

# Prevention Works! Policies

## **Policy 1      Roles and Responsibilities of Task Force Committees**

1. Task Forces are established by the Board of Directors for a specific purpose and/or a defined period of time and serve in an advisory capacity to Prevention Works!
2. Task Forces develop proposed work plan and budget, which must be submitted to the Board of Directors for approval. All expenditures must be specified in approved budget proposal.
3. Committee must create timelines to achieve committee objectives.
4. Chair must be duly elected by the Task Force and appointed by the Board becoming a member of the Board of Directors of Prevention Works!
5. Chairperson reports monthly to the Board of Directors.

Accepted by PW! Board of Directors May 2, 2008; updated July 28, 2015

## **Policy 2      Authorization of Signatories and Unbudgeted Expenditures**

1. Signatories.
  - a. Authorized signatories shall be the Chairperson, Chairperson Elect, Treasurer and Secretary.
  - b. Additional signatories shall be approved by the Board of Directors if needed.
  - c. All checks and other expenditures require the approval and signature of two (2) of the authorized signatories.
  - d. Following each annual election, the Board will formally approve signatories.
  - e. Authorized spending limits:
    1. \$20-\$150 Approval of two officers
    2. \$150-\$500 Approval of majority of Executive Committee
    3. \$500 and over Approval of Board of Directors

Accepted by PW! Board of Directors May 2, 2008; updated July 28, 2015

**Policy 3      Endorsement requested by other organizations**

1. Written request (one page only) should be submitted to Chairperson of Prevention Works! at least two weeks prior to endorsement deadline.
2. Requests for endorsement must include:
  - a. Name of organization sponsoring the program/project/event.
  - b. Address, phone, e-mail, name of person submitting request and contact person.
  - c. Deadline date endorsement is needed.
  - d. Brief description of program/project/event.
  - e. Reason for requesting endorsement.
  - f. Identified sources of funding for project.
  - g. How the proposal/project/ events meets the mission of PW!
3. Approval process:
  - a. All requests must be consistent with mission of Prevention Works!
  - b. All requests will be reviewed by Board of Directors, at regularly scheduled meeting. When an expedited review is required review may be done via telephone or e-mail conference with the Executive Committee at the discretion of the Chair
  - c. A simple majority vote approves the endorsement request.
  - d. Endorsement actions by the executive committee will be reported at the next Board of Directors meeting.
  - e. Endorsement may be given to more than one agency applying for the same grant.
  - f. The contact person will be notified no later than one week after the Prevention Works! decision.
  - g. Request denial may not be appealed.

Accepted by PW! Board of Directors May 2, 2008; updated July 28, 2015

**Policy 4      Request for Unbudgeted Funds**

1. Requests for any unbudgeted funds are to be submitted in writing to the Prevention Works! chairperson not less than two weeks prior to the board meeting at which the request will be discussed. A written request should include the answers to the following:

- a. Who is requesting the funds?
  - b. How does the request fit Prevention Works! mission?
  - c. What is the amount requested? When is the funding needed by? When will the funding will be used?
  - d. What are the goals of your request and the funding?
  - e. What is your total budget (including match amounts)?
  - f. How will you evaluate the use of the funding?
  - g. How will the use of funds benefit the citizens of Clallam County?
2. Funding parameters:
- a. Prevention Works! will pay for expenses only (no per diem).
  - b. All reimbursements will be based on appropriate documentation.
  - c. All documentation, including receipts, of expenditures will be submitted within 30 days to the Prevention Works! Treasurer.
3. Reporting: Approved recipients will send a written summary to the Prevention Works! Chairperson within 30 days of expenditure, which should include the answers to the following:
- a. Was your goal achieved?
  - b. How were the funds used (including number of attendees if applicable)?
  - c. How did the use of funds benefit or will benefit Clallam County?
  - d. What are the results of your evaluation?
  - e. Were there any unanticipated results, information, or experiences which the funding facilitated?
4. If the individual was not able to accomplish the activity (due to circumstances within their control), funds shall be paid back to Prevention Works. Unforeseen circumstances which prohibited accomplishment will be handled on an individual basis.

Accepted by PW! Board of Directors July 28, 2009; updated July 28, 2015

**Policy 5      Conflict of Interest**

1. PURPOSE

The purpose of this Conflict of Interest Policy is to protect the interests of Prevention Works! in any transaction or arrangement that might benefit the private interests of any Covered Person, as defined below. This Policy provides 1. a mechanism for disclosing and evaluating potential and actual conflicts; and 2. procedures for the Board of Directors in considering any transaction or arrangement where a conflict may exist.

## 2. PERSONS COVERED BY THE POLICY

This policy applies to “Covered Persons,” defined as any Prevention Works! director, officer, member of any committee of Prevention Works!’ Board of Directors that has authority to act on behalf of the Board of Directors. This policy also covers staff, interns, volunteers who act on behalf of the organization.

DUTIES of covered persons:

- a. Duty of Care. Every Covered Person shall perform his or her duties for Prevention Works! in good faith and with the degree of care that an ordinarily prudent person would exercise under similar circumstances.
- b. Duty of Loyalty. Every Covered Person must act with loyalty to Prevention Works!, meaning that no Covered Person may use his or her position with Prevention Works! to make personal profit or gain other personal advantage. No Covered Person may personally take advantage of a business opportunity that is offered to Prevention Works! unless the Board of Directors determines (after full disclosure and a disinterested and informed evaluation) not to pursue that opportunity.
- c. Conflicts of Interest. No Covered Person may engage in any transaction or arrangement or undertake positions with other organizations that involve a conflict of interest, except in compliance with this Policy. Covered Persons should avoid both actual conflicts and the appearance of conflicts of interest. Every Covered Person shall:
  - i. Disclose all actual and potential conflicts as set out below at Section 5; and
  - ii. Recuse himself/herself from voting on any transaction or arrangement in which he/she has a potential or actual conflict of interest, and shall not be present when any such vote is taken.

## 3. CONFLICT OF INTEREST

- a. Potential Conflict. A Covered Person may have a conflict of interest with respect to a transaction or arrangement whenever he or she, or any of his or her family members:
  - i. Receives compensation or other funding directly or indirectly from Prevention Works! and the transaction or arrangement involves such compensation or funding;
  - ii. Has or anticipates having a compensation arrangement with any entity or individual that either: (a) sells goods or services to, or purchases services from Prevention Works! or (b) has any other transaction or arrangement with Prevention Works!;
  - iii. Has or anticipates having any ownership interest, investment interest, or serves or anticipates serving as a director or officer of, any entity that either: (a) sells goods or services to, or purchases services from Prevention Works!; or (b) has any other transaction or arrangement with Prevention Works!; or
  - iv. Has accepted any gift, entertainment, or other favor where such acceptance might create the appearance of influence on the Covered Person (other than gifts of nominal

value, which are clearly tokens of respect and friendship unrelated to any particular transaction).

- b. No Conflict. A Covered Person does not have a conflict of interest if the Covered Person owns securities of a publicly traded company with which Prevention Works! has a transaction or arrangement if:
  - i. Such securities are less than 5% of the outstanding securities of the publicly traded company; and
  - ii. Their fair market value is less than 5% of the Covered Person's annual gross income.

#### 4. DISCLOSURE AND EVALUATION OF CONFLICTS

Inevitably, in small communities, conflicts of interest arise. Prevention Works! acknowledges this and encourages disclosure and discussion so all are aware and informed.

- a. Disclosure. Each Covered Person shall promptly and fully disclose all material facts of every actual or potential conflict of interest:
  - i. Existing at the time when he/she becomes a Covered Person;
  - ii. That arises while he/she is a Covered Person, at the time such actual or potential conflict arises.

All disclosures involving a transaction or arrangement being considered at a meeting of the board or a committee shall be made to all members present at such meeting. All other disclosures shall be made to the President (who shall disclose his or her conflicts to the Board of Directors).

- b. Evaluation. The President shall disclose to the Board of Directors all conflicts of interest reported to him or her under this Policy. The Board of Directors will evaluate the disclosures to determine whether they involve actual conflicts of interest and may attempt to develop alternatives to remove the conflict from the situation.

#### 5. PROCEDURES FOR ACTING ON CONFLICT OF INTEREST TRANSACTIONS

- a. Formal Approval. Prevention Works! may enter into a transaction or arrangement in which a Covered Person has a conflict of interest if:
  - i. The Covered Person has disclosed the conflict of interest in accordance with this Policy; ii. A majority of directors who have no interest in the transaction or arrangement approve the transaction or arrangement at a board or committee meeting after determining, in good faith and after reasonable investigation, that the transaction or arrangement is fair and reasonable to Prevention Works! and is in Prevention Works!' best interest;
  - iii. Any Covered Person who has an actual or potential conflict with respect to the transaction or arrangement does not participate in and is not present for the vote regarding any such transaction or arrangement (provided, however, that any such

Covered Person may appear at a meeting to answer questions concerning the transaction or arrangement); and

- iv. The Board of Directors relies upon appropriate comparability data, such as an independent appraisal or an independent compensation study, in reaching its determination as to the fairness and reasonableness of the transaction or arrangement to Prevention Works!.

- b. Transaction Fair to Prevention Works!. It shall not be a violation of this Policy if all the requirements for formal approval, outlined above, are not satisfied, so long as the transaction or arrangement is in fact fair to Prevention Works!, furthers its tax-exempt purposes, and does not result in inurement, impermissible private benefit, or an excess benefit transaction under laws applicable to organizations exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code.

## 6. RECORDS OF PROCEEDINGS

- a. Content of Minutes. The minutes of the Board of Directors or any committee of the board for any meetings described above shall contain:
  - i. The names of the persons who disclosed an actual or potential conflict of interest or otherwise were found to have a conflict of interest, and the nature of the conflict of interest; and
  - ii. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement considered and the appropriate comparability data relied upon, and a record of any votes taken.
- b. Timing. The minutes of any meeting described above shall be prepared by the next meeting of the Board of Directors or committee, or 60 days after the final action on the matter is taken by the Board of Directors or committee.

## 7. ENFORCEMENT

Each Covered Person shall sign a statement acknowledging that he or she has received a copy of this Policy, has read and understands it, and agrees to comply with it. Violation of this policy will result in immediate dismissal.

## 8. ANNUAL REVIEW OF POLICY

This Conflict of Interest Policy shall be explained and reviewed by the Board of Directors and Task Forces and Committees annually, not later than the end of the first quarter of the fiscal year.

The Annual Conflict of Interest Policy shall be reviewed and signed by all Prevention Works! officers, directors, and members of committees of the Board of Directors authorized to act on behalf of the Board, and employees, volunteers and interns.

I HAVE READ AND UNDERSTAND THE FOREGOING CONFLICT OF INTEREST POLICY. I AGREE TO ITS TERMS. MY ACTIONS HAVE BEEN AND WILL BE GUIDED THEREBY.

Please note any areas of potential conflict or questions about Conflicts of Interest you may have here:

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

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

Approved PW! Board of Directors 8/25/2015 **Policy 6**      **Record Retention**

Agency records are an important history of agency transactions with clients, vendors, creditors, grantors, contract managers, employees, and the public. Each employee who maintains records must become familiar with this policy. Record retention policy should be guided by legal requirements, potential relevance of records in litigation, and by the needs of the organization. These records should be maintained and available to resolve questions that may arise in the future.

Records should be easily accessible to authorized personnel. Records must be maintained in accordance with the below recommended periods. Certain circumstances involving pending or potential litigation may require an extension of time for record retention. Legal counsel should be consulted prior to discarding documents that may be subject to an extended retention period.

<b>ACCOUNTING</b>	<b>RETENTION PERIODS</b>
Accounts Payable Ledger	7 years
Accounts Receivable Ledgers	7 years
Audit Reports	Permanent
Bank Deposits & Statements	3 years
Bank Deposit Tickets - duplicate	1 year
Bank Reconciliation's	3 years
Chart of Accounts	Permanent
Check Register	7 years
Cancelled Checks (important payments)	Permanent
Cancelled Checks (unimportant payments)	7 years
Credit History	Permanent
Expense Reports	7 years
Financial Statements	Permanent

General Ledgers	Permanent
Internal Audit Reports	5 years
Inventories (of products, materials, and supplies)	7 years
Invoices: Customers & Vendors	7 years
Journals	Permanent
Equipment Cost Ledgers	7 years
Profit & Loss Statements	Permanent
Subsidiary Ledgers	7 years
Tax Returns	Permanent
Travel Expense Reports	3 years
<b>AGENCY RECORDS</b>	<b>RETENTION PERIODS</b>
Annual Reports	Permanent
Contracts, Leases and Agreements	Permanent
Correspondence – General	3 years
Correspondence - Legal & Tax	Permanent
<b>GRANTS</b>	<b>RETENTION PERIODS</b>
Grantee Award Records	3 years
Grantor Award Records	3 years
<b>INSURANCE</b>	<b>RETENTION PERIODS</b>
Insurance Policies	3 years
Insurance Records: Claims & Policies	Permanent
Insurance Safety Reports: Fire & OSHA	7 years
<b>PERSONNEL</b>	<b>RETENTION PERIODS</b>
Accident Reports, Claims and Statements	Permanent
Disability & Illness Reports	3 years
Staff Application & Promotion Records	3 years
Staff Termination Documentation	3 years
Staff Time Records	7 years
Training Manuals	Permanent
W-2's/1099s	Permanent

Approved PW! Board of Directors 8/25/2015 **Policy 7** **Whistleblower**

If any contractor or volunteer reasonably believes that some policy, practice, or activity of Prevention Works! is in violation of law, a written complaint must be filed by that person with the Board Chairperson.



It is the intent of Prevention Works! to adhere to all laws and regulations that apply to the organization and the underlying purpose of this policy is to support the organization's goal of legal compliance. The support of all contractors and volunteers is necessary to achieving compliance with various laws and regulations. An employee is protected from retaliation only if the contractor/volunteer brings the alleged unlawful activity, policy, or practice to the attention of Prevention Works! and provides Prevention Works! with a reasonable opportunity to investigate and correct the alleged unlawful activity.

The protection described below is only available to contractors/volunteers who comply with this requirement. Prevention Works! will not retaliate against an employee who in good faith, has made a protest or raised a complaint against some practice of Prevention Works!, or of another individual or entity with whom Prevention Works! has a business relationship, on the basis of a reasonable belief that the practice is in violation of law, or a clear mandate of public policy.

Prevention Works! will not retaliate against employees/contractors/volunteers who disclose or threaten to disclose to a chairperson or a public body, any activity, policy, or practice of Prevention Works! that the contractor/volunteer reasonably believes is in violation of a law, or a rule, or regulation mandated pursuant to law or is in violation of a clear mandate or public policy concerning the health, safety, welfare, or protection of the environment.

My signature below indicates my receipt and understanding of this policy. I also verify that I have been provided with an opportunity to ask questions about the policy.

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

Approved PW! Board of Directors 8/25/2015

**Policy 8      Social Media Policy - DRAFT**

1. *Overview: Prevention Works! will maintain a website and Facebook page. Both platforms will be used to promote prevention activities and share information that supports our mission. More specifically, the website and FB page will be used as follows:*
  - a. *Website – Community Members:* Information on community partners, local events/trainings, and links to more information on specific topics
  - b. *Website – Professionals:* Information on best practices, new research about Prevention activities, professional development training and opportunities;
  - c. *Website – List Serve/Email Subscribers:* The target audience for the list serve is the professional community. Information shared through the website “newsletter” function will be similar to the information posted on the area of the website dedicated to professionals: best practices, professional development opportunities, trainings, new research, grant opportunities, etc.

- d. *Facebook – Community Members/Parents*: The page will share information on parenting, child development, and local events.
2. **Content:** Prevention Works! will highlight its own programs as appropriate, but will mainly share information from trusted, reputable sources.
  - a. Prevention Works! will give full credit to these sources for their work and follow all copyright laws.
  - b. Board members will share information with the Prevention Works! Contractor that may be appropriate for the Website and/or Facebook page.
  - c. Information on fundraising events hosted by other organizations involved in the world of children and parenting may be shared.
3. **Frequency Goals:**
  - a. Facebook: two to five posts per week; at least two posts must include parenting tips.
  - b. Website – Email List: One to three emails per week
4. **Responsible Parties:**
  - a. The Prevention Works! Contractor will monitor, update and post on the PW! Facebook and website accounts.
  - b. Two additional individuals will be listed as Administrator of the PW! Facebook and website accounts: the current Board Secretary and the current Board Accounts Manager.
5. **Confidentiality:**
  - a. Contractors and Board members shall not post confidential information on *Prevention Works!* social media or their own personal social media accounts. This includes financial information, legal matters, organizational internal strategies, campaign benchmarks, unreleased advertising or promotions, internal processes or methodologies, circulating rumors, colleagues or members personal information.
  - b. Persons posting or commenting on behalf of Prevention Works! are to respectfully and professionally represent the organization, adhere to the terms and conditions of any third-party sites, and take full responsibility for their communication.
6. **Controversial Issues:**
  - a. If Board members or Contractors see misrepresentations about Prevention Works! in the media, they may point that out.
  - b. Board members and Contractors will always respond with respect and with the facts, and try to avoid arguments.
  - c. When appropriate, efforts will be made to move potentially controversial discussions to private messaging to avoid public arguments.
  - d. Comments on Facebook posts may also be turned off if necessary.