline generated as a result of the preliminary investigation shall be final.
- If the Board Member does not request a fact-finding and the discipline involves suspension or removal, a majority of a quorum of the Board determines the action to take at a special meeting as called for in the ANCOR bylaws.
- If the Board Member requests a fact-finding, the Committee shall then hold a fact-finding conference. A fact-finding shall involve at least (1) interviews of the Complainant and the Board Member, (2) any pertinent documentation related to the issues before the committee, (3) further interviews with staff or other persons with relevant knowledge, (4) evidence of extenuating circumstances, etc. The Board Member shall be allowed to see any pertinent documentation before being interviewed in order to be able to present an informed explanation of the events at issue.
- The Committee issues a decision as to the merits of the complaint and the disciplinary actions to be taken. If the disciplinary recommendations involve suspension or removal, the Board Member is given a right to appeal the result of the fact-finding process.
- In cases involving suspension or removal, the Board Member may appeal the result of the fact-finding to the Board where a majority of a quorum of the Board determines the action to take at a special meeting as called for in the ANCOR bylaws.
- If a majority of a quorum of the Board makes a finding of suspension or removal, the Board Member shall have the right to request a reconsideration of that decision. The findings and recommendations of a majority of a quorum of the Board after reconsideration shall be final.
- If one or more members of the Committee has a conflict of interest with regard to the investigation of a Board Member, substitutes shall be found for them by the President of the Board or the CEO.
- Complaints and their resolutions will not be brought to the full Board except as outlined above or unless the Committee makes a determination that there is a need for the full Board to be

appraised of them. Facts of any case, however, will not be withheld from the full Board if inquiry is made concerning them, and the Board at its discretion can elect, by a vote of a majority of a quorum, to make a review of the decision of the Complaint Resolution Committee.

## **6. Fact Finding/Grievance Resolution Regarding the CEO**

- It is the policy of the ANCOR Board of Directors to provide an orderly and fair process to receive, investigate, determine the merits of complaints, and to take action necessary to resolve complaints against the CEO.
- The Board of Directors sets policy and hires the CEO. Members of the Board are not to engage in the daily operations of the organization.
- Examples of complaints against the CEO include, but are not limited to:
  - Improper behavior against Board Members, staff, or volunteers;
  - Disrespectful actions at Board or committee meetings;
  - Sexual harassment of Board Members, staff, or volunteers;
  - Other harassment of Board Members, staff, or volunteers;
  - Illegal activities in the community;
  - Violation of performance/conduct standards in accordance with ANCOR's policy standards;
  - Embezzlement or theft of ANCOR funds.
- Complaints should be brought to the Executive Committee or a member of the Committee (Officers of the Board). Complaints may be made by Board Members, staff, and volunteers. There should be no retaliation arising out of or in response to the investigation and no interference with the investigative process. Copies of this policy/procedure will be provided to both the Complainant and the CEO.
- The Board Grievance Committee (comprised of the Executive Committee) makes a preliminary investigation which involves at least (1) notifying the CEO and the Complainant about the investigation, (2) interviewing the CEO, (3) interviewing or obtaining the assistance of staff where necessary and possible without violating the confidentiality of the CEO, (4) obtaining legal advice where appropriate, (5) making a finding that the complaint has or lacks merit and a recommendation of disciplinary measures where a finding of merit has been reached or making a determination that the Committee cannot resolve the issue raised by the complaint, and (6) notifying the CEO of his/her right to a fact-finding conference.
- If the complaint is found to be without merit, the Committee will offer an explanation to the CEO and report to the Complainant that the complaint was unfounded/without merit or could not be substantiated.
- If the CEO does not request a fact-finding and the recommended discipline is not suspension or removal, the findings and recommended discipline generated as a result of the preliminary investigation shall be final.

- If the CEO does not request a fact-finding and the discipline involves suspension or removal, a majority of a quorum of the Board determines the action to take at a special meeting as called for in the ANCOR bylaws.
- If the CEO requests a fact-finding, the Grievance Committee shall then hold a fact-finding conference. A fact-finding shall involve at least (1) interviews of the Complainant and the CEO, (2) any pertinent documentation related to the issues before the committee, (3) further interviews with staff or other persons with relevant knowledge, (4) evidence of extenuating circumstances, etc. The CEO shall be allowed to see any pertinent documentation before being interviewed in order to be able to present an informed explanation of the events at issue.
- The Grievance Committee issues a decision as to the merits of the complaint and the disciplinary actions to be taken. If the disciplinary recommendations involve suspension or removal, the CEO is given a right to appeal the result of the fact-finding process.
- In cases of suspension or removal, the CEO may appeal the result of the fact-finding to the Board where a majority of a quorum of the Board determines the action to take at a special meeting as called for in the ANCOR bylaws.
- If a majority of a quorum of the Board makes a finding of suspension or removal, the CEO shall have the right to request a reconsideration of that decision. The findings and recommendations of a majority of a quorum of the Board after reconsideration shall be final.
- If one or more members of the Grievance Committee has a conflict of interest with regard to the investigation of the CEO, substitutes shall be found for them by the President of the Board.
- A fact-finding/grievance will not be brought to the full Board except as outlined above or unless the Grievance Committee makes a determination that there is a need for the full Board to be appraised. The facts of any case, however, will not be withheld from the full Board if inquiry is made concerning them, and the Board at its discretion can elect, by a vote of a majority of a quorum, to make a review of the decision of the Grievance Committee.

## **7. Board Self-Review**

The Board will, at least twice a year, evaluate its performance and discuss and identify areas and actions for improvement.

The Board self-review process will consist of:

- Individual director self-appraisals
- Evaluation of quarterly in-person meetings
- Evaluation of the annual budget review meeting

The board will discuss cumulative results from these evaluations and identify areas and actions for improvement at minimum every two to three years.

## **8. Board Composition**

The ANCOR Board of Directors recognizes that ANCOR's mission is advanced by a governance body that, to the maximum extent possible, reflects the diversity of its corporate full and associate members. Corporate diversity includes, but is not limited to, organization size, geographic representation, types of programs offered/service models, corporate status, faith-based affiliation, and other international, national or state affiliations.

More specifically, the board recognizes that ANCOR membership is best represented by a Board of Directors that does not include the following serving on the board at the same time:

- More than two members that are under any single parent agency
- More than two members who are single state providers from any one state.

To advance this goal, the Leadership Development Committee shall annually assess the diversity of the board of directors to inform and guide its recruitment of qualified candidates, and share these goals with the membership to inform the electoral process.

## **9. Types of Board Sessions**

The Board will have three types of Board sessions.

- Open sessions allow Board officers, directors, staff and other interested individuals to be in attendance.
- Closed sessions allow only Board officers and directors, the CEO, and those invited to be in attendance. There will be no reporting about these sessions except actions taken.
- Executive sessions allow only Board officers and directors and those invited to be in attendance. There will be no reporting of these sessions and no actions will be taken during them. They serve for Board discussion only. The CEO will only be excluded when the discussion pertains to CEO performance and compensation.

## **10. Absences**

Board members are expected to attend quarterly in person meetings and teleconferences as scheduled. Physical attendance is expected at a minimum of two quarterly in person meetings. Telephonic/virtual electronic participation will be counted towards meeting attendance expectations for no more than one in person meeting. Board members with a greater than 50 percent absentee rate (inclusive of monthly teleconferences as convened) for any reason will warrant review by the Executive Committee. Reference ANCOR Bylaws Article V, Section 10. The Executive Committee can request that the member resign or take steps to remove members not in compliance with attendance requirements.

## **11. Committee Process**

The Board may from time to time use committees, but always consistent with the following principles:

- The ANCOR bylaws establish three standing committees, Finance, Leadership Development and Executive.

Additional standing committees include Governance, Government Relations, Professional and Organizational Development and the International Council.

- Other ad hoc committees and workgroups will be set forth with a formal written charge and an appropriate period for existence.
- Member appointments to committees are made by the President or the Vice President, as warranted.
- Committees will not do work that has been delegated to the CEO or is the responsibility of ANCOR staff liaisons.
- Committees will not have executive or deciding authority except when empowered by the Board.

## **12. Committee Responsibilities**

The real work of the organization takes place in its committees. ANCOR committee chairs are appointed by the President. Three standing committees are required by ANCOR bylaws: Executive, Finance and Leadership Development. Membership for these committees is specified in the bylaws. Other committees may be established.

### **General**

Committee appointments are to be made by the ANCOR President, committee chair, vice chair or ANCOR staff liaison. ANCOR members interested in serving should notify the President, committee chair or vice chair, or complete and return the volunteer interest form on the ANCOR web site. Committees may establish subcommittees, task forces and interest groups as the need arises.

The term of Board of Directors' ad hoc committees shall be one year. The need for continuation of ad hoc committees will be reviewed by the Board of Directors.

### **Reports**

Working with the staff liaison, committee chairs and vice chairs are expected to provide to the Board of Directors written or verbal reports regarding the goals, objectives and activities of the committee quarterly.

### **Role of Staff Liaison**



Individual committee chairs and vice chairs implement strategies for achieving stated goals and objectives consistent with ANCOR's strategic plan or board objectives. The staff liaison is also responsible for process functions to include maintenance of committee roster; orientation of new committee members; preparation of meeting minutes/summaries; scheduling of meetings, agenda development and preparation of meeting support materials, working with committee chair (s) or vice chair; and oversight of ongoing committee communications.

### **Role of Committee Members**

Each committee member is expected to provide expertise, best thinking, innovative consideration, and broad-based input pertaining to member support, services and development vis-à-vis the scope of the committee; complete all committee assignments in a timely and responsive manner. Overall, be an active and committed committee member.

## **13. Leadership Development Committee**

The Leadership Development Committee is responsible for identifying and recruiting prospective, qualified team members for ANCOR leadership.

### **Composition of the Leadership Development Committee**

The Leadership Development Committee is chaired by ANCOR's Immediate Past President. There are seven additional members of the committee: three are elected by the Board of Representatives; two are Board members appointed by the President; and two are at-large ANCOR members appointed by the President. The committee represents a number of different perspectives. Other Directors of the Board and staff members who have not been appointed to the Leadership Development Committee can also assist the committee by suggesting potential candidates.

### **Duties of the Leadership Development Committee**

The primary responsibility of the Committee is to develop a pool of qualified, talented prospective leaders for the Organization. Other duties include:

- becoming familiar with the boards bylaws and policies regarding terms of office, election and nomination;
- analyzing the current Board's skills set; areas of need and improvement; and anticipating future volunteer leadership/talent needs of the Organization;
- developing selection criteria consistent with the "Board Composition" section of this policy manual to be used in the leadership recruitment process;
- initiating the brainstorming of prospective leadership candidates with the help of the Board and the Organization;

- screening suitable candidates according to the selection criteria and recommending successful individuals;
- overseeing the election process for all Director elections (State Association Executive Liaison, Board of Representatives Liaison, Directors elected by the full membership);
- overseeing the election process for officers of the Board of Directors; and,
- maintaining records of current Directors' skills, experiences, and terms of service.

### **Developing Selection Criteria**

To be most effective in ensuring the right candidates are considered, the selection criteria must consider the composition of the current Board, corporate diversity and the current and future dynamic needs of the Organization

Corporate diversity includes, but is not limited to, organization size, geographic representation, types of programs offered/service models, corporate status, faith-based affiliation, and other international, national or state affiliations. An important additional consideration is to limit the influence of any one member by striving to not include the following serving on the board at the same time:

- More than two members that are under any single parent agency
- More than two members who are single state providers from any one state.

Some basic individual qualities that the Leadership Development Committee considers in potential leadership candidates include:

- overall interest and enthusiasm in serving on the Board or in a leadership position;
- level of integrity;
- teamwork skills;
- ability to think for the future;
- time availability and time constraints;
- funding support from their Organization;
- ability to support fundraising; and,
- ability to influence others.

Additional selection criteria may include:

- Diversity of opinion and demographics represented on the current board.
- Other identified knowledge, thought leadership, and/or skills desired by the board.

The Leadership Development Committee considers how the potential members will fit with the Organization both in its current state and in the future. Factors that influence this include:

- the type of Board and its level of decision-making;
- the development stage of the Board;
- the short- and long-term strategic outcomes of the Organization; and,
- the Organization's strategic goals.

### **Providing Information to Prospective Candidates**

When suitable candidates have been identified, the Leadership Development Committee will initiate discussions with them to gauge their interest and provide answers to any questions or concerns.

For this reason, Leadership Development Committee often provides candidates with information about the Board and the Organization, including:

- Key Organization reports and surveys; informational materials and newsletter;
- a summary of the Organization's services;
- a summary of the strategic outcomes and program assessments;
- board member job descriptions and a list of the Board's duties; and,
- information on Board orientation and other training opportunities.

The Leadership Development Committee is fundamental to the Board's recruitment strategy and serves as the lead in the continuous process of developing leaders for the Organization.

## **14. Chief Executive Officer (CEO) Evaluation:**

ANCOR policy states that formal performance evaluations are conducted at the end of the introductory period. Thereafter, periodic performance appraisals should be completed at least annually.

### **Purpose**

The performance evaluation process is designed to provide the CEO with feedback on performance and suggestions for improvement and continued development. CEO input is encouraged during appraisals.

### **Performance Measure**

The evaluation process will provide a measure by which ANCOR's Board of Directors may make personnel decisions including but not limited to: performance related salary increases and bonuses, contract revisions and continuation, structured improvement plans or dismissal.

### **Frequency**

CEO performance will be monitored on the following basis:

- within 90 days of hire date
- annually thereafter

No later than October 1<sup>st</sup> the Secretary/Treasurer or his/her designee will e-mail to the CEO, each member of the Board of Directors, and the ANCOR Foundation President the **CEO Evaluation Form** and a **Summary of the Current Year's Performance Objectives**. The evaluation form will be completed and returned to the Secretary/Treasurer by mid-October. The CEO will conduct a self-evaluation by completing the Evaluation Form and a summary of his/ her success in achieving each of his/ her Performance Objectives. The CEO will e-mail these to the Secretary/Treasurer by mid-October.

In consultation with the Chair, the Secretary/Treasurer will prepare a confidential summary of the aggregated Board and CEO responses and e-mail this to each member of the Board of Directors prior to the November Board teleconference. At the November Board Meeting there will be a discussion of the summarized Board feedback and recommendations for future performance objectives. The Executive Committee will present the evaluation to the CEO as soon as possible following the November Board Teleconference.

The Executive Committee will seek feedback from the CEO and establish agreed upon **Performance Objectives** for the next 12 months, which will be presented to the full board at the February Board meeting. The **Performance Objectives** will be based on both the association's strategic goals and the CEO's personal goals. The Executive Committee will present to the Board of Directors at the December Board teleconference a summary of the CEO Evaluation Meeting including and a recommendation for the CEO's compensation for the next 12 months including any end of year bonuses. This evaluation does not preclude other meetings between the CEO and the Executive Committee to discuss employee performance.

### **Timeline Summary**

- No later than October 1st: the Secretary/Treasurer or his/her designee will e-mail to the CEO and each member of the Board of Directors the CEO Evaluation Form and a summary of the current year's performance objectives.
- Mid October: Board members and CEO return completed evaluations to the Secretary/Treasurer by mid-October. The CEO will complete a self-evaluation that includes the Evaluation Form and a summary of his/ her success in achieving each of his/ her Performance Objectives.
- At least one week in advance of the November Teleconference Board meeting: In consultation with the Chair, the Secretary/Treasurer will prepare and email a confidential summary of the aggregated Board and CEO responses to each member of the Board of Directors.

- November Board meeting: Executive Session discussion of the summarized Board feedback, Executive Committee solicits recommendations for future performance objectives.
- As soon as possible following November Board meeting: The Executive Committee presents the summarized evaluation to CEO, along with recommendations for future performance objectives, seeks feedback from the CEO.
- December Board meeting: The Executive Committee presents a summary of the CEO Evaluation Meeting and recommendation for the CEO's compensation for the next 12 months including any end of year bonuses.
- December-February: In consultation with Executive Committee, Chair works with CEO to finalize CEO performance objectives for the next 12 months.
- February Board Meeting: Executive Committee presents agreed CEO Performance Objectives for the next 12 months.

## **15. Board Director Individual Performance Assessment**

ANCOR Board policy states that annual performance assessments will be conducted for individual Board Directors each fall. The specific performance measures and frequency of the assessment is the responsibility of the Executive Committee.

### **Purpose**

The performance evaluation assessment is designed to ensure understanding of the roles and responsibilities of individual Board members and to provide individual Board members with information and feedback on the level and value of their participation and contribution to ANCOR governance.

### **Performance Measure**

The evaluation process benefits from diverse measures by which ANCOR's Board of Directors can improve and enhance its governance performance. The assessment may be comprised of the following components:

- A participation and engagement objective report completed by ANCOR staff.
- A performance and engagement assessment by the Executive Committee.
- An individual Board member self-assessment

### **Process**

The evaluation process should be conducted annually, at minimum every two years, aligned with the timeline for the CEO performance evaluation process.

The Leadership Development Committee Chair will review and compile a confidential summary of assessments for dissemination to the Executive Committee.

Feedback will be distributed to individual Board members. Individual phone meetings with Board members to be scheduled as warranted by the Executive Committee and conducted by the Leadership Development Committee Chair.

## **C: EXECUTIVE LIMITATIONS**

The CEO shall act at all times in an exemplary manner consistent with the responsibilities and expectations vested in the position. The CEO shall act in a manner consistent with ANCOR's mission, values and policies, and with those practices, activities, decisions and organizational circumstances that are legal, prudent and in accordance with commonly accepted business and professional ethics.

Accordingly, the CEO shall not:

1. Make alliances with organizations or coalitions that might damage ANCOR's public image.
2. Endanger ANCOR's public image or credibility, particularly in ways that would hinder its accomplishment of mission.
3. Fail to take prompt and appropriate action when he/she becomes aware of any violation of laws, rules, regulations, conflict of interest or any breach of ANCOR's policies or contracts.
4. Allow applicable local, state and federal laws, rules and regulations to be violated.

Inasmuch as the Board of Directors cannot responsibly discharge its fiduciary and other obligations and duties without accurate and timely information, it shall be the responsibility of the CEO to assure the Board is provided with all relevant reports, documents and other materials required to informed decision-making.

To this end, the CEO shall not:

1. Submit information or reports that are incomplete, inaccurate, misleading or unnecessarily vague or complex.
2. Fail to inform the Board of actual or anticipated litigation, the possibility of adverse media coverage, and internal and external changes.
3. Fail to provide a mechanism for Board, officer and committee communications.

With respect to operating ANCOR in a financially sound and prudent fiscal manner, the CEO may not jeopardize the long-term financial strength of ANCOR. Accordingly, he/she will, consistent with ANCOR policy governing financial practices:

1. Assure that uninsured persons will not have access to ANCOR and client or partner funds.
2. Only acquire, encumber or dispose of real property less than \$10,000 per transaction unless approved by the Board.
3. Operate with such internal controls that would meet the standards of the appointed auditors.
4. Maintain insurance coverage against (a) theft at replacement value, (b) casualty at 90 percent of property value and (c) liability losses to staff, ANCOR and Board Directors.
5. Coordinate an external audit to be completed annually by independent auditors with a report delivered to the Board's Finance Committee.
6. Abide by all applicable rules and regulations of the Financial Accounting Standards Board (FASB) or the Internal Revenue Service (IRS).

7. Settle payroll in a timely manner and debts within 60 days of terms.
8. Ensure tax payments or other government-ordered payments or filings are completed by deadlines and are accurately filed.

With respect to prudent financial planning, the CEO may not develop a budget for any fiscal period or the remaining part of any fiscal period that:

- Deviates materially from ANCOR's mission-related priorities and/or risks financial jeopardy.
- Fails to be derived from a multi-year plan.
- Contains too little information to enable accurate projection of revenues and expenses, separation of capital and operational items, cash flow and subsequent audit trails, and disclosure of planning assumptions.
- Plans the expenditure in any fiscal year of more funds than are conservatively projected to be received in that period or which are otherwise available.



## **D: CONFLICT OF INTEREST & DISCLOSURE STATEMENT**

The following policy was adopted by the ANCOR Board of Directors on September 17, 2017.

### **PERSONS CONCERNED:**

The ANCOR Conflict of Interest Policy applies to Board members, officers, staff, and volunteers who have significant, independent decision-making authority regarding the resources of the organization.

### **PURPOSE:**

Effective governance of ANCOR, depends on deliberate, thoughtful and disinterested decision-making by parties with significant, independent decision-making authority whether the decisions involve far reaching matters, organizational policy, strategic goals, approval of transactions, the investment of the organization's funds, or the adoption or continuation of programs. The ability of such persons to make good decisions for the organization can be profoundly affected by their other interests, personal or professional. The ANCOR Board is entitled to their best judgment, whatever the subject, without concern for those personal or professional interests. For that purpose, the Board of Directors adopts this policy on conflict of interest.

The Conflict of Interest policy is intended to help guide parties to make decisions in the best interests of ANCOR.

### **POLICY:**

It is the policy of the Board that all parties who have significant, independent decision-making authority regarding the resources of the organization have a fiduciary duty to conduct himself or herself without conflict to the interests of ANCOR. When acting within his or her decision-making capacity for ANCOR, he or she must subordinate personal, business, third-party, and other interests to the welfare and best interests of ANCOR. In short, all parties are expected to exercise good judgment and the highest ethical standards in the fulfillment of their ANCOR Board responsibilities.

All staff must avoid any activity, business interest, or other situation which could be construed either as conflicting with ANCOR's best interests or as an interference with the Director and Officer's duty to serve the organization to the best of his or her ability.

Members of the Board and Officers shall disclose all potential and actual conflicts of interest to the Chair of the Board of Directors and, as appropriate remove themselves from all discussion and voting on any related matter.

All parties shall disclose all facts that may be construed as a conflict of interest, at the time of initial affiliation with the organization and at least annually thereafter both through an annual disclosure process and whenever such actual or potential conflict arises.

The policy will be shared with all parties at time of orientation, during recruitment, and in an annual discussion at a meeting of the Board.

#### **AREAS IN WHICH CONFLICT MAY ARISE:**

A “conflict of interest” is any transaction or relationship which presents, or may present, a conflict between those covered by this policy’s obligations to ANCOR and his or her personal, business, or other interests. Actions that might result in or create the appearance of a conflict of interest include, but are not limited to related party transactions. A “related party transaction” is between ANCOR and any person who serves as a director, officer or key employee of ANCOR or any affiliate thereof, or any such person’s relative. “Related parties” shall include any entity in which any of the foregoing individuals or their family members has ownership or beneficial interest, or, in the case of a partnership or professional corporation, a direct or indirect ownership interest.

Staff questions and concerns about potential conflicts should be directed to the Chief Executive Officer. The Chief Executive Officer shall consult with the Board President in responding to an employee’s questions or concerns.

In addition to disclosing potential related-party transactions, Directors and Officers should:

- Avoid placing self-interest or the interest of a third party above the interests of ANCOR, and avoid the appearance of placing self-interest or the interests of a third party above the interests of ANCOR;
- Refrain from using ANCOR’s staff, services, equipment, materials, resources, or property for personal or third-party gain, and from representing to third parties that authority as a Board member extends any further than that which it actually extends.
- Not engage in any outside business, professional conduct, or other activities that may be directly or indirectly adverse to the interests of ANCOR;
- Not solicit or accept gifts, gratuities, free travel, or any other item of value from any person or entity as a direct or indirect inducement to provide special treatment with respect to matters pertaining to ANCOR without fully disclosing such an exchange to the Chair of the Board of Directors;
- Not persuade any employee of ANCOR to leave the employ of ANCOR or to become employed by any person or entity other than ANCOR; and
- Not persuade or attempt to persuade any member, exhibitor, advertiser, sponsor, subscriber, supplier, contractor, or any other person or entity with an actual or potential relationship with ANCOR to terminate, curtail, or not enter into its relationship with ANCOR, or to reduce any benefit that may be provided to ANCOR with respect to such relationship.

All information and matters about ANCOR or any entities connected with ANCOR, unless the information is a matter of public record or common knowledge, is considered confidential. The use of such information by a person covered by this policy, either directly or indirectly, for purposes other than the best interests of ANCOR shall be considered a conflict of interest.

## **INTERPRETATION OF THIS STATEMENT OF POLICY:**

The Board of Directors recognizes that conflicts of interest are not uncommon, and that not all conflicts of interest are necessarily harmful to ANCOR. Director and Officers are nonetheless encouraged to err on the side of disclosure.

Disinterested members of the Board of Directors or Executive Committee will review disclosures, determine whether a conflict of interest exists, and determine whether such conflict materially and adversely affects ANCOR's interests.

The Board of Directors may delegate its authority to review and remedy potential conflicts of interest to a committee of disinterested Board members. Such committee shall inform the Board of its determination and recommended action. The Board shall retain the right to modify or reverse such determination and action, and shall retain the ultimate enforcement authority with respect to the interpretation and application of this policy.

Outside legal counsel may be consulted, as necessary.

## **DISCLOSURE POLICY AND PROCEDURE:**

At the time of initial affiliation with the ANCOR decision-making role and at least annually thereafter, each Director and Officer shall be provided with a copy of this policy, and shall complete and sign the Acknowledgement and Disclosure form. All Acknowledgement and Disclosure forms will be reviewed by the Executive Committee members.

In addition, all parties shall disclose all facts that may be construed as a conflict of interest whenever such actual or potential conflict arises. Members of the Board and officers shall disclose all potential and actual conflicts of interest to the Chair of the Board of Directors and, as appropriate remove themselves from all discussion and voting on any related matter.

Individuals who have an interest in a related party transaction must (a) disclose in good faith the material facts concerning his or her interest in the proposed transaction before the proposed transaction is approved by the Board of Directors, and (b) refrain from participation in, or improper influence of, ANCOR's decision-making regarding the potential transaction.

When considering whether to engage in an "interested party transaction," the ANCOR Board of Directors must: (1) consider alternative transactions not involving a related party; (2) approve the transaction by no less than a majority vote of the Directors present at the meeting; and (3) contemporaneously document the basis for approval.

If the reviewing body or official determines that an actual or potential conflict of interest exists, the reviewing body or official shall also determine an appropriate remedy. Such remedy may include, for example, (i) waiver of the conflict of interest as unlikely to affect the Director and Officer's ability to act in the best interests of ANCOR; (ii) recusal of the conflicted Director and Officer from participating in certain matters pending before ANCOR, the Board, or other

ANCOR body; or (iii) in rare circumstances, resignation or separation of the conflicted Director and Officer from his or her role or Board position.

A Director and Officer whose potential conflict is under review may not debate, vote, or otherwise participate in such determination except to disclose material facts and to respond to questions, and shall further abstain from participating in any ANCOR matter affecting the interest under review pending a determination from the reviewing body or official.

1. The Minutes of the executive committee of the Board, the full Board and all committees with Board delegated powers shall contain:
  - a) the names of persons who disclosed or otherwise were found to have a financial or other interest, the nature of the interest, any action taken to determine whether a conflict of interest was present and the decision as to whether a conflict of interest in fact existed.
  - b) the names of persons who were present for discussion, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a copy of any votes taken in connection therewith.
2. The Chief Executive Officer shall record all conflict of interest disclosures and determinations involving staff in appropriate personnel files. The Chief Executive Officer shall disclose, as appropriate to Board decision making.

#### **VIOLATION OF POLICY:**

The Board will make a determination and, if necessary, conduct an investigation as to any violation of this Conflict of Interest policy. In the case of alleged violations of the policy by the Chief Executive Officer, the Chairperson of the Board shall make such determination and if necessary, cause an investigation to be made. Any disciplinary action taken and any contingencies to be put in place to resolve the conflict shall be documented.

If a Board member or a Committee member, has reasonable cause to believe that member has failed to disclose actual or possible conflicts of interest, it shall so inform the Board.

The Board shall afford the member an opportunity to explain the alleged failure to disclose.

If after hearing the response of the member and making such further investigation as may be warranted in the circumstances, the Board determines that the member has in fact failed to disclose an actual or possible conflict of interest, the Board shall take appropriate disciplinary and corrective action consistent with the Bylaws of the corporation.

If an employee fails to notify the Chief Executive Officer of a real or potential conflict of interest pursuant to the terms of this policy, such individual may be subject to disciplinary action up to and including discharge.

**American Network of Community Options and Resources (ANCOR)  
Conflict of Interest Disclosure Statement**

I, the undersigned member of the (check one or more) \_\_\_\_ANCOR Board of Directors, \_\_\_\_Officer, \_\_\_\_Volunteer, \_\_\_\_ANCOR staff, have read and understand ANCOR's conflict of interest policy set forth above (the "Policy") and agree to comply fully with its terms and conditions at all times during my service to ANCOR.

If I become aware of any actual or potential conflicts of interest at any time following the submission of this form, or if the information provided below becomes inaccurate or incomplete, I will promptly notify the person or persons to whom I am required to disclose pursuant to the Policy.

Disclosure of actual or potential conflicts of interest:

1. Do you have a familial, financial, or business relationship with any current or former director, officer, committee member, or employee of ANCOR? ☐ Yes ☐ No
2. Are you an officer, director, trustee, member, owner, or employee, or do you have any familial, financial, or business relationships with any persons or organizations that intend to engage in any transaction or to receive any substantial gift or favor that may represent a conflict with your obligations to ANCOR? ☐ Yes ☐ No
3. Do you have any other interest or affiliation that may compromise your ability to provide unbiased and undivided loyalty to ANCOR, or that may otherwise become in conflict with your official duties on behalf of ANCOR or its related corporations? ☐ Yes ☐ No

If you answered "yes" to any of the above, please explain below. Attach additional pages as necessary.

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I have read the ANCOR Conflict of Interest Policy set forth above and agree to comply fully with its terms and conditions at all times during my service as an Officer, Volunteer, Staff or member of the ANCOR Board of Directors.

Type/print name	Signature	Date
ANCOR position or role		

# **Section V**

## **Job Descriptions: Board of Directors, Officers, Chair, Vice Chair and Board of Representatives**

## **Section V: Job Descriptions: Board of Directors, Officers, Chair, Vice Chair and Board of Representatives**

### **A: BOARD OF DIRECTORS**

#### **Overarching Board Responsibilities**

- Set ANCOR's vision and mission and ensure it is carried out.
- Adhere to the ANCOR Board of Director Norms of Operation.
- Annually assess the ever-changing environment and approve ANCOR's strategy to be responsive.
- Focus on the future of ANCOR.
- Participate in development of short- and long-range plans of ANCOR, including budgets and programmatic plans and to oversee the implementation of such plans.
- Annually review the performance of ANCOR against its plans, including review and approval of the annual financial audit.
- Assure that the financial structure of ANCOR will adequately support its current needs and long-range strategy.
- Assure that organizational strength and employee base can substantiate long-range goals.
- Annually review and approve ANCOR's funding plans and financial goals.
- Oversee the management of business and affairs of ANCOR, but not to manage the day-to-day activities of ANCOR.
- Approve major policies.
- Select, annually evaluate and remove, if appropriate, the Chief Executive Officer.
- Assure that management succession is properly planned.
- Bring unique perspectives and experiences to ANCOR.
- Enhance and promote the public image of ANCOR.
- Biennially at minimum review the performance of the Board (including its composition, organization, and responsibilities) and take steps to improve its performance.

#### **Individual Board Member Responsibilities**

- Serves as a voting member of the Board of Directors.
- Signs and abides by requirements outlined in ANCOR Board of Directors' "Statement of Understanding".
- Works with association officers in establishing and implementing the vision and mission of the association and in assuring the association's overall health.
- Actively participates in association generative thinking and strategic planning.
- Serves as a knowledge and expertise resource, and counsels and votes on association policy and program issues.

- Actively participates in an ANCOR leadership, program or issue committee, board or task force.

Each individual board member has the fiduciary responsibilities of duty of care, duty of obedience and duty of loyalty.

- The Duty of Care requires individual board members to be informed and ask questions. It describes the level of competence that is expected of a board member, and is commonly expressed as “the duty of care that an ordinary prudent person would exercise in a like position and under similar circumstances”.

This means that a board member owes the duty to exercise reasonable care when he or she makes a decision as a steward of the organization.

The Duty of Obedience requires board members to be faithful to the organization’s mission. They are not permitted to act in a way that is inconsistent with the central goals of the organization.

The Duty of Loyalty requires that board members show undivided allegiance to the organization’s welfare, adhering to the following standard of faithfulness

- A board member must give undivided allegiance when making decisions affecting the organization.
- A board member can never use information obtained as a member for personal gain and must act in the best interest of the organization.
- Board members must comply with ANCOR’s Code of Conduct and ethical behavior.

More specifically, individual board members are expected to:

- Be fully informed about ANCOR, including its vision, mission, programs and finances.
- Understand the members of ANCOR and their needs, including key stakeholders (such as individuals requiring services, family members, payors).
- Actively participate in ANCOR, including attending meetings, evaluating reports, reading minutes and fulfilling commitments to ANCOR.
- Provide candid and constructive criticism, advice, and comments.
- Exercise independent judgment on all corporate decisions.
- Speak his or her mind freely at Board meetings, but to support ANCOR’s policies and programs once established.
- Remember that the role of the Board is to govern and the role of management is to manage.
- Support management and management decisions when such decisions are consistent with the mission and plans of the organization.
- Respect the views of other Board members and staff and keep disagreement impersonal.
- Remain loyal to ANCOR as a whole rather than to any constituency within it.



- Maintain the highest ethical standards and never allow any personal or professional conflict-of-interest to affect decision-making on behalf of ANCOR.
- Contribute to and be active in the organization's fundraising activities.

### **Audit Responsibilities**

- Ensure that the Board and its committees are adequately informed of the financial condition of ANCOR and its operations through reports or any appropriate method.
- Ensure that published reports properly reflect the operating results and financial condition of ANCOR.
- Ensure that management has established appropriate policies to define and identify conflicts of interest throughout ANCOR and is diligent in its administration and enforcement of those policies.
- Review compliance with relevant material laws affecting ANCOR and its programs and operations.

### **ANCOR Board President**

- Serves as Chief Volunteer of the organization.
- Serves as a voting member of the Board of Directors and the Executive Committee.
- Serves as spokesperson for the organization along with the Chief Executive.
- Is a partner with the Chief Executive in achieving the organization's mission.
- Provides leadership and direction to the Board of Directors.
- Chairs meetings of the Board after developing an action agenda with the Chief Executive.
- Encourages and guides Board role in generative thinking and strategic planning.
- Reports the activities of this office to the Board of Directors and at membership meetings as needed.
- Appoints chairs and vice chairs of committees and task forces in consultation with the Board of Directors.
- Serves *ex officio* as a member of committees and attends meetings when invited. Serving *ex officio*, the President shall not have the right to vote.
- Discusses issues confronting the organization with the Chief Executive.
- Guides and mediates Board actions with respect to organizational priorities and governance concerns.
- Reviews with the Chief Executive any issues of concern to the Board.
- Monitors financial planning and financial reports.
- Directs and evaluates the performance of the chief executive and addresses the conduct, participation and contribution of individual Board members.
- Evaluates annually the performance of the organization in achieving its mission.
- Directs both short- and long-term chief executive succession
- Performs other responsibilities assigned by the Board of Directors.

### **ANCOR Board Vice President**

- Serves as a voting member of the Board of Directors and the Executive Committee.
- Reports to the Board President; works closely with the President and staff.
- Performs responsibilities of the President when the President cannot be available.
- Assumes the role and duties of the President if the President is no longer able to continue.
- Participates closely with the President to develop and implement officer transition plans.
- Performs other responsibilities as assigned by the President and the Board of Directors.
- Assists the President as appropriate and represents the organization at the request of the President.

### **ANCOR Board Immediate Past President**

- Serves as a voting member of the Board and the Executive Committee.
- Chairs the Leadership Development Committee.
- Directs annual Board election process; recommends appointments for Board and Board of Representatives' vacancies and new appointments.
- Performs other responsibilities as assigned by the President and the Board of Directors.
- Assists the President as appropriate and represents the organization at the request of the President.

### **ANCOR Board Secretary/Treasurer**

- Serves as Chair of the Finance Committee.
- Serves as a voting member of the Board and the Executive Committee
- Monitors financial condition of the association and budgetary performance, recommending modifications as needed.
- Directs review and finalization of annual budget recommendations to the Board; presents budget to the Board for approval.
- Reviews for approval all actions and policies of major financial import.
- Guides Finance Committee periodic review of accounting policies; annual review of investments and investment policies; and annual review of association insurance coverage.
- Guides Finance Committee reviews of annual auditor report.
- Oversees review and strategies for establishing association dues schedules and maximizing non-dues income revenues.
- Guides Finance Committee in establishing appropriate benchmarks and ratios for performance in order to assure solid financial condition
- Is sufficiently familiar with legal documents (articles, bylaws, IRS filings and letters) to note applicability during meeting.

### **ANCOR Board of Representatives Liaison**

Board of Representatives Liaison to the ANCOR Board is elected by the ANCOR Board of Representatives.

- Serves as a communication conduit and liaison between the ANCOR Board of Representatives (BoR) and the ANCOR Board of Directors (BoD).
- Attends and participates at BoD meetings.
- Represents BoR interests to the BoD.
- Works with ANCOR staff liaison to facilitate communications and generative dialogue with the BoR.
- Directs and participates in new state representatives' orientation.
- Regularly communicates with Board of Representatives
- Serves as a Board Director, with concomitant responsibilities

### **ANCOR State Provider Associations Executives Forum Liaison**

The State Provider Associations Executives Forum Liaison to the ANCOR Board is elected by the ANCOR State Provider Associations Executives Forum members.

- Serves as a communication conduit and liaison between the Executives Forum and the ANCOR Board of Directors (BoD).
- Attends and participates at BoD meetings.
- Represents Executives Forum interests to the BoD.
- Works with ANCOR staff liaison to facilitate communications and generative dialogue among Executives Forum members.
- Directs and participates in new state association members' orientation.
- Regularly communicates with the Executives Forum.
- Serves as a Board Director, with concomitant responsibilities

### **ANCOR Standing Committee Chair**

- Serves as a voting member of the Board of Directors.
- Reports to the Board President.
- Sets the tone for committee work.
- Ensures that committee members have the information needed to do their work.
- Reports to the Board of Directors on committee decisions, actions and recommendations.
- Works closely with Chief Executive or staff liaison appointed by Chief Executive.
- Working with Chief Executive or staff liaison, organizes structure of the committee to meet Association strategic outcomes; committee goals and objectives; and designated responsibilities/charge of the committee.
- Assigns work to committee members, sets the agenda in concert with staff liaison, and chairs meetings.

### **ANCOR Board Committee Vice Chair**

- Is not required to be a voting member of the Board of Directors.
- Reports to the Committee Chair.

Working with the Committee chair:

- Sets the tone for committee work.
- Ensures that committee members have the information needed to do their work.
- Works closely with Chief Executive or staff liaison appointed by Chief Executive.
- Working with Committee Chair and Chief Executive or staff liaison, organizes structure of the committee to meet Association strategic outcomes; committee goals and objectives; and designated responsibilities/charge of the committee.
- Performs responsibilities of the Committee Chair when the Committee Chair cannot be available.
- Performs other responsibilities as assigned by the Committee Chair.
- Assists the Committee Chair as appropriate.

## **B: BOARD OF REPRESENTATIVES**

### **Role and Responsibilities of ANCOR State Representatives**

State Representatives are elected by ANCOR members in each state. In the event a representative must resign before completing his/her term of office, the ANCOR Board of Directors can appoint an ANCOR member from the state to serve out his/her term.

The responsibilities of an ANCOR state representative are:

1. Serve as a communication conduit and liaison with ANCOR members in the state.
2. Represent ANCOR and ANCOR member interests within the state.
3. Work with ANCOR staff to increase ANCOR visibility, determine prospective member potential, and lend support to membership development initiatives in the state.
4. Regular communication with Board of Representatives' liaison.
5. Participate in ongoing "State Share" environmental scan in cooperation with State Provider Association executive(s).
6. Represent ANCOR before U.S. Congress and respond to Action Alerts, assist ANCOR in grassroots process, primarily with the U.S. Congress.
7. National committee participation and leadership.
8. Elect the Board of Representative liaison to the Board of Directors.

# **Section VI**

## **Other Related Policies**

## **Section VI: Other Related Policies**

### **A: MEDIA POLICY**

To ensure the quality and consistency of ANCOR information disseminated to media sources, the following policy shall be enforced:

- All media contacts are to be handled by the CEO, or his or her designee, regardless of who the media representative is or whom he or she represents or how innocuous the request.
- All press releases or other promotional materials are to be approved by the CEO or his or her designee prior to dissemination. Failure to comply with ANCOR's media policy shall be grounds for disciplinary action.

### **B: EXHIBIT POLICY**

ANCOR reviews, on a case by case basis, each application to exhibit at ANCOR events to ensure relevance to ANCOR's mission, benefit to ANCOR members, and any other relevant factors, including prior experience with the applicant. As a general rule, ANCOR permits exhibits by the following:

- Education/resource organizations;
- Affiliated organizations in the development disability field; and
- Vendors with support services and products relevant to agencies.

### **C: WEB POLICY**

It is the policy of ANCOR to provide information on its web site that is relevant to and consistent with ANCOR's principles and values. This policy includes links to other web sites. The Marketing and Communications Division provides oversight for ANCOR's web site.

#### **Privacy Policy**

ANCOR takes your privacy seriously and knows that you care how information about you is used and shared. We appreciate your trust that we will handle your personal information carefully and sensibly.

This notice describes our Privacy Policy. By visiting any ANCOR-owned websites (including, but not limited to, ANCOR.org, ANCORFoundation.org, ANCORServicesCorp.com and others), you are accepting the practices described in this Privacy Policy.

### **What this Privacy Policy Covers**

- This Privacy Policy covers ANCOR's treatment of personally identifiable information that ANCOR collects when you are on any ANCOR-owned website, and when you use ANCOR's online services. This policy also covers ANCOR's treatment of any personally identifiable information that ANCOR's business partners share with ANCOR or that ANCOR may collect on a partner's website.
- This Privacy Policy does not apply to the practices of companies that ANCOR does not own or control, nor to people that ANCOR does not employ or manage.

### **Information Collection & Use**

- ANCOR collects personally identifiable information when you register for an account at ANCOR.org. ANCOR may also receive personally identifiable information from your employer when it establishes or renews its ANCOR membership or completes transactions on the ANCOR website, such as completing an Annual Conference registration or purchasing a digital product.
- When you register with ANCOR, we ask for, at a minimum, your name, your employer and your email address.
- ANCOR uses information for two general purposes: to fulfill your requests for certain products and services, and to contact you about important ANCOR information.

### **Information Sharing and Disclosure**

- ANCOR will sometimes sell its membership list to organizations that offer education or other products or services of interest to the ANCOR membership.

### **Cookies**

The following is published on ANCOR website.

- Cookies are small text files stored on your internet-enabled device by your web browser. Cookies can be considered personally identifying information.
- ANCOR uses cookies on its website to enhance your user experience. The use of cookies on our site enables the site to recognize your device, ensures any advertisements you see are relevant to you, and facilitates the process by which you navigate and interact with our website.
- As part of its ongoing commitment to protecting your privacy, ANCOR does not share, sell or otherwise distribute any data affiliated with the cookies on its website, including any personally identifying information, to any other entity.



- By using ANCOR's website, you are giving your consent for us to place cookies on your device to continue enhancing your user experience in the ways outlined above. If you do not consent to ANCOR's use of cookies, you must either discontinue your use of the site immediately or adapt your browser's settings to block the use of cookies. The latter option may result in a diminished user experience.

### **Your Ability to Edit and Delete Your E-mail Update Preferences**

- You may request deletion of your ANCOR account by logging into the "Members Only" section, verifying your password once more and confirming your choice to terminate the e-mail updates you receive. Your agency is the official ANCOR member; therefore, if your agency chooses not to renew its membership your personal online access to the "Members Only" section will be terminated.

### **Security**

- Your ANCOR Account Information is password-protected for your privacy and security.
- In certain areas ANCOR uses industry-standard SSL-encryption through VeriSign to protect data transmissions. VeriSign is the industry leader in online encryption. You can feel safe that the data you provide to ANCOR is secure.
- We restrict access to your non-public personal information to those employees who reasonably need to come into contact with that information to provide products or services to you.
- We maintain physical, electronic, and procedural safeguards to guard your nonpublic personal information.

### **Changes to this Privacy Policy**

- ANCOR may amend this policy from time to time. If we make any substantial changes in the way we use your personal information we will notify you by posting a prominent announcement on our pages.

### **Questions or Suggestions**

- If you have questions or suggestions complete a please send an email to [ancor@ancor.org](mailto:ancor@ancor.org).

ANCOR takes your privacy seriously.

## **D: RECORDS RETENTION POLICY**

See Section III Procedures, A Financial Procedures, Document Retention and Destruction page 6.

## **E: POLICY ON MEMBER ASSESSMENTS**

ANCOR shall not assess fees to individual member agencies under any circumstances for the purpose of financing any individual member's legal efforts, even when those efforts may benefit other ANCOR members. ANCOR will continue to support such initiatives in other ways on behalf of its membership and other organizations through such actions as staff support, advocacy, letters of support, networking and individual member efforts.

## **F: POLICY ON PUBLIC POLICY PRIORITIES**

### **General**

ANCOR determines policy positions consistent with policy principles approved by the Board of Directors. These principles shall be reviewed periodically, but not less than every three years by ANCOR staff in consultation with the Government Relations Committee. These principles guide the focus of staff activities.

ANCOR staff will bring to the attention of the Board of Directors public policy issues being considered by the U.S. Congress, a federal agency or the federal court system that affect the delivery of member services and supports.

When developing testimony, commenting on federal regulations, responding to questions from Congress, federal agencies and other organizations, or in signing on to statements with other organizations, ANCOR staff will support positions that conform to existing ANCOR policies and positions. When existing policies are inadequate to guide staff actions, staff will consult with appropriate committees, the Executive Committee or the Board of Directors.

ANCOR values the diversity of its membership. When there is broad disagreement within the ANCOR membership about proposed federal policy, the Board of Directors may decide not to take a position on the policy, but to instruct staff to provide information to members that will enable them to reach independent opinions and take action individually.

### **ANCOR Public Policy Principles (approved by the Board of Directors February 2019)**

- I. Uphold federal disability civil rights statutes [e.g. the Americans with Disabilities Act (ADA), Olmstead decision, the Developmental Disabilities Assistance and Bill of Rights Act (DD Act), and the Rehabilitation Act and the Individuals with Disabilities Education Act (IDEA)]; champion the full implementation and funding of cost of compliance with these statutes; reject discriminatory acts and statements about people regardless of disability.
- II. Advance effective strategies that address the significant and mounting direct support professional workforce shortage.

This includes efforts aimed at cultivating workforce growth, funding for adequate DSP wages and benefits, technology solutions and leadership succession that sustain the viability of the Medicaid funded community supports, and other Medicaid funded systems into the future.

Design, lead and evaluate creative and innovative system and funding reform with the goal of a sustainable, quality system that supports a quality workforce.

- III. Strengthen Medicaid funded systems that promote community inclusion and provide a range of options for individuals with intellectual and developmental disabilities.

Lead discussions on quality; advocate for adequate funding necessary to ensure quality supports.

Oppose any reductions to Medicaid funding allocated to IDD and changes to IDD Medicaid eligibility that would cause reductions in eligibility.

- IV. Advance the opportunity for providers to have standing before, and access to, all branches of government, including executive, legislative and judicial, to ensure adequate and reasonable payments and provider qualifications for the services they provide.

- V. Ensure that providers are involved as valued stakeholders at all levels of pertinent federal oversight and licensing procedures as well as implementation of any relevant federal regulations or statutes.

Educate stakeholders on the meaningful difference providers make in the lives of people with disabilities as well as the value they bring to the Medicaid program and the communities they operate in.

Recognize and advance the critical role of the state and federal partnership of Medicaid through state association collaboration.

- VI. Support and strengthen federal legislation and programs beyond Medicaid that provide additional support to people with intellectual and developmental disabilities (I/DD) including but not limited to Social Security and SNAP benefits.

# **Section VII**

## **ANCOR Position Statements**

## Section VII: ANCOR Position Statements

### A: ANCOR POSITION STATEMENT ON LITIGATION

- I. As an *Amicus Curiae* (Friend of the Court) in a case.
  - a. Level I Priority: In matters before the U.S. Supreme Court. ANCOR's Vice President for Government Relations, in consultation with the Government Relations Advisory Committee, will review requests and make a recommendation to the CEO on whether to join *amicus curiae* briefs in cases reaching the U.S. Supreme Court. The following factors will be considered as favorable in adding ANCOR's name to a friend of the court brief:
    - i. Issues consistent with ANCOR vision, mission and public policy principles.
    - ii. Issues on which ANCOR has previously joined as an *amicus*.
    - iii. Issues affecting rights of providers and/or persons with disabilities (such as the Armstrong or Cleburne cases).
    - iv. Issues affecting Constitutional, statutory, and civil rights of persons with disabilities.
    - v. Issues upon which ANCOR has a standing Board-adopted public policy or priority, position, or issues of traditional interest to ANCOR members (housing and zoning, access to health services, community integration).
    - vi. Staff resources.
    - vii. Litigation costs.
    - viii. Department of Justice position.
  - b. Level II Priority: Requests for ANCOR to join *Amicus Curiae* (Friend of the Court) in matters before the U.S. Federal District Courts or Courts of Appeals. The review process is identical to a Level 1 priority.
    - i. As a Litigant in a case. It would be the rare exception for ANCOR, whether at the request of another entity to join as a litigant or as the initiator of litigation, to become a litigant in a case.
  - c. Request to Join as a Litigant: Staff, in consultation with the CEO, would consider a request and forward a recommendation to the Executive Committee. Upon review by the Executive Committee, a recommendation to move forward would be made to the Board of Directors. Only upon authorization by the Board of

Directors would ANCOR become a litigant. The following factors would be considered in making a recommendation:

- i. Issues consistent with ANCOR vision, mission and public policy principles.
  - ii. Issues on which ANCOR has previously joined as an *amicus*.
  - iii. Issues affecting rights of providers.
  - iv. Issues affecting Constitutional, statutory, and civil rights for persons with disabilities.
  - v. Issues upon which ANCOR has a standing Board-adopted public policy or priority, position, or issues of traditional interest to ANCOR members (housing and zoning, access to health services, community integration).
  - vi. Staff and legal resources.
  - vii. Fiscal resources.
- d. As Initiator of Litigation: The ANCOR Board of Directors shall, upon recommendation by the Executive Committee, make a decision whether to initiate litigation on behalf of ANCOR.

Updated BOD/Governance approved 6/2020

## **B: ANCOR QUALITY PLEDGE**

ANCOR member organizations commit to the following prescribed standards and principles of quality, which apply to the supports provided in the professional relationship with persons supported, parents and guardians of individuals supported, colleagues, related agencies and professions, and the community at large.

In abiding by this pledge, it is understood that the member organization views its obligation in as wide a context as the situation requires, taking all the principles into consideration and choosing a course of action consistent with the spirit and intent by which they were created.

As a member of ANCOR, this organization will:

- Provide supports and services as a public trust that requires integrity, compassion, and respect for individual differences and choice.
- Provide supports and services designed to meet the needs of the individual with emphasis on promoting choice, self-determination, inclusion, growth and development.
- Respect the privacy of persons served and protect the rights of confidentiality.
- Give preference to professional responsibility over any personal interests.
- Advocate for standards that promote outcomes of quality for people.
- Advocate for and provide supports and services that can best assure the health and safety of individuals served.
- Contribute ideas, findings, concepts, understanding, knowledge and practice to the body of community supports; and develop continuing education and expanded knowledge of leading practices in providing supports and services in the field of disabilities.
- Encourage and advocate for the protection of the individual and the community against unethical and/or illegal practices or actions by other individuals or organizations engaged in providing supports.
- Not discriminate because of race, color, religion, age, sex, sexual orientation, disability, or national ancestry, and shall work to eliminate or prevent such discrimination in providing supports.
- Promote inclusion and equitable treatment of all people including those receiving supports; staff, friends, families and the public.
- Serve as a responsible steward for public and private funds.

- Be accountable for statements made with respect to individuals with disabilities and shall distinguish clearly, where appropriate, statements and actions made as an individual and those made as a representative of ANCOR.

Updated BOD/Governance approved 6/2020



## C: ANCOR POSITION STATEMENT ON PEOPLE-FIRST LANGUAGE

### *Resolution Supporting "People First" Language*

**WHEREAS** people are demeaned by the use of labels such as "the mentally retarded," "the developmentally disabled," "handicapped individual;" and by such words as "client," "recipient," resident" and similar terms when used as a label rather than to denote a relationship; and

**WHEREAS** such labels and language are demeaning as these reflect individual and societal values and attitudes which do not give full regard to the dignity and value of each individual; and

**WHEREAS** the use of such labels and language perpetuate stereotypes and create impressions in the minds of policymakers, the general public, professionals, parents and people with disabilities that a person's disability is more important or noteworthy than his/her value and individual dignity; and

**WHEREAS** ANCOR provides leadership in educating policymakers, other professionals and the general public regarding issues affecting people with disabilities; and

**WHEREAS** ANCOR recognizes that though there will always be misunderstanding and misuse of identifying language, it is committed to promoting the highest level of social consciousness and regard for the value and dignity of individuals with disabilities;

**THEREFORE BE IT RESOLVED** that ANCOR, and its members and staff, when representing ANCOR, shall avoid any and all use of labels and language which diminishes the individual dignity of or encourage or perpetuate the demeaning of any person; and

**BE IT FURTHER RESOLVED** that ANCOR and its members and staff, when representing ANCOR, shall, in all written and verbal communication, use language that describes people with disabilities in a manner that recognizes and affirms the value and the individual dignity of all people.

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