



American Network of  
Community Options  
and Resources

SHAPING POLICY • SHARING SOLUTIONS • STRENGTHENING COMMUNITY

# Policy & Procedures Manual

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# **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 “kaizen”
- 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) per year after one year of service (earned at a rate of 12 hours per month beginning at the end of the initial introduction period).
- Four weeks (160 hours) per year after two years of service (earned at a rate of five days per quarter beginning at the end of the 5<sup>th</sup> quarter of regular employment).

#### **Non-Exempt Employees**

- Two weeks (80 hours) per year after one year of service (earned at a rate of eight hours per month beginning at the end of the initial introduction period).
- Three weeks (120 hours) per year after two years of service (earned at a rate of 10 hours per month beginning at the end of the 13<sup>th</sup> month 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, earning leave at a rate of four hours per month beginning at the end of the introductory period for the first year and then at a rate of five hours per month thereafter.

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.

Paid vacation time typically is scheduled in minimum increments of one-half day. When an employee is using vacation pay for an FMLA-covered absence, however, different rules may apply. Check with the Office Manager in these situations to determine how your vacation pay may be applied to such an absence.

Requests for vacation are to be submitted in writing to the Office Manager at least two weeks in advance for approval and after the employee has cleared the leave with their direct supervisor. ANCOR will make every effort to approve vacation leave as requested. However, taking into account business needs, ANCOR will maintain a minimum staffing of three employees. When multiple requests are made for the same leave dates, approval will be given in the order written requests are received by the Office Manager. If more than one request is received at the same time for the last slot available, approval will be based on employee tenure with ANCOR. If minimum staffing is reached, the Office Manager 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 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 and take the substitute day within the same calendar quarter. 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 prorated basis depending on the hours worked.

3. **Use of Sick Leave.** Sick leave may be used for an illness or a doctor or dentist 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 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.
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 days in his or sick leave account.

### **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.** A 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 FMLA leave. 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 Office Manager. 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 preceding 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 at no cost to regular full-time employees who have completed the 60-day introductory period. Regular part-time employees who work at least 30 hours per week may be eligible for this benefit depending on the terms of the policy. Coverage for dependents is provided at the employee's expense.

Information about the health insurance plan and eligibility requirements is available from the Office Manager. 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 from the Office Manager.

## **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 Office Manager.

## **Retirement Plan**

ANCOR provides a 401k Plan. To be eligible you must be a full-time 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, unless they specifically elect out on the enrollment form. The ANCOR 401k Plan will be distributed to each employee and a copy will be on file at the office for reference. Please contact the Finance Manager 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: 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 is a primary concern of the Board of Directors and shall be a primary concern of all officers and directors 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, workshops, courses and seminars
- Subscriptions, sales of professional publications and services
- Advertising, royalties and commissions
- Sponsorship and underwriting of ANCOR activities
- Donations and bequests
- Grants and contracts

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

- Conferences, workshops, courses, and seminars
- Printing and publishing ANCOR publications, membership, program and committee services and activities
- Activities in the areas of professional development, inter-association affairs, education, public affairs, public relations, and future ANCOR growth
- ANCOR headquarters 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 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 and 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 personnel 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 are 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 at any time or enact a contingency plan to protect the finances of ANCOR. This situation could occur, for example, if there were a severe economic downturn. The Board of Directors may also authorize an overrun in a particular expense area in order to accomplish or extend the purposes of that activity.

### ***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 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 Finance Committee, 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.

Subsequent to 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**

#### ***Equipment Assets***

Any piece of equipment that costs \$1,500 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 \$1,500 or more are to be considered capital assets.

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

Capital assets shall be depreciated across their expected useful life-span 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, publication sales, advertising, royalties and conference, workshop and seminar fees.

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

The CEO is delegated the authority to approve fee structures for all conferences, workshops, seminars and related activities to ensure that all direct and indirect expenses are recovered. 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 all responsibility for allocating overhead and indirect cost recovery and for monitoring all unrelated business income. The potential tax liability for unrelated business income requires close scrutiny in appropriately allocating indirect costs.

### ***Investment Income***

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

### ***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 approximately 25-30 percent of unrestricted annual income. Once the reserve objective is reached, 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 approved expenditures from contingency funds.

### ***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. Additionally, ANCOR uses the fund accounting approach, through which ANCOR funds are established for a variety of purposes and with a variety of designations.

### **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:



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.
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 shall be prepared for filing:

1. Annual Tax Returns - It is a requirement of the United States government 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

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

ANCOR will process and store 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 statement 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 a written report to the Finance Committee on the financial condition of ANCOR.

#### **Borrowing**

From time to time it will be necessary for ANCOR to borrow funds from outside sources to fund operations and expansion. This will be necessary because of the seasonality of income from dues, fees and sales, and 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.

In the case of an officer, director or other principal of the association, a full disclosure of any actual or apparent conflict of interest will be made generally known, and the individual concerned will be excused from all involvement in the matter (which means that the individual will not be present when discussions of the subject are held, votes are cast, or business decisions are made).

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.

## **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 pre-approved by the CEO. 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 or hostess.

### ***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.

Frequent flyer miles earned on ANCOR travel accrue to the benefit of the employee. However, travel should be scheduled without regard to personal frequent flyer benefits.

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, en 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.

Long distance telephone calls during travel will be reimbursed by ANCOR if the party called and the ANCOR-related purpose of the call is specified. One call per travel day to home/family is an allowable expense and is not to exceed 15 minutes.

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

### **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.

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.

## **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 Chief Executive Officer (CEO) who will be instructed to follow the policies set forth in this statement.

The Finance Committee has established an Investment Sub-committee 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 Sub-committee will report and make recommendations to the Finance Committee.

The Finance Committee approves the Investment Consultant to advise the Investment Sub-committee 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; 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 Reserve 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; 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 expenditure 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 60% of value in equities and 40% in bonds. However, at any given time, the following ranges of investment allocations are acceptable:

Equities: 40% to 65% of total long-term investment value.

Bonds: 35% to 60% 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 Sub-committee.

### ***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 Sub-committee.

The Investment Sub-committee will periodically review investment statements and benchmarking reports for performance and adherence to the investment policy. The sub-committee 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 Sub-committee 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 Sub-committee.

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**

### **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 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 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 staff members, one being the CEO, will be signatories.

The Director of Finance shall also be responsible for assuring that all checks of \$5,000 and over bear two authorized signatures.

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. This can be done by a telephone call to the bank with written confirmation to follow.

A 'stop payment' shall also be issued for any check written for \$50 or more that is reported lost or stolen.

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

Bank transfers between ANCOR's accounts can be executed by the Director of Finance under the supervision of the CEO. Bank account transfer instructions are to be provided to the bank in person by one of the authorized signatories for that account. All other financial institutions with which ANCOR conducts business may be notified of transfer instructions by phone and are to be followed up with written transfer instructions signed by a signatory.

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 disbursement by check.

### **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 financial 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 Director of Finance 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

the Director of Finance opens and prepares checks and cash for deposit. Detailed deposit slips will be prepared by the Director of Finance. For ANCOR's operating checking account, electronic remote deposits are made by the Director of Finance. Deposits into other accounts will be taken to the bank by a staff member other than the Director of Finance.

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

Credit card transactions will be handled in accordance with the Cardholder Information Security Program. Transaction information will be provided to the Director of Finance who will reconcile it against the credit card statement. This information will be provided to the independent consultant for final reconciliation with the bank statements.

### **Purchasing and Payments**

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

The staff member opening the mail is responsible for directing all incoming bills and invoices to the Director of Finance. The Director of Finance stamps each bill/invoice with the payment account/authorization stamp and 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 particular line item account, they are returned to the Director of Finance for payment. Using the stamp provided, staff members are to provide information on account and class for cost accounting purposes.

Prepared checks are to be matched with invoices and presented to the CEO for signature. Originals of all bills/invoices, regardless of payment type, are to be provided to the CEO and then retained in ANCOR accounting files. If a copy of the invoice is made to submit with the payment to the vendor, care will be exercised to assure that the original of the bill/invoice is retained by the association.

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

#### ***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.

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. 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 and 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 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
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

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 overrides. 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 shall be moved to an archive computer file folder on ANCOR's server and maintained 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 records can be stored offsite. Electronic files are backed up to cloud storage daily.

At the end of the designated time periods, 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 data is backed up to cloud storage periodically throughout the day

## **B: MEMBERSHIP ADMINISTRATION PROCEDURES**

### **Membership Eligibility and Entitlements**

#### ***Full Membership***

Eligibility for full membership is defined as any person, partnership, firm, or corporation which provides and/or coordinates services and/or supports for one or more persons with disabilities that is not owned and operated by a public entity.

ANCOR members are entitled to subscriptions to the LINKS publication, access to the members' only section of the ANCOR website, the Washington Insiders Club Update, and discounts on ANCOR products and services.

The designated representative has right to vote and hold office on either the ANCOR Board of Representatives or the Board of Directors.

Agencies and service providers must confirm their willingness to adhere to the ANCOR Principles and Standards of Conduct. Agencies and service providers must maintain their membership eligibility through the payment of annual dues which are set by the Board of Directors.

Agencies and service providers that have their privilege to provide services to persons with disabilities revoked by a governmental licensing or certification agency will lose their eligibility for full membership in ANCOR.

#### ***Affiliate Membership***

Multi-state or multi-agency providers are given the option to pay for membership for all of their affiliated agencies by combining the total operating expenses for all affiliate agencies when calculating their dues for membership.

The headquarters agency (the one paying the dues) is entitled to all of the benefits of full membership as listed above. The affiliates are entitled to full membership benefits except that their agencies' designated representative cannot run for office on the ANCOR Board of Directors.

Affiliate agencies have the option of paying full membership for their agency. This would entitle them to all of the benefits of full membership, including the ability to hold office on the Board of Directors.

#### ***Associate Membership***

Associate membership is available to parents, Direct Support Professionals, staff and friends of agencies that are full members or associates of ANCOR, consultants, national/regional vendors, suppliers, law firms, licensing/monitoring entities related to but not providing supports and services to people with disabilities, international non governmental organizations who provide supports and services to persons with disabilities or who advocate on behalf of persons with disabilities, public agencies providing services to people with disabilities or universities and education organizations.

Associate status is not open to individuals or agencies that provide residential and other support services to people with disabilities that are eligible for full membership in ANCOR.

An Associate is entitled to all membership benefits listed above but excluding the right to vote and hold office in ANCOR.

### ***State Provider Association Associate Membership***

A State Provider Association associate member is entitled to all membership benefits in the American Network of Community Options and Resources, including a subscription to the E-LINKS publication, but excluding the right to vote. In addition, the state association executive or designee is invited to participate in the ANCOR State Provider Association Executives Forum.

### ***Dues Refunds***

Once paid and processed dues are nonrefundable.

### **Membership Dues Renewal**

#### ***Full and Associate Membership***

Dues renewal notices are sent out in September for the calendar year that begins January 1<sup>st</sup>. Subsequent renewal notices will be mailed every 30-45 days through March. The February mailing of LINKS notifies members that it will be the last issue received until dues are paid.

Non-renewing members will be sent an exit interview in an effort to determine why they are not renewing as well as to gather information on how ANCOR can better serve its members.

### ***State Provider Association Associate Membership***

State Provider Association Associate Membership members receive a formal reminder letter notifying them of any changes in dues structure in September before the next calendar year begins. Formal renewal notices will be sent out in March for the current calendar year. Included in this packet are a letter, a list of renewed members and the dues renewal form. Dues from State Provider Association associate members are due by May 31<sup>st</sup>.

## **Membership Dues**

Background: Dues are assessed on a sliding scale based on total operating expenses as defined: ***Total accumulated costs for prior audited year for supports and services for people with disabilities.***

For Full, Associate and State Provider Membership Dues Structures, please refer to the current years application/renewal form.

## **State Provider Association Dues and Credits**

State Provider Association dues are based on a sliding scale based on total annual operating expenses.

In addition, State Provider Associations receive a \$25 credit for each of their members who are also ANCOR members assessed against total dues.

*\*\*EACH State Provider Association will receive credits for ANCOR members who list more than one state association affiliation.*

## **Formally Designated Representatives of Member Agencies:**

Eligibility to hold elected positions in ANCOR is tied to the designation by each ANCOR member of one “**Formally Designated Representative.**”

- Each member agency has just one designated representative to ANCOR. That is the individual who is eligible to vote and run for/hold office. The member agency identifies this individual on the membership application form.
- For affiliate member agencies whose dues are paid by their corporate office, the formally designated representative for each provider under the parent agency will receive a copy of all ANCOR mailings and be able to vote in ANCOR national elections. The representative will be able to run for and hold office on the ANCOR Board of Representatives or the ANCOR Board of Directors.

## **ANCOR Member Discounts:**

Discounts for ANCOR conferences and publications are provided to:

- Employees of a member agency.
- Employees of all incorporated providers under the corporate umbrella plan. These agencies must be specified by the corporate member and their operating expenses must have been included in the corporate member’s dues calculation.
- Associate members or employees.
- Employees of State Provider Association associate members.

Agencies that are not ANCOR members or included under the umbrella membership through their corporate location can not receive LINKS or other mailings, and are ineligible for these discounts.

# **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.
6. 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 Operation

## REVISED July 2012

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 mega issues (funding, advocacy, innovation/technology).
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. 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.
3. Generative discussion is enhanced by:
  4. enough time to engage in deliberative and generative discussions
  5. a structure for the discussions
  6. small groups in which everyone participates
  7. clear outcomes for the discussions
  8. tools and templates for framing and recording the discussions
9. Performance is enhanced by:
  10. agendas that bring clarity to expected outcomes
  11. more face-to-face meetings (4 per year already planned); using that face time expeditiously
  12. use of generative discussions within committees so the next generation of leaders become familiar with the process
  13. including committee members at Board meetings from time to time for generative discussions

### **2. Speed of decision-making**

1. Decision-making speed varies depending on the type of issue and external deadlines. Issues with a clear deadline (budget-adoption) are made in a timely manner. Issues without a clear deadline can be carried over several meetings.
2. Decision-making is a challenge given the current environment of uncertainty, transformation and chaos. The Board has to deal with rapidly emerging issues, assess risk and opportunity factors, and at the same time paint a clear picture of where the organization is headed.
3. Performance is enhanced by:
  1. respecting board members' time by resisting the temptation to go over the same issues again and again because not all members were in attendance



2. Clarity around agenda: teeing up issues prior to the meetings, making it clear what needs to be done by when, specifying expected outcome.
3. resisting the urge to become embroiled in semantics and word-smithing
4. raising examples of where decision-making is not working
5. resisting the urge to revisit an issue to appease different groups
6. using different decision-making modes (vote, consensus, use of technology) depending on the issue and making it clear at the outset how the decision will be made
7. adopting norms for effective meetings and using reminders (flip chart, table topper) at each meeting
8. Rotate roles of timekeeper; facilitator and process observer among board members at each meeting.

### **3. Engagement of Board Members**

1. Board member engagement will be fostered by---
  1. Advance planning – Meeting calendar is adopted by the year.
  2. Agenda and materials available at least a week before the meeting to allow adequate time for preparation.
  3. Making meeting materials user-friendly so it is clear which items are for information, which for discussion, and which for decision. Much of this is accomplished with the consent agenda.
  4. Assuring that when new Board members are recruited clarity is established around expectations regarding responsibilities, attendance and participation.
  5. A structured on-boarding process for new members, including the assignment of a mentor/buddy for the first year. Assuring a clearly defined role for the mentor/buddy.
  6. Varied opportunities for relationship-building.
  7. Adherence to ANCOR bylaws with regard to poor attendance. Assuring that Board members in violation of the attendance policy are given appropriate feedback.
2. Personal responsibility of Board members includes:
  1. Commitment to a culture of effective communication (basic skills) and holding oneself accountable to these.
  2. Commitment to remaining open to varying points of view.
  3. Making a commitment to fulfilling all responsibilities.
  4. Each Board member is responsible for bringing documents to the meetings (either hard copy or via technology); paper documents will not be provided with the exception of documents that aren't able to be provided one week in advance. Reasonable accommodations will be made for anyone who might need them
  5. Not continuing to hold a Board seat if you cannot meet the expectations.
  6. Board members will be responsible for completing a written evaluation of each board meeting. Questions will be based on overall meeting content and tailored to the desired outcomes of the meeting. The evaluation survey will be electronically distributed by staff.

#### **4. Procedure and process will be enhanced by assuring that---**

- Working with the CEO, the Executive Committee organizes and controls the Board agenda.
- Board will be included in decisions that involve significant risk, liability or financial commitment to the association unless emergency/deadline circumstances dictate otherwise, in which case the Board will be apprised of decisions in a timely manner.
- Board meeting time and involvement will be maximized, keeping in mind the significant value of their time and effort
- Verbal reports are delivered jointly by committee chairs and staff liaisons
- Committee cochairs will be appointed where appropriate
- These norms of operation will be used as a guide by all ANCOR committees/councils/task forces, etc.
- Someone other than CEO prepare meeting summaries.
- All meeting summaries are reviewed and accepted.
- The Board will benchmark its performance based on these norms of operation.

**There is a commitment to regularly review and update these norms and retain their nimbleness of application.**

## **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 position on public policy/government affairs; stewardship; services and provider organization integrity. With regard to “organization integrity,” it is the role of the organization to

provide resources, supports and services that ensure 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 report annually to the Board of Representatives of ANCOR.
- The Board will make available the audited financial reports to members.

### **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 President will determine how significant a suggested change is. If the suggested change does not significantly alter the meaning of the policy, the President will have the authority to either revise or not revise the policy. The 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:
  4. Improper behavior against other Board Members;
  5. Disrespectful actions at Board or committee meetings;
  6. Sexual harassment of Board Members, staff, or volunteers;
  7. Other harassment of Board Members, staff, or volunteers;
  8. Interacting with staff as an employer;
  9. Engaging in illegal activities in the community;
  10. Imposing personal business on the Board, staff, or volunteers;
  11. Acting on behalf of ANCOR or holding oneself out as acting on behalf of ANCOR without Board approval;
  12. 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 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 Board Complaint Resolution Committee (comprised of the Executive Committee) makes 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 Complaint Resolution 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 Complaint Resolution 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 Complaint Resolution 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 Complaint Resolution 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
- 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 conduct an annual self-appraisal to discuss and identify areas and actions for improvement. The self-appraisal will focus on:
  - ✓ Enunciating governing policies and values
  - ✓ The governing process
  - ✓ Policy development
  - ✓ Manner of delegating
- Every three years the Board will review the ability of policy-based leadership to provide organizational effectiveness. This will include a discussion of its continued use or modification.

## **8. Board Composition**

To assure diversity on the ANCOR Board of Directors the following policies are in place:

- No more than two members from one state may serve on the Board of Directors at the same time.
- No more than two members from a single parent agency may serve on the Board of Directors at the same time.

## **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.

## **10. Absences**

Board members will be asked to resign their position if they have three *unexcused* absences within the ANCOR fiscal-year. Monthly Board conference calls are considered bonifide meetings of the Board. Board members with a greater than 50 percent absentee rate for any reason will warrant review by the Executive Committee. Reference ANCOR Bylaws Article V, Section 10.

## **11. Committee Process**

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

- Committee will be set forth with a formal written charge and an appropriate period for existence.
- Member appointments to committees may be made by the President or the Division 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. 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**

Currently three members of 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 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;
- ensuring that new board members receive proper orientation and other necessary training;
- maintaining records of current directors' skills, experiences, and terms of service; and
- ensuring the board and individual board members are evaluated on a regular basis.

## **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 and the current and future dynamic needs of the organization.

Some basic 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;
- team work 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.

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
- The organization's BHAG

### **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 Committees often provide 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.

### **13. Committee Responsibilities**

The real work of the organization takes place in its committees. ANCOR committees may be 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 committee chair, vice chair or ANCOR staff liaison. Appointments are for one year, renewable up to three years. ANCOR members interested in serving in a national committee capacity 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 following each committee meeting.

## **Role of Staff Liaison**

Individual committee chairs and vice chairs implement strategies for achieving stated goals and objectives as delineated in annual business plan. 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 or vice chair; and oversight of ongoing committee communications.

## **Role of Committee Members**

Each committee member will be asked to sign a commitment agreement and abide by the terms of the agreement (*copy included in Appendix A*); 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.

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

ANCOR policy states that formal performance evaluations are conducted at the end of the introductory period. There after, 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, the ANCOR Foundation President and the NAC Chair 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 complete 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.

### **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 is designed to provide diverse measures by which ANCOR's Board of Directors can improve and enhance its governance performance. The assessment is comprised of three components:

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

### **Frequency**

Annual in the fall of each year:

The assessment components will be distributed no later than October 31 of each year by ANCOR staff. Components to be completed and compiled no later than November 15.

The Leadership Development Committee Chair will review and compile a confidential summary of assessments for dissemination to the Executive Committee by December 01 of each year.

Feedback distributed to individual Board members by year-end. 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:

1. Assure that unbonded persons will not have access to ANCOR and client funds.
2. Only acquire, encumber or dispose of real property less than \$10,000 per transaction.
3. Operate with such internal controls that would meet the standards of the appointed auditors.
4. Ensure 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**

### *Conflict of Interest Policy for Board of Directors, Board of Representatives, and Management Staff*

The following policy was adopted by the ANCOR Board of Directors on January 21, 2001.

There exists between ANCOR and its Board, officers and management employees a fiduciary duty which carries with it a broad and unbending duty of loyalty and fidelity. The Board, officers, and management employees have the responsibility of administering the affairs of ANCOR honestly and prudently, and of exercising their best care, skill, and judgment for the sole benefit of ANCOR. Those persons shall exercise the utmost good faith in all transactions involved in their duties, and they shall not use their positions with ANCOR or knowledge gained therefrom for their personal benefit. The interests of the organization must have the first priority in all decisions and actions.

The standard of behavior for ANCOR is that all Board Members and management staff scrupulously avoid conflicts of interest between the interests of the corporation on the one hand, and the personal, professional, and business interests on the other. This includes avoiding potential and actual conflicts of interest, as well as perceptions of conflict of interest.

**PERSONS CONCERNED:** This statement is directed not only to directors and officers, but to all employees who can influence the actions of ANCOR. For example, this would include all who make purchasing decisions, all other persons who might be described as "management personnel," and all who have proprietary information concerning ANCOR.

**AREAS IN WHICH CONFLICT MAY ARISE:** Conflicts of interest may arise in the relations of directors, officers, and management employees with any of the following third parties:

1. Persons and firms supplying goods and services to ANCOR.
2. Persons and firms from whom ANCOR leases property and equipment.
3. Persons and firms with whom ANCOR is dealing or planning to deal in connection with the gift, purchase or sale of real estate, securities, or other property.
4. Competing or affinity organizations.
5. Donors and others supporting ANCOR.
6. Agencies, organizations, and associations which affect the operations of ANCOR.
7. Family members, friends, and other employees.

**NATURE OF CONFLICTING INTEREST:** A material conflicting interest may be defined as an interest, direct or indirect, with any persons and firms mentioned herein. Such an interest might arise through:

1. Owning stock or holding debt or other proprietary interests in any third party dealing with ANCOR.
2. Holding office, serving on the Board, participating in management, or being otherwise employed (or formerly employed) in any third party dealing with ANCOR.

3. Receiving remuneration for services with respect to individual transactions involving ANCOR.
4. Using ANCOR's time, personnel, equipment, supplies, or good will for other than ANCOR approved activities, programs, and purposes.
5. Receiving personal gifts or loans from third parties dealing with ANCOR. Receipt of any gift is disapproved, except gifts of nominal value that could not be refused without discourtesy. No personal gift of money should ever be accepted.

**INTERPRETATION OF THIS STATEMENT OF POLICY:** The areas of conflicting interest and the relations in those areas which may give rise to conflict as listed herein are not exhaustive. Conceivably, conflicts might arise in other areas or through other relations. It is assumed that the directors, officers, and management employees will recognize such areas and relation by analogy.

The fact that one of the interests described herein exists does not mean necessarily that a conflict exists, or that the conflict, if it exists, is material enough to be of practical importance, or if material that upon full disclosure of all relevant facts and circumstances that it is necessarily adverse to the interests of ANCOR.

However, it is the policy of the Board that the existence of any of the interests described herein shall be disclosed before any transaction is consummated. It shall be the continuing responsibility of the Board, officers, and management employees to scrutinize their transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

**DISCLOSURE POLICY AND PROCEDURE:** Transactions with related parties may be undertaken only if all of the following are observed:

1. A material transaction is fully disclosed in the audited financial statements of the organization;
2. The related party is excluded from the discussion and approval of such transaction;
3. A competitive bid or comparable valuation exists; and
4. The organization's Board has acted upon and demonstrated that the transaction is in the best interest of the organization.

Disclosure in the organization should be made to the CEO (or if she or he is the one with the conflict, then to the Board chair), who shall determine whether a conflict exists and is material, and if the matters are material, bring them to the attention of the Board chair.

All directors, officers and management staff shall be required to complete and sign a conflict of interest statement, in the form approved by this Board, prior to taking office or accepting a paid staff position and annually thereafter; and shall have a continuing responsibility to disclose to ANCOR, as soon as any potential conflict is known, such potential conflict of interest arising during their tenure as an officer or director or during their term of employment. The CEO shall keep all conflict of interest statements on file in the corporate records.

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

I, the undersigned member of the ANCOR Board of Directors and management staff, have read and understand ANCOR's conflict of interest policy and agree to be bound by it.

To the best of my knowledge and belief, except as disclosed herein, neither I nor any person or entity with whom I have or had a personal or business relationship is or has been engaged in any activity or has any relationship that may present an actual or potential competing or conflicting interest, as defined in the Conflict of Interest Policy.

Further, to the best of my knowledge and belief, except as disclosed herein, neither I nor any person or entity with whom I have or had a personal or business relationship intends to engage in any transaction that might be proscribed in the Conflict of Interest Policy.

*Please initial in the space at the end of Item A or complete Item B, whichever is appropriate, and sign and date the statement and return it to ANCOR headquarters.*

A. I am not aware of any relationship or interest or situation involving my family or myself which might result in, or give the appearance of being, a conflict of interest between such family member or me on one hand and ANCOR on the other. \_\_\_\_\_(Initials)

B. The following are relationships, interests or situations involving me or a member of my family which I consider might result in or appear to be an actual, apparent or potential conflict of interest between such family members or myself on one hand and ANCOR on the other; \_\_\_\_\_(Initials)

For-profit corporate directorships, positions and employment with:

Nonprofit trusteeships or positions:

Memberships in the following organizations:

Contracts, business activities and investments with or in the following organizations:

Other relationships and activities:

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Type/print name	Signature	Date
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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**

- Clarify ANCOR's vision and mission and ensure it is carried out.
- 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.
- Annually review the performance of the Board (including its composition, organization, and responsibilities) and take steps to improve its performance.

### **Individual Board Member Responsibilities**

- Be fully informed about ANCOR, including its vision, mission, programs and finances.
- Understand the members of ANCOR and their needs, including other key stakeholders.
- 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.

- Stand up for my individual convictions and speak my 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 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 Director**

- 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.

### **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 and 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.
- Oversight 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 BoD meetings and participate on monthly BoD conference calls.
- 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 BoD meetings and participate on monthly BoD conference calls.
- 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 Board 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.
- Initiates and leads the committee's annual evaluation.

**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 ANCOR officers and members of the Board of Directors.
9. Review and approval of ANCOR bylaws proposed changes.
10. Review and advise on ANCOR annual operating budget.
11. Approve position statements and changes in the mission and purposes of the organization.

# **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

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.

Private provider agencies are prohibited from exhibiting at any ANCOR-sponsored functions. Other requests by exhibitors are considered on a case-by-case basis in keeping with ANCOR's principles and values.

## 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 adheres to the following privacy policy for those accessing its web site. ANCOR knows that you care how information about you is used and shared, and we appreciate your trust that we will do so carefully and sensibly. This notice describes our privacy policy. By visiting [www.ancor.org](http://www.ancor.org), you are accepting the practices described in this Privacy Notice.

#### *What this Privacy Policy Covers*

- This Privacy Policy covers ANCOR's treatment of personally identifiable information that ANCOR collects when you are on the ANCOR site, and when you use ANCOR's 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 site.

- This policy does not apply to the practices of companies that ANCOR does not own or control, or to people that ANCOR does not employ or manage.

### ***Information Collection and Use***

- ANCOR collects personally identifiable information when you register for an ANCOR Member's Only account. ANCOR may also receive personally identifiable information from your agency when it joins or renews its membership to ANCOR.
- When you register with ANCOR, we ask for your name, your agency's ANCOR member number and your e-mail 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***

- At this time the ANCOR web site does not set cookies on its users' computers. Should this policy change ANCOR will update its policy page.

### ***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 e-mail to mpatrick@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: PROCEDURE FOR PRESENTING ALTERNATE CANDIDATE OR SLATE**

The name of any alternate candidate or slate of candidates may be placed in nomination with the written support of at least five (5) members of ANCOR. Nominees may be presented prior to or during the meeting of the Board of Representatives at which the election is being held. Annual elections will take place at the meeting held in conjunction with the Annual Membership Meeting.

## **F: 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.

## **G: POLICY ON PUBLIC POLICY PRIORITIES**

### **General**

The Board of Directors will annually identify national issues affecting ANCOR members and establish priorities and positions to 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 and/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.

### **Overarching Principles**

The following overarching principles should be kept in mind when developing the organization's legislative and regulatory priorities:

- The impact of a given federal initiative on member agencies' supports/services to people with disabilities (Minor to Significant---Scale 1 to 5);
- The extent to which organizations other than ANCOR are addressing problems that have arisen in the particular program area (Not addressing to Very Involved--Scale 1 to 5);
- The relative success those other organizations are likely to have in addressing a public policy initiative that affects ANCOR members without ANCOR active involvement (Very Low to Highly Likely---Scale 1 to 5);
- The extent to which ANCOR takes a position similar to that of other national organizations that are advocating for a legislative or regulatory position or change (Similar To to Opposite From---Scale 1 to 5);
- Resources needed to *achieve* desired result (e.g., fiscal, staff time, membership, level of expertise) (Limited to Significant---Scale 1 to 5);
- Resources *available* to achieve desired result (Immediately Available to Requires Additional Resources---Scale 1 to 5).

The scale provided with each principle will enable ANCOR to evaluate for each identified issue the relative importance and degree of attention that should be accorded to each, when considering all factors combined.

Congressional or federal agency activity in an area of importance to private providers that support people with disabilities and which necessitates *immediate* action on the part of ANCOR can override previously identified priorities.

## **H: POLICY ON ACCREDITATION**

### **Role of Voluntary National Accrediting Bodies**

ANCOR recognizes and endorses the role of voluntary national accrediting bodies in enhancing the quality of services provided to citizens with developmental disabilities. ANCOR will continue to actively participate in CARF, The Council on Quality and Leadership, and The Council on Accreditation for Children and Family Services in order to assure that the standards and practices promulgated by these and other accrediting bodies promote the highest level of service and professional practice possible. In addition, ANCOR encourages its members to participate in programs of voluntary accreditation.



# **Section VII**

## **ANCOR Position Statements**

## Section VII: ANCOR Position Statements

**ANCOR has issued position statements on the following: These are available on the ANCOR web site.**

1. Criminal Justice
2. Declaration of Rights
3. Role of Direct Support Professionals
4. Employment of Individuals with Disabilities
5. Employment and Rehabilitation for Persons with Severe Psychiatric Disabilities
6. Statement on Employment Specialists
7. ANCOR Litigation Policy
8. National Alliance for Direct Support
9. Self Advocates Becoming Empowered – Beliefs Statement
10. Terminology
11. Accreditation of Services and Supports for People with Disabilities
12. People First Language
13. Medicaid Reform
14. Sexuality
15. Behavioral Intervention

**ANCOR Position Statement: Criminal Justice**

**Policy:** ANCOR supports the fact that people with and without disabilities have an equitable and constitutional right to justice and fair treatment within the criminal justice system. Further, ANCOR unconditionally opposes the death penalty for persons with mental retardation.

**Position:**

- ANCOR supports and encourages efforts that will strengthen the civil rights of persons with disabilities when they interface with the criminal justice system.
- ANCOR joins with its colleagues at AAMR and ARC in endorsing their joint *Positions Statement on Criminal Justice* dated May 28, 2002.
- ANCOR joins with its colleagues at TASH in endorsing its Resolution Opposing the Execution of Persons Labeled as Having Mental Retardation. (December 2001)

**Further, ANCOR believes that:**

- Persons with mental retardation lack the full level of awareness necessary to understand the consequences of their actions.
- The disabilities that accompany mental retardation are directly relevant to the issue of criminal responsibility and to the choice of punishment for those convicted of crimes because:
  - 1) Mental retardation is a substantial disability which impairs an individual's capacity to fully understand and control his/her actions, and
  - 2) Mental retardation has long been recognized as relevant to the choice of appropriate punishment for crime.
- The degree of reduction in legal blameworthiness caused by a defendant's mental retardation renders imposition of the death penalty unconstitutional because:
  - 1) Punishment by death is reserved for those selected on the basis of their blameworthiness of legal guilt, and
  - 2) The death penalty is disproportionate to the degree of culpability of any defendant with mental retardation.
- The civil rights of persons with disabilities are at jeopardy of eroding in the United States criminal justice system.

Date: March 2003

## **ANCOR Position Statement: Declaration of Rights**

### **Declaration of Rights**

This Declaration of Rights of Persons with Mental Retardation and/or Other Developmental Disabilities is prepared with the full knowledge that we are:

MINDFUL of the pledge of the United Nations to take joint and separate action to promote higher standards of living, full employment, and improved conditions of economic progress and development;

REAFFIRMING faith in human rights and fundamental freedoms, in the principles of peace, dignity, and the value inherent in every human being, and in the full understanding of social justice;

RECALLING principles developed and enunciated by national and international organizations which collectively state principles developing all aspects of the rights of all persons;

EMPHASIZING that this document builds upon others in proclaiming the necessity of protecting the rights and assuring individualized services and habilitation of persons who have mental retardation and/or physical, mental and/or other developmental disabilities;

BEARING IN MIND the need to assist each person to develop his or her potential to the utmost and of promoting to the greatest extent possible, his or her appropriate placement in the continuum of life patterns.

We proclaim, therefore, this Declaration of Rights of Persons with Mental Retardation and/or Other Developmental Disabilities, and we do call for individuals and organizations on the local, national, and international scene to support the common basic fundamentals of this statement which are to develop an attitude for the provision and the protection of these inherent rights.

A person with mental retardation or other developmental disabilities:

- Has the same inherent rights as other human beings, with those rights protected to the maximum degree;
- Has the right to professional services for assessment, diagnosis, medical treatment, housing, advocacy, training, habilitation, and education as determined by informed consent with such evaluations, determinations, and services, subject to self determination, appropriate review and the right of appeal;

- Has the right to the most appropriate services, in the least restrictive setting, that will promote the development of a person's potential to the highest degree possible while assuring the highest level of self dependence;
- Has the right to economic security and the highest possible standard of living;
- Has the right to seek and obtain meaningful and productive work in an integrated work setting, and to be reimbursed equitably;
- Has the right to live in the community, and to be provided with the greatest opportunities for developing bonds with family, friends, and neighbors;
- Has the right to qualified and responsible guardianship to ensure individual rights, personal interests and well-being, if necessary;
- Has the right to protection from exploitation, abuse, neglect, mistreatment and/or degradation of any kind, and has a right to due process of law with full recognition of individual rights and needs;
- Has the right to exercise entitlements in the most meaningful and appropriate manner and to be provided safeguards to prevent any form of abuse through legal and/or human resources, through due process and/or through professional support;
- Has the right to all other entitlements including, but not limited to privacy, confidentiality, communications, voting and sexual relationships.

ANCOR believes federal measures currently in place, which guarantee people with disabilities the same constitutional rights as other Americans, must be protected. These safeguards are critical to ensure that people with disabilities participate fully in society.

We support:

- Section 504 of the Rehabilitation Act
- Federal Fair Housing Act
- Americans with Disabilities Education Act
- The *Olmstead* decision
- The Early Periodic Screening Diagnosis & Treatment (EPSDT) Law
- The Individuals with Disabilities Education Act (IDEA)

Date: Document- October 2002

## **ANCOR Position Statement: Role of the Direct Support Professional**

### **The Role of the Direct Support Professional**

ANCOR believes that Direct Support Professionals play a vital role in ensuring that individuals with disabilities have the tools that they need to be able to live and work in their communities. These valuable front-line workers provide a wide range of supports on a day-to-day basis to individuals. These supports include habilitation, health care, personal care and hygiene, employment, transportation, socialization, recreation, housekeeping and other home management-related assistance. Through stable, long-term relationships, Direct Support Professionals are critical to full community participation for people with disabilities.

ANCOR recognizes that a quality direct support workforce is a critical component to the evolution and implementation of high quality supports that best assure the individual health, safety, satisfaction and healthy lifestyles of persons with disabilities.

ANCOR believes that:

- There is a national workforce crisis.
- There is significant competition for the direct support workforce.
- There is high turnover, low wages and benefits and limited support and training for Direct Support Professionals
- Service providers must be able to recruit, train, support and retain Direct Support Professionals.
- Direct Support Professionals must have access to initial and ongoing training.
- The key to full community participation is directly linked to the availability of a stable and competent workforce.
- A quality workforce is essential to advance America's commitment to community participation for people with disabilities and to personal security for them and their families.

Therefore, ANCOR believes that:

- Direct Support Professionals must be paid a living wage and benefits.
- It must support Legislation that strengthens the role and availability of the direct support workforce.
- It must advocate for the professionalization of the direct support workforce.
- The training needs of Direct Support Professionals change as do those of the people whom they support.
- It must conduct and publish research directed at the direct support workforce in order to increase the number of available workers and to improve the conditions of the current workers.
- Direct Support Professionals must be recognized for the invaluable role they play in people's lives and in the fabric of their communities.

In concert with ANCOR's National Advocacy Campaign, ANCOR endorses:

- The National Alliance for Direct Support Professionals Code of Ethics
- The Direct Support Professional Recognition Act
- United States Department of Labor Human Services Direct Support Professionals Apprenticeship Program

Date: March 2003

## **ANCOR Position Statement: Employment of Individuals with Disabilities**

### **Employment of Individuals with Disabilities**

ANCOR believes that individuals with disabilities who want to work must be supported in doing so, to the extent necessary, as employment is a meaningful component of community life and individual self esteem. Individuals with disabilities must have full and equal access to resources to make informed choices about their employment. Private providers can successfully assist individuals through the provision of quality services and supports available in their communities to obtain and retain employment.

To achieve employment, ANCOR supports:

- Educating and empowering individuals with disabilities to choose where they want to work, based on their own strengths, preferences, interests, and abilities.
- Providing individualized services and supports to meet individual needs, which ensure earning fair and appropriate wages, benefits, and working conditions.
- Removing barriers that create disincentives for people with disabilities to find and maintain community employment.
- Funding that ensures individual choice and individualized services and supports.
- Establishing and maintaining an infrastructure to educate and support individuals with disabilities, providers, employers, families, and students as individuals transition from school to work.
- Creating awareness about the importance of employment of individuals with disabilities within our communities, at all levels of government, and within provider organizations.
- Increasing the awareness among the business community of the inclusion of people with disabilities as part of a diverse work force.
- Ensuring that accommodations, such as assistive technology, are available to support and enhance individuals with disabilities in their chosen work environment.

Approved by Government Relations Subcommittee on Employment 06/16/08

Approved by Government Relations Committee 07/16/08

Approved by ANCOR Board of Directors 08/01/08



## **ANCOR Position Statement: Employment and Rehabilitation for Persons with Severe Psychiatric Disabilities**

**This is a statement prepared by the National Association of State Mental Health Program Directors in which ANCOR shares its beliefs, concerns and goals.**

### Position Statement on Employment and Rehabilitation for Persons with Severe Psychiatric Disabilities

The National Association of State Mental Health Program Directors (NASMHPD) recognizes the fundamental importance of competitive, integrated, paid, and meaningful employment to the quality of life for persons with severe psychiatric disabilities. Chronic unemployment can lead to isolation, poverty, and a diminishing self worth in any adult, hindering efforts at recovery. In addition, one residual effect of chronic unemployment for persons with severe psychiatric disabilities is the perpetuation of homelessness for this population. Therefore, the current high rate of unemployment among people with severe psychiatric disabilities--estimated at 85% or more--must be lowered. The focus should not only be on employment opportunities, but also on habilitation and rehabilitation, including integrated, supported, competitive employment, to better enable individuals with mental illness to participate in the workforce.

The lack of jobs that provide flexibility for adults with serious mental illness is a major barrier to successful community living, a personal loss to people who wish to work, a societal loss to employers and taxpayers, and a barrier to successful recovery for those with mental illness. State mental health authorities should assume a leadership role in significantly increasing the rate of employment among individuals with psychiatric disabilities. Vocational rehabilitation agencies and SMHA's should collaborate and design program linkages and develop a range of employment options to increase rehabilitation opportunities for individuals requiring mental health services. Mental health policy makers should work to maximize the availability of community supports and case management efforts that focus on employment issues early in the rehabilitation process.

NASMHPD supports the goals of the Americans with Disabilities Act of 1990: to eliminate unfair treatment of and discrimination against qualified workers with disabilities, improve access to mainstream resources, and to mandate the assessment of disabled applicants' qualifications with consideration of accommodations and support services. However, we believe the Rehabilitation Act has failed to serve adequately the habilitation and rehabilitation needs of individuals with severe psychiatric disabilities, and should be amended accordingly. We acknowledge employment as an important route to recovery, economic empowerment, and independence for consumers of mental health services. We will work to increase their opportunities to become productive members of American society.

NASMHPD encourages the development of community-based employment services and vocational rehabilitation services that are tailored to meet the needs of persons with psychiatric disabilities and that are governed by individual skills, knowledge, abilities and preferences. Employment support and rehabilitation standards must be flexible to accommodate the episodic nature of mental

illnesses. Effective employment services should offer long-term support both on & off the job in all phases of employment including, but not limited to:

- career planning,
- job goal selection,
- job placement,
- self-presentation in writing and in person during pre-employment screening,
- negotiating reasonable accommodations,
- acquiring specific job skills,
- obtaining transportation & clothing appropriate to the work setting,
- estimating how earnings will impact entitlements such as SSI, SSDI, Medicaid & Medicare,
- education in using existing Social Security Administration work incentive programs to greatest advantage,
- establishing positive relationships with co-workers and supervisors,
- assistance in changing jobs,
- job retention assistance,
- supported education, and
- consumer-run enterprises.

Effective rehabilitation services must view successful rehabilitation for individuals with mental illness differently than for others. While vocational rehabilitation agencies frequently define successful rehabilitation as leading to full-time competitive employment, the VR system should adapt to the needs of all individuals with severe psychiatric disabilities, whether or not they are in a stage of recovery that enables them to engage in full-time employment. The VR system should acknowledge the different needs and preferences of individuals with varying degrees of psychiatric disability. Such individuals should have access to the full range of choices, including volunteer and part-time work, full-time competitive employment and advanced training and education. Rehabilitation policies should provide incentives for rehabilitation agencies to coordinate their efforts with SMHA's and effectively serve individuals with psychiatric disabilities. While the focus of mental health has grown from removing and controlling symptoms to building active life roles and activities in institutional and community settings, state vocational rehabilitation systems must be encouraged to keep pace with this change.

Employment support must be an integral component of comprehensive community support programs. State mental health agencies should collaborate with state vocational rehabilitation agencies, consumers, family members, mental health professionals, private businesses, taxpayer groups, and other advocates to: focus existing public & private resources (such as the state/federal vocational rehabilitation program and state services for unemployed citizens) to better serve persons with psychiatric disabilities; expand supported employment opportunities; re-direct public funds away from segregated day programs and toward community-based employment programs; and reduce the disincentives still present in SSI/SSDI policies for recipients returning to work. Employers must be educated about the potential of persons with psychiatric disabilities to become valued workers. NASMHPD recognizes the disincentive to work created by flaws

in the benefit structures of the SSI and SSDI programs and the risk posed by the potential loss of Medicaid benefits for those entering the workforce. Ultimately, the structure and availability of such benefits and the availability of adequate and appropriate private mental health insurance coverage will significantly impact many individuals' prospects for recovery and successful integrated, competitive employment.

NASMHPD believes that the growth of managed care both makes it necessary and provides an opportunity to more fully integrate employment and recovery goals with service delivery. State mental health agencies should work to develop tools for appropriate evaluation of plan success in moving covered individuals into employment or partial employment settings. In addition, SMHA's and other appropriate state agencies should examine the potential for cost effective cooperative agreements with managed care organizations to coordinate treatment, rehabilitation and vocational services.

Date: October 2002

## **ANCOR Position Statement: Statement on Employment Specialists**

### **Position Statement on Employment Specialists**

ANCOR believes that Employment Specialists (also known as Job Developers, Job Coaches, and/or Vocational Trainers) are key to individuals with disabilities succeeding in their chosen employment. Employment Specialists should possess a variety of skills and qualities – both learned and innate – to assist the individual(s) they support in training for, obtaining, and retaining employment. While the needed skill sets and qualifications may vary according to state, provider agency, and individual(s) supported, ANCOR believes that qualified Employment Specialists should possess the following:

- Personal qualities including, but not limited to, self-confidence, energy, imagination, flexibility, and self-motivation;
- Formal education and training including, at minimum, a high school diploma or equivalent;
- Informal training or experiences that lead to skill development and/or enhanced understanding of the services and supports necessary and available for the employment of individuals with disabilities;
- Respect for the individual(s) to whom services and supports are provided; and,
- Desire to assist individuals in reaching their employment goals.

Essential to the provision of such services and supports are:

- Appropriate wages and benefits to encourage the recruitment and retention of qualified Employment Specialists;
- Appropriate training to promote skill development in the performance of duties; and
- Funding mechanisms that support appropriate wages, benefits, training, administration and stability in employment programs.

Date: February 2003

# ANCOR Position Statement: ANCOR Litigation Policy

## ANCOR Litigation Policy

### I. As an *Amicus Curiae* (Friend of the Court) in a case.

#### A. **Level I Priority: In cases before the U.S. Supreme Court.**

ANCOR’s Director for Public Policy, in consultation with the CEO and where possible with the Vice President for Policy, will review requests and make a determination 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 purpose, and values.
- 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 Cleberne case).
- 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) No fiscal expenditure for ANCOR.
- viii) Concurrence with Department of Justice position.

#### B. **Level II Priority: Requests for ANCOR to join *Amicus Curiae* (Friend of the Court) in U.S. Federal Court of Appeals.**

ANCOR will consider on a case-by-case basis requests to join as an *amicus* in cases before U.S. Federal Court of Appeals. ANCOR’s Director for Public Policy, in consultation with the CEO and where appropriate with the Vice President for Public Policy, will review requests and make a determination on whether to join using the above criteria.

#### C. **State Lower Federal Court Cases:** It is ANCOR’s policy not to join as an *amicus* in cases below the federal appellate level.

### II. 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.

- A. **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 purpose, and values.
  - 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.
  
- B. **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.

Date: June 2003

## **ANCOR Position Statement: National Alliance for Direct Support Professionals**

ANCOR supports the National Alliance for Direct Support Professionals code of ethics.

### National Alliance of Direct Support Professionals Code of Ethics

Direct Supports Professionals (DSP) who support people in their communities are called upon to make independent judgments on a daily basis that involve both practical and ethical reasoning. The people who assume the support role must examine and call upon values and beliefs, as well as creative vision, to assist them in the complex work they perform.

A primary purpose of the DSP is to assist people who need support to lead self-directed lives and to participate fully in our communities and nation. This emphasis on empowerment and participation is critical because the prejudices of society form powerful barriers that prevent many people with mental or physical disabilities from enjoying a high quality of life. And, too often, the very social policies and service systems designed to help can create other barriers.

Therefore, it must be the mission of the DSP to follow the individual path suggested by the unique gifts, preferences, and needs of each person they support, and to walk in partnership with the person, and those who love him or her, toward a life of opportunity, well-being, freedom, and contribution. Unfortunately, there have been no set criteria to guide these journeys as there are for other professional groups (such as doctors, nurses, service coordinators, and social workers) who have intimate knowledge of and responsibility for another person's emotional, financial, or physical being. There is no other position today in which ethical practice and standards are more important than direct support. DSPs are often asked to serve as gatekeepers between people needing support and almost every aspect of their lives, including access to community, personal finances, physical well-being, relationships, employment, and everyday choices. The whole landscape of a person's life can change with the coming and going of these critical support people.

As a result of these work duties, DSPs face ethical decisions on a daily basis and consistently feel the tension between the ideals of the profession and its practice. There are numerous pressures coming from organizations, government, social policy, and societal prejudice that can shift focus and allegiance away from those supported. In order to maintain the promise of partnership and respect that must exist in a helping relationship, a strong ethical foundation is critical to help DSPs navigate through the maze of influences that bombard them.

This issue has led to the efforts on the part of the National Alliance for DSPs to identify the kinds of ethical situations that DSPs face and to develop a set of

ethical guidelines. The NADSP convened a national panel of DSPs, advocates, families, professionals, and researchers who constructed this code of ethics. Focus groups and surveys regarding the draft language were conducted throughout the country and were integrated to create the final code. This Code of Ethics is intended to serve as a straightforward and relevant ethical guide, shedding some light on the shared path to a self-directed life. It is intended to guide DSPs in resolving ethical dilemmas they face every day and to encourage DSPs to achieve the highest ideals of the profession.

The skills and knowledge of community support practice must be joined with the ethical principles to create the environment needed to fully support people. To do so effectively, we must all work toward recognizing DSPs as professionals who have skills, knowledge, and values that constitute a unique and important profession. There must be a commitment to hiring, developing, and supporting DSPs who have a healthy sense of their own worth and potential, and the worth and potential of the people they support, and who can infuse these beliefs into practice. DSPs themselves must know that it is part of their role to foster a spirit of cooperation and mutual responsibility with other DSPs regarding ethical practice.

DSPs, agency leaders, policymakers, and people receiving services are urged to read the Code and to consider ways that these ethical Statement can be incorporated into daily practice. The beliefs and attitudes that are associated with being an effective human service professional are the cornerstones of this code. This code is not the handbook of the profession, but rather a roadmap to assist us in staying the course of securing freedom, justice, and equality for all.

### **1. Person-Centered Supports**

As a DSP my first allegiance is to the person I support; all other activities and functions I perform flow from this allegiance.

#### **Interpretive Statement**

As a DSP, I will:

Recognize that each person must direct his or her own life and support and that the unique social network, circumstances, personality, preferences, needs and gifts of each person I support must be the primary for guide the selection, structure, and use of supports for that individual.

Commit to person-centered supports as best practice.

Provide advocacy when the needs of the system override those of the individual(s) I support, or when individual preferences, needs or gifts are neglected for other reasons.

Honor the personality, preferences, culture and gifts of people who cannot speak by seeking other ways of understanding them.

Focus first on the person, and understand that my role in direct supports will require flexibility, creativity and commitment.

### **2. Promoting Physical and Emotional Well-Being**

As a DSP I am responsible for supporting the emotional, physical, and personal well-being of the individuals receiving support. I will encourage growth and



recognize the autonomy of the individuals receiving support while being attentive and energetic in reducing their risk of harm.

### **Interpretive Statement**

As a DSP, I will:

Develop a relationship with the people I support that is respectful, based on mutual trust, and that maintains professional boundaries.

Assist the individuals I support to understand their options and the possible consequences of these options as they relate to their physical health and emotional well-being.

Promote and protect the health, safety, and emotional well-being of an individual by assisting the person in preventing illness and avoiding unsafe activity. I will work with the individual and his or her support network to identify areas of risk and to create safeguards specific to these concerns.

Know and respect the values of the people I support and facilitate their expression of choices related to those values.

Challenge others, including support team members (e.g. doctors, nurses, therapists, co-workers, family members) to recognize and support the rights of individuals to make informed decisions even when these decisions involve personal risk.

Be vigilant in identifying, discussing with others, and reporting any situation in which the individuals I support are at risk of abuse, neglect, exploitation or harm.

Consistently address challenging behaviors proactively, respectfully, and by avoiding the use of aversive or deprivation intervention techniques. If these techniques are included in an approved support plan I will work diligently to find alternatives and will advocate for the eventual elimination of these techniques from the person's plan.

### **3. Integrity and Responsibility**

As a DSP I will support the mission and vitality of my profession to assist people in leading self-directed lives and to foster a spirit of partnership with the people I support, other professionals, and the community.

### **Interpretive Statement**

As a DSP, I will:

Be conscious of my own values and how they influence my professional decisions.

Maintain competency in my profession through learning and ongoing communication with others.

Assume responsibility and accountability for my decisions and actions.

Actively seek advice and guidance on ethical issues from others as needed when making decisions.

Recognize the importance of modeling valued behaviors to co-workers, persons receiving support, and the community at-large.

Practice responsible work habits.

### **4. Confidentiality**

As a DSP I will safeguard and respect the confidentiality and privacy of the people I support.

**Interpretive Statement**

As a DSP, I will:

Seek information directly from those I support regarding their wishes in how, when and with whom privileged information should be shared.

Seek out a qualified individual who can help me clarify situations where the correct course of action is not clear.

Recognize that confidentiality agreements with individuals are subject to state and agency regulations.

Recognize that confidentiality agreements with individuals should be broken if there is eminent harm to others or to the person I support.

**5. Justice, Fairness and Equity**

As a DSP I will promote and practice justice, fairness, and equity for the people I support and the community as a whole. I will affirm the human rights, civil rights and responsibilities of the people I support.

**Interpretive Statement**

As a DSP, I will:

Help the people I support use the opportunities and the resources of the community available to everyone.

Help the individuals I support understand and express their rights and responsibilities.

Understand the guardianship or other legal representation of individuals I support, and work in partnership with legal representatives to assure that the individual's preferences and interests are honored.

**6. Respect**

As a DSP I will respect the human dignity and uniqueness of the people I support. I will recognize each person I support as valuable and help others understand their value.

**Interpretive Statement**

As a DSP, I will:

Seek to understand the individuals I support today in the context of their personal history, their social and family networks, and their hopes and dreams for the future.

Honor the choices and preferences of the people I support.

Protect the privacy of the people I support.

Uphold the human rights of the people I support.

Interact with the people I support in a respectful manner.

Recognize and respect the cultural context (e.g. religion, sexual orientation, ethnicity, socio-economic class) of the person supported and his/her social network.

Provide opportunities and supports that help the individuals I support be viewed with respect and as integral members of their communities.

**7. Relationships**

As a DSP I will assist the people I support to develop and maintain relationships.

**Interpretive Statement**

As a DSP, I will:

Advocate for the people I support when they do not have access to opportunities and education to facilitate building and maintaining relationships.

Assure that people have the opportunity to make informed choices in safely expressing their sexuality.

Recognize the importance of relationships and proactively facilitate relationships between the people I support, their family and friends.

Separate my own personal beliefs and expectations regarding relationships (including sexual relationships) from those desired by the people I support based on their personal preferences. If I am unable to separate my own beliefs/preferences in a given situation, I will actively remove myself from the situation.

Refrain from expressing negative views, harsh judgments, and stereotyping of people close to the individuals I support.

**8. Self-Determination**

As a DSP I will assist the people I support to direct the course of their own lives.

**Interpretive Statement**

As a DSP, I will:

Work in partnership with others to support individuals leading self-directed lives.

Honor the individual's right to assume risk in an informed manner.

Recognize that each individual has potential for lifelong learning and growth.

**9. Advocacy**

As a DSP I will advocate with the people I support for justice, inclusion, and full community participation.

**Interpretive Statement**

As a DSP, I will:

Support individuals to speak for themselves in all matters where my assistance is needed.

Represent the best interests of people who cannot speak for themselves by finding alternative ways of understanding their needs, including gathering information from others who represent their best interests.

Advocate for laws, policies, and supports that promote justice and inclusion for people with disabilities and other groups who have been disempowered.

Promote human, legal, and civil rights of all people and assist others to understand these rights.

Recognize that those who victimize people with disabilities either criminally or civilly must be held accountable for their actions.

Find additional advocacy services when those that I provide are not sufficient.

Consult with people I trust when I am unsure of the appropriate course of action in my advocacy efforts.



## **ANCOR Position Statement: Self Advocates Becoming Empowered Beliefs**

ANCOR supports the Self Advocates Becoming Empowered beliefs statement.

- People with disabilities should be treated as equals.
- People should be given the same decisions, choices, rights, responsibilities, and chances to speak up and empower themselves.
- People should be able to make new friendships and renew old friendships just like everyone else.
- People should be able to learn from their mistakes like everyone else.

Date: June 2003

## **ANCOR Position Statement: Terminology**

**ANCOR will consistently use the term “disability/disabilities” in ANCOR position statements when referring to the people we support.**

ANCOR will consistently refer to paid people who support people with disabilities in their communities as **“direct support professionals.”**

Date: June 2003

## **ANCOR Position Statement: Accreditation of Services and Supports for People with Disabilities**

### **Position on Accreditation of Services and Supports for People With Disabilities**

The American Network of Community Options and Resources (ANCOR) recognizes and endorses the role of voluntary national and international accreditation organizations in improving the quality of services and supports provided to citizens with disabilities.

ANCOR endorses nationally recognized standards of best practice and quality and believes that accreditation is a statement to payers, people with disabilities and the communities that an organization has complied with nationally recognized standards of best practice and quality.

In advocating for the continued growth and responsiveness of voluntary accreditation, ANCOR will continue to actively collaborate with CARF, the Council, and The Council on Accreditation (COA) in order to assure that the standards and practices promulgated by these and other accrediting bodies promote the highest level of service, supports and professional practice possible. In addition, ANCOR encourages its members to participate in programs of voluntary accreditation.

ANCOR seeks to forge partnerships with critical stakeholders committed to continuous quality improvement in order to develop:

- A framework that will sustain contemporary values of quality over time, in services and supports for people with disabilities, with the result that the people being supported will be pleased with their lives and less dependent upon others
- Services and supports which will not allow people to suffer abuse, neglect, mistreatment, exploitation, or unsafe conditions
- Stakeholder roles in the context of an outcome-oriented process emphasizing easy access by each person to services and supports with:
  - Preference for training and technical assistance, rather than sanctions to enhance quality
  - A focus on person-centered, rather than facility-based, inputs and processes
  - A focus on personal outcomes, rather than provider inputs and processes
  - Respect for personal choice of services, supports and providers
  - Recognition of personal satisfaction as a measure of quality, which will
    - (1) assure mutual feedback among partners
    - (2) be different for different people at different times and places
    - (3) be an effective and efficient use of resources

In this context, "partners" in quality improvement will include those who:

- Receive services and supports
- Provide services and supports, both directly and indirectly

- Are:
  - (1) parents/guardians and significant others
  - (2) payers of services and support costs
  - (3) advocates (personal or systemic)
  - (4) regulators (in their new role)
  - (5) politicians/policymakers and
- Those who represent:
  - (1) the community at large
  - (2) local, county, state and federal governments
  - (3) professional organizations
  - (4) others with interest in high quality services and supports for people with disabilities

ANCOR shall develop a major partnership related to quality improvement with national accreditation/quality improvement organizations whose standards and principles are compatible with ANCOR's and whose purposes and activities reflect ANCOR's concerns about the quality of effort in community services and supports for people with disabilities. As deemed appropriate by the ANCOR Board of Directors, formal affiliation with such organizations may be approved or denied on an ongoing basis.

Date: June 2003



**ANCOR Position Statement: “People First” Language**Resolution Supporting "People First" Language

**WHEREAS** people may perceive that they 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 often perceived as being 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 may 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 may be perceived as diminishing 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.

Date: June 2003

## **ANCOR Position Statement: Medicaid Reform**

### **Ancor Statement and Principles on Medicaid Reform**

The Medicaid program plays a critical role in providing necessary supports and services to 47 million Americans in 2002, including 11 million individuals with disabilities – 7 million of whom are under age 65. Medicaid is the primary financing mechanism for health and long-term services for people with disabilities. Through its Federal/State partnership in the financing and delivery of services, Medicaid is also the major funding source for reimbursing providers of long-term supports and services to people with mental retardation and other disabilities. It is ANCOR's top priority to advocate for protecting and strengthening Medicaid as the critical safety net for people with disabilities.

ANCOR believes that the following overarching principles should guide any Medicaid reform:

- The Federal government must maintain its historic role financing the safety net for people with mental retardation and other disabilities and must assure adequate reimbursement rates for long-term supports and services.
- Medicaid financing must not be cut nor should reforms be used as a means of balancing the Federal budget.
- Any Medicaid reforms should be driven by the goals of enhanced coverage, quality, and adequate reimbursements; increased efficiency; decreased waste and fraud; and the delivery of services that meets the individual needs of people with disabilities.
- Neither people with disabilities nor their providers should bear the burden of efforts to contain the costs of Medicaid, nor should savings be exacted from Medicaid that place individuals or providers at undue risk.
- Medicaid waivers should not be used to diminish Federal protections for individuals or providers.
- Medicaid financing must not be cut nor should reforms be used as a means of balancing state budgets.

In addition, ANCOR adheres to the following principles regarding Medicaid reform.

#### **Sound Infrastructure with Adequate Provider and Workforce Capacities**

→ Federal Medicaid policy must be based upon sound service and support infrastructures that include: (a) coordination of natural, generic and specialized supports as needed and desired by individuals; (b) adequate provider capacity; and (c) a stable, quality, and competitively compensated workforce.

## **Ensure Federal Entitlement with Comprehensive Benefits, Adequate Financing and Quality**

- The Federal entitlement to Medicaid must be maintained, guaranteeing a Federal definition of disability and Federal requirements for eligibility, timely access to supports and services, quality standards, individual and provider protections, and a private right to action.
- Any revisions in current Federal law must maintain the vital Federal role that Medicaid now plays in financing supports and services for individuals with mental retardation and other disabilities.
- The delivery of long-term supports and services must be closely coordinated with the provision of primary and preventive health care services to individuals with mental retardation and other disabilities.
- Financing long-term supports and services for individuals with mental retardation and other disabilities must remain a distinct, identifiable role of the Federal-State Medicaid program in every state.
- Federal Medicaid policy must ensure the safety and health of individuals with mental retardation and other disabilities, including adequate reimbursements based on actual costs to ensure that sufficient funding for wages are available; cover the costs of quality enhancement, recruitment, retention and training of a quality workforce; and Federal oversight.
- Individuals with disabilities must not be burdened with inequitable and disproportionate costs that limit their access to supports and services and any cost sharing must preserve the individual's ability to meet the expenses of their other life necessities.

## **Individual Supports with Active Individual and Provider Involvement**

- Long-term supports and services for individuals with mental retardation and other disabilities must be tailored to each individual's unique needs.
- Individuals with disabilities and their families are essential voices in determining the supports and services an individual receives.
- Providers (and other stakeholders) must be guaranteed meaningful, active participation in the design, negotiation, implementation, monitoring and evaluation of Medicaid long-term supports and services.

## **Community Inclusions, Investment and Maximizing of Resources**

- Medicaid must promote full implementation of the Olmstead decision, self-sufficiency, broad opportunities for community inclusion, and the exercise of full citizenship rights by individuals with mental retardation and other disabilities.
- The institutional bias in Federal Medicaid policy and financing must be eliminated with home and community based services authorized as a mandatory part of each state's plan and adequate financing to support this policy emphasis.
- Medicaid must be utilized to address the growing backlog of unmet service needs and eliminate waiting lists.
- Any reforms that produce Medicaid savings in long-term supports and services must be reinvested to meet the unmet needs of individuals with mental retardation and other disabilities.
- States must maximize their state resources and increase the proportion of total Medicaid expenditures devoted to community options.



## **ANCOR Position Statement: Sexuality**

**People with disabilities, like all people, have inherent sexual rights and basic human needs. These rights and needs must be affirmed, defended, promoted, and respected.**

**ISSUE:** For years individuals with disabilities have been thought to be asexual, having no need for loving, fulfilling relationships with others. Individual rights to sexuality, which is essential to human health and well being, have been denied. This loss has affected them broadly in gender identity, friendships, self-esteem, body image and awareness, emotional growth, and social behavior. At the same time, coercion related to sexual participation and forced participation in sexual activity are issues for peoples cognitive limitations.

**POSITION:** The presence of a disability regardless of severity does not, in itself, justify loss of rights related to sexuality. Every person shall have the right to exercise choices regarding sexual expression and social relationships.

All people have the right to:

- Interpersonal relationships
- Dignity and respect
- Sexual expression
- Information in order to make informed decisions, specifically including such decisions as having and raising children
- Protection from sexual harassment; physical, sexual, and emotional abuse; exploitation; and involuntary sterilization
- Choices related to birth control
- Privacy, confidentiality, and freedom of association

Date: June 2003

## **ANCOR Position Statement: Behavioral Intervention**

*The American Network of Community Options and Resources (ANCOR) has viewed with concern the proliferation in recent years of published articles espousing the value of aversive*

*behavior intervention procedures. We believe that the use of punishing, physically painful, emotionally frightening and deprivational techniques is in conflict with the right of people with disabilities to be free from harm, exploitation, abuse and degrading treatment.*

**Research over the past 30 years has confirmed the efficacy of positive behavioral methods, including the use of positive interventions, in shaping socially productive behaviors as well as the efficacy of environmental manipulations in extinguishing behaviors that are detrimental to individuals in society.**

Thus, ANCOR takes the position that:

- Supports and services should be provided in programs and environments that are free from chemical restraints (pharmacological in lieu of positive intervention), environmental deprivation (environments that are not generally acceptable to persons without disabilities) and aversive stimuli (including corporal punishment, electric shock or automatic electric shock devices).
- Environments should be free from conditions that promote maladaptive behavior.
- Behavioral interventions must be provided in the context of positive programming including systematic and longitudinal training of meaningful behavior to replace behavior which may be socially nonproductive.
- Behavioral interventions that withhold regular meals, essential nutrition and hydration, intentionally inflict pain, use chemical or other restraint in lieu of positive programming; or which involve the employment of techniques which produce physical or psychological pain, humiliation or discomfort must be eliminated.
- Contingency-based treatment options which result in any of the following reactions must cease to be implemented: (a) repulsion or stress exhibited by peers and community members who have no disability; (b) rejection as unacceptable for persons without disabilities or as irreconcilable with accepted community standards; (c) side-effects such as illness, severe physical or emotional stress, or tissue damage, whether potential or actual.
- Interventions designed to alter behavior must be devised and applied in a caring, humane and dignified manner with the ultimate goal of individual self-actualization and increased opportunities for increased self-determination, personal choice and independent action.
- Behavioral interventions must be based on positive techniques in normal environments designed to develop and maintain socially productive individual activity; and must be monitored systematically to ensure consistency with individual needs, preferences and the successful achievement of established goals.

Date: February 2002

**ANCOR Position Statement: Position on Aging**

- Values and respects older Americans and the role that they play in our society, local communities and in our families.
- Believes that older Americans should be accorded the same rights and choices and given the same dignity and respect as other Americans.
- Supports the continued authorization and implementation of the Older American Acts of 1987.
- Recognizes that as all people get older many of their needs change.
- Recognizes that some conditions of life do not change nor is there a desire for certain conditions to change on the part of people who are aging or their loved ones.

- Believes that older Americans can continue to live productive, inclusive lives in their communities.
- Believes that older Americans should be free of all types of discrimination.
- Believes that older Americans should be free of all types of mistreatment, abuse, neglect and exploitation.
- Believes that certain long-term stability and consistency throughout one's lifetime is highly conducive to a promotion of mental and physical wellness, prevention, quality of life, and extended life.
- Believes that, as people age, they tend to require a more intensive level and extensive array of supports than in their younger days. This has significant considerations and implications for service providers who support individuals who are aging and changing. Individuals who are aging and agencies and individuals who support those persons are faced with many important decisions surrounding the continuation of those supports.
- Believes that, people should be able to die in their own home, if they choose.
- Believes that, people should be able to retire if they choose.
- Believes that, people should be able to make end of life decisions through being supported to make Advanced Directives and that guardianship status does not necessarily relate to capacity to make or be involved with making Advanced Directives.
- Believes that people should have properly trained service providers, family members, health care professionals, and significant others in their lives who are capable of understanding and meeting their changing needs.
- Believes that people should be supported to make wills, including living wills and advanced directives, if they choose.

Therefore, ANCOR encourages its members who support adults to:

- Take the position that they will make a solid commitment to support individuals who come into our support and service system throughout their life-span, if those individuals and/or significant others choose that continuation of support. This commitment carries with it a mandate to continue supporting people by assuring that providers:
  - Prepare their staff, people supported, and their family members for implications of the aging process and that they assist them throughout this transition time.
  - Assist people to make choices while they are young that will best support their aging needs later on, where possible.
  - Develop and offer supports that will meet the medical, social, recreational, housing, spiritual, and psychological needs faced by members of the older generation.
  - Engage in planning that will result in an ability to support people through the life span.
  - Maintain a leadership and governing body that are educated about the unique corporate risks and benefits associated with supporting older people.
  - Have employees at all levels of the organization who advocate for the services and supports necessary to support older people.
  - Have leadership that plays an aggressive role in the State and Federal public policy arena in advocating high quality adequate services for older people.
  - Revisit their organizational structure and make changes that are necessary to accommodate an aging population.
  - Implement the person-centered, individualized planning process at all stages of the life cycle.
  - Advocate for legislative and social policy to provide adequate financial resources that people need as they age.





## **ANCOR Position Statement: Recognizing the Need for Accessible Transportation for People with Disabilities**

WHEREAS, Americans with disabilities seek and are entitled by law to full participation in all of American life, and,

WHEREAS, Access to transportation is essential to enable Americans with disabilities to live full lives in their communities, and

WHEREAS, The Americans with Disabilities Act addresses provision of accessible transportation for Americans with disabilities, and

WHEREAS, More than half a million Americans with disabilities never leave their home due to the lack of accessible transportation, and

WHEREAS, Americans with disabilities who work and contribute to the local economy depend upon obtaining accessible transportation, and

WHEREAS, Americans with disabilities are four times more likely than the general population to experience difficulty obtaining accessible transportation, and

WHEREAS, when traveling, Americans with disabilities often face barriers and other challenges related to the environment, infrastructure, inaccessible vehicles and unknowing transportation personnel that alone and in combination severely limit their mobility, and

WHEREAS, ANCOR has a long and distinguished history of pursuing and supporting public policy and legislation and conducting education, technical assistance and research focusing on increasing community opportunities for Americans with disabilities, and

WHEREAS, ANCOR is committed to creating opportunities for all Americans with disabilities to live life as independently as possible,

**BE IT THEREFORE RESOLVED: THAT** we, ANCOR acknowledge and accept our commitment to continue working to expand the availability and use of safe, accessible, reliable, efficient and affordable transportation for and by Americans with disabilities at the local, state, regional and national levels throughout the United States.

Date: June 2005

## **ANCOR Position Statement: Self-Direction**

ANCOR believes that freedom of choice is a basic human right.

ANCOR believes all people should be empowered to make informed choices and to have both the authority and the responsibility to control their own decision-making with respect to all aspects of their lives including the supports and services they receive or desire, to the full extent of their ability.

ANCOR believes that all people have the right to assert his or her preferences in every aspect of their life.

ANCOR recognizes that there is not a universally accepted or understood definition for the term 'self-direction'.

Therefore, ANCOR will use the term 'self-direction' to describe the concepts stated in this position.

### **ANCOR believes that:**

- Any final decision about whether an individual will participate in self-directed activity must be made by the person and/or his/her family.
- People served must be directly involved with the development, administration and evaluation of all public and private policies that relate to self-direction.
- All people are able to and should exert direction over their own life to the maximum extent possible.
- Self-direction can occur in any living environment.
- Self-direction is a key to full community participation.
- Successful self-direction requires prior information and ongoing support.
- Self-directed supports and services can assist people served to realize their unique dreams and desires and have greater control over their own destiny.
- Self-direction should be based on person-centered planning or other similar person-centered assessment, planning and implementation strategies.
- Self-direction is inclusive of a broad range of individual life choices and should not be limited to one aspect of a person's life. It should include individual choices and control in the areas of employment, transportation, housing, socialization, medical treatment, leisure, religious and spiritual activity, financial management, support staff, etc.
- People served must be supported to vote, to be included on community and agency boards, to develop self-advocacy skills and groups, and to develop leadership skills.
- It must identify and strive to eliminate legal, financial, regulatory, health and safety, and other barriers to self-direction.

ANCOR believes that full and true self-direction must be accomplished based on certain fundamental principles:

## **SUPPORTS**

- Development of supports and services in a manner that assures that the individual and/or his/her family will be adequately educated and assisted to make informed choices.
- Collaborative, leading practice support and technical assistance from people who receive supports and services, professionals, funders, families, researchers, and other stakeholders.
- Ability of all people to choose their support system although it may not be his/her family.

## **QUALITY ASSURANCE**

- People engaged in self-directed lifestyle must be supported in a manner that assures acceptable quality of life.
- Self-direction must not present undue risk. Individual risks faced by people supported and providers must be proactively identified, managed and respected by all relevant stakeholders. Where practical, risk should be shared.
- Compliance with legal, regulatory, financial, health and safety standards.
- Benchmarking, establishment of quality performance markers, and measurement and analysis of outcomes.
- Development and use of customer satisfaction tools that seek input from people supported and family members as well as other stakeholders.
- Equitable expectations for all public and private entities providing management and/or delivery of self-directed supports and services.
- Required monitoring reflective of existing levels of customer satisfaction, quality assurance, risk management and accountability.

## **RESOURCES**

- Maintenance of high quality supports and resources that have been developed over the past years.
- Availability of an adequately trained, paid, retained and supported workforce to assist people to achieve their goals.
- Adequate financial resources without unrealistic dependency on family, natural and/or other unpaid supports.
- Financial resources that would ordinarily be available under traditional funding mechanisms to aid in the fulfillment of individual goals and aspirations.

Date: October 2007