



# Policy Manual

## Policy Statement:

A nonprofit's bylaws are considered a legal document that dictates how the organization must be governed and should not be changed frequently. The boards of voluntary and non-profit organizations normally govern by establishing policies. A policy is any written statement approved by the board that:

1. Articulates and defines important objectives, principles or values
2. Limits or prescribes what kind of action will be taken in different situations
3. Defines roles, responsibilities and authority

Key areas for policy setting:

1. Organizational mission, objectives and values.
2. Role and responsibilities of the board and committees.
3. Board decision-making and meeting practices (usually covered partially by by-laws).
4. Conflict of interest and Board member conduct.
5. Role, responsibilities, and authority of the President.
6. Financial management and fundraising (including ethical considerations).
7. Personnel, hiring and other human resource practices.
8. Treatment of members, directors and the public.
9. Advocacy and public education.
10. Accountability to members, stakeholders and community (may be partially addressed by by-laws in references to annual general meeting and annual financial report).

## Current Policy:

### 1) CEU Committee Charter:

- a) CEU Committee Contributors are appointed by the board. It is the expectation of the board that contributors will participate on a regular basis, provide notice of absence prior to convening for regular business and follow OESAC bylaws and policies.
- b) Failure to fulfill the board's expectations of contributors provides grounds for dismissal.
- c) The board requires that CEU Committee Contributors abstain from voting on courses that they present or sponsor.
- d) Guests are welcome to attend regular CEU Committee meetings but will not vote on course relevancy.

### 2) CEU Applications

- a) Evaluation Requests must be received by the first of the month, prior to the month of the scheduled start of the training.
- b) Applications and course materials will only be accepted in hard copy form.
- c) Applications that are not completed per the application instructions will be rejected until inaccuracies are resolved. The type of CEU's that are being requested must be designated on the form.
- d) Fees: To ensure approval prior to the course, applicants must submit the request no later than the first of the month prior to the month of the scheduled start of the training.
  - i) Failure to submit applications by the aforementioned deadlines will incur a fee double the initial fee.
  - ii) Evaluation fees for each course submitted are \$75 for the first ten (10) hours of instruction.
  - iii) An additional fee of \$10 an hour for hours of instruction in excess of the first ten (10).
  - iv) All fees must be received before CEU's are awarded.

- e) If the course is intended to meet professional growth requirements for water or wastewater system operators, or onsite installers and maintenance installers the sponsor should indicate how the topic meets the relevancy criteria. Guidance materials are provided for water and wastewater in [Attachment A](#) and or [Attachment B](#).
  - f) Once the course has been reviewed a letter of determination will be sent to the course contact.
- 3) CEU Appeals:
- a) All appeals must be received in writing by the CEU administrator 5 days prior to a scheduled CEU committee meeting. The appeal must clearly state the issue to be appealed and the reason for the disagreement sent to OESAC.
  - b) If an individual attends a committee meeting to appeal, the individual will be heard before regular business and then dismissed for voting.
  - c) No rebuttals of the final CEU determination will be heard.
- 4) Board Meeting Attendance:
- a) Individuals not on the Board of Directors may attend board meetings as observers, but have no voting authority. Testimony is limited to the specified agenda items unless formally requested.
  - b) Guest speakers may be solicited by the board. A guest speaker will be added as an agenda item for the meeting and will be approved case by case.
  - c) Guests may request to have a topic on the board meeting agenda prior to the scheduled meeting.
  - d) Agenda requests for guests/speakers must be submitted for vote at least 7 days prior to the Board meeting.
  - e) Approvals for agenda additions may be vetted electronically. Approval consists of a majority responding, 'yes', within three business days.
- 5) Monetary Disbursements:
- a) One staff member and two board directors will have signature authority to make monetary disbursements.
  - b) The staff/CEU administrator has signature authority for disbursements up to \$250.
  - c) Individual Board Directors have signature authority for disbursements up to \$2000.
  - d) Disbursements over \$2000 require Board approval.
- 6) Conflict of interest:
- a) The board has reviewed and adopted the IRS conflict of interest policy. ([Attachment C](#))
- 7) Meeting schedule
- a) Meeting schedules are submitted and approved in the November meeting of the OESAC board meeting.
  - b) Special board meetings must be called to vote at least 7 days prior.
  - c) Approvals for special meetings may be vetted electronically. Approval consists of a majority of Directors responding, 'yes', within three business days. A majority of officers must approve within three days as well.
- 8) Records retention ([See Attachment D](#))
- 9) Whistleblower protection ([See Attachment E](#))

## **Attachment A: Water Certification Continuing Education for Operators**

Oregon Drinking Water Services (DWS) administers the certification program for drinking water system operators. All community and non-transient non-community water systems must be under the supervision of a certified operator. Trained and certified operators are necessary to ensure that the systems are managed in a manner that fully protects public health and the environment.

Water systems with 150 or more connections require certification at levels 1-4 in either treatment and/or distribution.

In order to qualify for the renewal of an Oregon water operator certificate, the operator must provide evidence of training and continued professional growth. The Oregon Environmental Services Advisory Council (OESAC) regularly reviews conferences and training classes, and awards CEUs to those offerings that are suitable for our profession. A list of these classes with pre-approved CEUs is maintained at the OESAC website, located at [www.oesac.com](http://www.oesac.com). Operators are encouraged to select training with CEUs pre-assigned by OESAC to ensure the training selected will result in creditable CEUs for the operator.

If the training you are interested in has not been pre-reviewed by OESAC, DWS recommends that you submit the course description, agenda, and related materials to the Op Cert program for review prior to attending. CEUs will not be awarded for attending a training class that does not meet Oregon's CEU standards.

### Acceptance Criteria for Drinking Water CEUs

Water system operators certified in Oregon are required to maintain their knowledge and skills through the acquisition of 2.0 CEUs within each certification period. A minimum of eighty percent (16 hours or 1.6 CEUs) must be comprised of technical, managerial, or financial capacity topics, as outlined in OAR 333-061-0260 (see below). The remaining twenty percent (4 hours or .4 CEUs) are discretionary, and may include any general training topics. Operators are encouraged to work with their supervisors to select training that meets the specific needs of their water systems as well as their own professional development goals.

As defined in OAR 333-061-0260, CEUs for specialized operator training shall be accepted from the following categories at the discretion of OHA:

Technical capacity: water treatment facilities construction and performance, source construction and protection, capacity, storage, pumping and distribution facility construction and protection, water distribution integrity/leakage and water quality issues related to public/user health.

Managerial capacity: water system operation, planning, system governance, development and implementation of system policies, professional support, record keeping, drinking water and related regulations to insure protection of public health, communication and involvement with water users.

Financial capacity: adequacy of revenues to meet expenses, revenue sources, affordability of user charges, rate setting process, budgeting, production and utilization of a capital improvement plan, periodic financial audits, bond ratings, debt and borrowing.

DWS uses the Association of Boards of Certification (ABC) Need-to-Know criteria for treatment and distribution exams when determining whether a specific training meets the above requirements and are eligible to receive CEUs. For specific information regarding the types of training that will be accepted, refer to the most recent version of the ABC Need-to-Know Criteria for Distribution and Water Treatment Operators, which are located on the Operator Certification Website:

<http://public.health.oregon.gov/HealthyEnvironments/DrinkingWater/OperatorCertification/Levels1-4/Pages/renewal.aspx>

## **Attachment B - Wastewater Relevancy Guidelines for Continuing Education and the Professional Growth of Wastewater Operators**

In order to qualify for the renewal of an Oregon wastewater operator certificate, the operator must provide evidence of training and continued professional growth. The accumulation of two *Continuing Education Units* (CEUs) once every two years in relevant subject matter is considered satisfactory evidence of professional growth. The Oregon Environmental Services Advisory Council will evaluate all CEU course training and, if appropriate, assign wastewater CEUs to valid training and specify if the CEUs are relevant to the certification of wastewater system operators. One CEU equals 10 hours of training or education. OESAC may award general CEUs, but only those CEUs approved for wastewater will be accepted by the DEQ wastewater certification program for the purpose of certificate renewal.

### **ABC Exam Need-to-Know Criteria:**

**The Oregon Wastewater Operator Certification program exclusively uses the national ABC standardized exam for all certification grades and types. Therefore, the evaluation for wastewater CEU relevancy will predominantly follow ABC Need-To-Know criteria with a few exceptions and as explained below.**

### **Using the ABC Need-to-Know Criteria:**

**OESAC will use the Need-to-Know criteria based upon the following hierarchy: 1) Blueprint areas/core competencies, 2) Blueprint sub-categories, and lastly, 3) Required Capabilities. Content that corresponds to “required capabilities” will not be as conclusive as blueprint areas and blueprint sub-categories. The blueprint sub-category cannot be N/A for two or more certificate classes (I-IV), or else the criteria will be viewed as inconclusive for evaluation purposes.**

### **When content is not identified by ABC Need-to-Know Criteria:**

**When a course’s proposed content cannot be found in the ABC Need-to-Know criteria, the content will be discussed with wastewater operator Subject Matter Experts (SME’s) present at the OESAC meeting. If the content’s relevancy remains inconclusive, the content will not be awarded CEUs. Instead, the approval of such content will rest upon the course sponsor to submit an appeal with justification of the content’s relevancy for the Council to reconsider at a subsequent meeting.**

**The governing regulation for determining relevancy for wastewater operators is Oregon Administrative Rule, OAR 340-049. While the OAR does not exhaustively list what content is “relevant,” it does provide the following definition:**

*"Operator" or "Wastewater System Operator" means any person engaged in the routine on site performance of duties, tasks and responsibilities in the operation of a wastewater treatment system or a wastewater collection system. This term does not include officials, managers, and engineers, directors of public works or equivalent whose duties do not include the actual "hands-on" operation or supervision on site of wastewater system facilities or operators.*

If the course content under evaluation does not make evident how it benefits “operators” as defined above, it will not be awarded OESAC wastewater CEUs.

### **Exceptions to the ABC Need-to-Know Criteria:**

**When existing Oregon statute, rule, regulations, the scope of the DEQ wastewater operator certification program does not allow for approval, or the scope of another state agency program precludes approval of course content under evaluation, this content will not be**

awarded OESAC wastewater CEUs even if the content is supported by ABC Need-to-Know criteria.

**Exceptions to the ABC Need-to-Know Criteria:**

When existing Oregon statute, rule, regulations, **or** the scope of the DEQ wastewater operator certification program does not allow for approval, or the scope of another state agency program precludes approval of course content under evaluation, this content will not be awarded OESAC wastewater CEUs even if the content is supported by ABC Need-to-Know criteria. **NOTE re: Backflow: Backflow courses will be approved for HALF of the number of wastewater CEUs that the same course is approved for drinking water CEUs based on content and contact time (e.g. if a sponsor submits a 6 hour backflow course that is approved for 0.6 drinking water CEUs, 0.3 CEUs will be approved for wastewater; CEUs are rounded down, if applicable, e.g. 0.5 backflow DW CEUs = 0.2 backflow WW CEUs).**

**Academic Credit Hours (non-CEU courses):**

The operator in some instances may submit academic transcripts as non-CEU courses along with the course descriptions directly to the DEQ Operator Certification program for pre-approval. When these documents are received, DEQ will determine if the course(s) have relevancy for wastewater operators. The approval for academic credit hours (non-CEU) should be obtained directly from DEQ *in advance* of attending the academic transcribed course, *and* in advance of submitting a renewal application form to DEQ. These academic credits hours described here are the non-CEU “hours of credit” referenced in OAR 340-049-0040(1)(b).



**CONFLICT OF INTEREST POLICY  
FOR  
OREGON ENVIRONMENTAL SERVICES ADVISORY COUNCIL**

**ARTICLE I  
PURPOSE**

The purpose of the conflict of interest policy is to protect the tax-exempt interest of Oregon Environmental Services Advisory Council when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of the Organization or might result in a possible excess benefit transaction. The purposes of this policy are to ensure that directors, officers and key employees act loyally to the corporation and that the people who exercise substantial influence over the corporation do not use their influence to obtain benefits in excess of fair market value in transactions with the corporation. This policy seeks to ensure that the corporation maintains high ethical standards and observes state and federal law concerning conflicts and excess benefit transactions. This policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interests applicable to nonprofit and charitable organizations.

**ARTICLE II  
DEFINITIONS**

1. **Conflict of Interest.** A conflict of interest arises when an Interested Person (defined below) may benefit financially from a transaction with or by the organization, including direct or indirect benefits to family members or businesses with which the Interested Person is closely associated. A conflict of interest arises in any such transaction between the corporation and an Interested Person, except for:

- A. Transactions in the normal course of operations that are available to the general public under similar terms and circumstances, and
- B. Expense reimbursements to an Interested Person made pursuant to an accountable plan under I.R.S. Regulations.

2. **Interested Person. An Interested Person includes any of the following:**

- A. Insider.** Any person who is in a position of authority over the corporation or who exerts substantial influence over the corporation, including directors, officers, key management employees such as the Executive Director and the Chief Financial Officer and other key employees, the founders of the corporation, and major donors, or a member of an Executive Committee with governing board delegated powers, who has a direct or indirect financial interest, as defined below. An insider described in this section remains an insider for five years after their influence over this corporation ends.
- B. Family Members.** Family members of insiders are also Interested Persons. Family members include a spouse, a partner in a civil union recognized by state law, or a person in a significant relationship living with an insider; children, grandchildren and great-grandchildren; whole and half-blooded siblings; the spouses of any of these people; and parents, grandparents and great-grandparents.



**C. Entities.** An entity in which a director is an insider, as defined above, is an Interested Person. Corporations and limited liability companies in which an insider owns more than 5% of the voting power, partnerships in which the insider owns more than 5% of the profits, and trusts or estates in which the insider owns more than 5% of the beneficial interest are Interested Persons.

**D. Other Nonprofits and For-Profits.** Another nonprofit or for-profit entity is an Interested Person if:

- (1) One of the directors of this organization is also a director or officer or the other entity, and
- (2) This organization and the other entity are engaged in a transaction that is significant enough that the transaction is, or should be, approved by the boards of both organizations.

**3. Financial Interest.** A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:

**A.** An ownership or investment interest in any entity with which the Organization has a transaction or arrangement,

**B.** A compensation arrangement with the Organization or with any entity or individual with which the Organization has a transaction or arrangement, or

**C.** A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Organization is negotiating a transaction or arrangement.

3.1 Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

**4. Conflicts that Fall Outside of Scope of Definition.** The board recognizes that this policy may not describe all of the transactions or arrangements which an Interested Person, or an individual or business closely connected with an Interested Person, may enter into with the corporation that creates divided loyalties, or the possibility or perception of a conflict of interest, or of unfair advantage to the other party. In such cases, the board shall determine whether the transaction should be treated as a conflict of interest under this policy or should otherwise be scrutinized. A financial interest is not necessarily a conflict of interest. Under Article IV, Section 2, a person who has a financial interest may have a conflict of interest only if the appropriate governing board or committee decides that a conflict of interest exists.

### **ARTICLE III PROHIBITED CONFLICTS**

**1. Loans to Directors or Officers.** The organization cannot make a loan or guarantee an obligation to, or for the benefit of, any of its directors or officers.

### **ARTICLE IV PROCEDURES FOR APPROVING PERMISSIBLE CONFLICTS**

In order to ensure that permissible transactions with Interested Persons are fair to the corporation and comply with state and federal laws, the following procedures must be followed:

1. **Duty to Disclose.** In connection with any actual or possible conflict of interest, an Interested Person must promptly and fully disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of committees with governing board delegated powers considering the proposed transaction or arrangement, at the time the conflict of interest transaction is considered.

2. **Determining Whether a Conflict of Interest Exists.** The board or committee members may ask questions of the Interested Person prior to beginning its discussion. After disclosure of the financial interest and all material facts, and after any discussion with the Interested Person, the Interested Person shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

3. **Procedures for Addressing the Conflict of Interest.**

If it is determined under step 2 above that a conflict of interest exists:

A. An Interested Person may make a presentation at the governing board or committee meeting, but after the presentation, the Interested Person shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.

B. The chairperson of the governing board or committee shall, if appropriate, appoint a disinterested person or committee to obtain independent and reliable information regarding the fair market value of the goods or services involved in the conflict of interest transaction under consideration, and to investigate alternatives to the proposed transaction or arrangement.

C. After exercising due diligence and considering independent and reliable information regarding the fair market value of the goods or services involved in the proposed transaction, the governing board or committee shall determine whether the organization can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.

D. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the governing board or committee shall determine by a majority vote of all the disinterested directors in office at the time of the vote whether the proposed transaction or arrangement is fair and reasonable and in the organization's best interest for its own benefit. In conformity with the above determination it shall make its decision as to whether to enter into the transaction or arrangement.

E. If the conflict of interest involves compensation, the Board shall gather appropriate data to ensure that the compensation for each Interested Person is reasonable. In the case of employment compensation packages, the Board shall utilize reliable surveys of compensation for comparable positions or shall utilize data for at least three similar situated employees in comparable positions. The Board shall not use the employee whose compensation is under consideration to collect comparability data. In conformity with the above determination it shall make its decision as to whether to enter into the transaction or arrangement by a vote described in D, above.

4. **Violations of the Conflicts of Interest Policy.**

A. If the governing board or committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.

**B.** If, after hearing the member's response and after making further investigation as warranted by the circumstances, the governing board or committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

## **ARTICLE V COMPENSATION**

- 1.** A voting member of the governing board who receives compensation, directly or indirectly, from the Organization for services is precluded from voting on matters pertaining to that member's compensation.
- 2.** A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the Organization for services is precluded from voting on matters pertaining to that member's compensation.
- 3.** No voting member of the governing board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the Organization, either individually or collectively, is prohibited from providing information to any committee regarding compensation.

## **ARTICLE V RECORD OF PROCEEDINGS**

The minutes of the governing board and all committees with board delegated powers shall contain:

- 1.** The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, the comparability data and how the data was obtained, and the governing board's or committee's decision as to whether a conflict of interest in fact existed.
- 2.** 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, and a record of any votes taken in connection with the proceedings.
- 3.** The records must be prepared before the latter of the next Board meeting or sixty (60) days after the final action is taken. Once prepared, the records must be reviewed and approved by the Board within a reasonable time.

## **ARTICLE VI PERIODIC REVIEWS**

To ensure the Organization operates in a manner consistent with charitable purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

1. Whether compensation and other benefit arrangements with employees, independent contractors, and others are reasonable, based on competent survey information, and the result of arm's length bargaining.
2. When employee compensation packages are established each year, the Board shall identify those employees who are Interested Persons under this policy. The Board shall monitor the compensation packages of Interested Persons in accordance with the procedure in this policy.
3. Whether partnerships, joint ventures, and arrangements with management organizations conform to the Organization's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes and do not result in inurement, impermissible private benefit or in an excess benefit transaction.

#### **ARTICLE VII USE OF OUTSIDE EXPERTS**

When conducting the periodic reviews as provided for in Article VI, the Organization may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the governing board of its responsibility for ensuring periodic reviews are conducted.

#### **ARTICLE VIII COMPLIANCE WITH THIS POLICY**

In order to ensure compliance with this policy:

1. **Annual Disclosure Statement.** The officers, directors and key employees shall each year disclose interests that could give rise to a conflict of interest under this policy. Such disclosure shall be made on the organization's Conflict of Interest Disclosure Statement form and shall be filed with the Secretary or the Secretary's designee.
2. **List of Potential Interested Persons.** On an annual basis, the Secretary of the corporation or the Secretary's designee shall develop and maintain a list of Interested Persons who engage in, or are reasonably likely to engage in, transactions that constitute conflicts of interest with the corporation during the year.
3. **Ongoing Disclosure Obligation.** Officers, directors, and key employees shall have an ongoing obligation to notify the Board promptly of interests that subsequently arise that could give rise to a conflict of interest under this policy.
4. **Monitoring by Secretary.** The Secretary or the Secretary's designee shall monitor and enforce compliance with this policy by reviewing the list of Interested Persons and the Disclosure and Acknowledgment forms each year and by bringing potential or actual conflicts to the attention of the President of the Board. The President shall disclose conflicts to the Board as they arise and ensure that the procedures in this policy are followed.
5. **Conveyance to the Executive Director.** The Secretary or the Secretary's designee shall convey the list of Interested Persons identified above to the Executive Director and shall instruct the Executive Director to notify the Board if the Executive Director or any employee plans to engage in a transaction with an Interested Person that constitutes a conflict of interest. The Board shall monitor any such transaction to ensure that it complies with this policy.

#### **ARTICLE IX DELEGATION TO COMMITTEE**

The Board may delegate its responsibilities under this policy to a committee of the Board. The committee shall comply with this policy and shall report its decision to the Board in a timely fashion.

Adopted by the Board of Directors of Oregon Environmental Services Advisory Council on:

\_\_\_\_\_.

Signature: \_\_\_\_\_ Printed

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

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



**Attachment D- Adopted records retention policy**

**RECORDS RETENTION POLICY  
FOR  
OREGON ENVIRONMENTAL SERVICES ADVISORY COUNCIL**

**I. POLICY.** To comply with the requirements of the Sarbanes-Oxley Act, which makes it a crime to alter, cover up, falsify, or destroy any documents or records with the intent of impeding or obstructing any official proceeding, it is the policy of this corporation that all directors, officers, employees, and volunteers will comply with the following retention guidelines set out in this policy.

This policy covers all documents and records, regardless of physical form, including electronic records and emails.

The disposal of documents or records shall be suspended if at any time the corporation is being investigated or audited by any governmental agency or is involved in any litigation for which those documents or records could reasonably be relevant.

Documents or records that are not listed, but which are substantially similar to those listed in the schedule will be retained for the same length of time as the similar documents.

Any director, officer, employee, or volunteer who knowingly violates this policy and destroys documents or records before the time period shown in the guidelines below shall be subject to disciplinary action up to and including termination.

This policy is also intended to eliminate the unnecessary storage and retention of records for the most efficient operation of the corporation.

**II. RETENTION GUIDELINES**

***Corporate Records***

Articles of Incorporation .....	Permanent*
State Registrations and Business Licenses (originals) .....	Permanent
State Registrations and Business Licenses (renewals).....	Permanent
IRS Application for Tax-Exempt Status (Form 1023) .....	Permanent
IRS Determination Letter .....	Permanent
State Sales Tax Exemption Letter .....	Permanent
Board Meeting and Board Committee Minutes .....	Permanent
Board Policies/Resolutions .....	Permanent
By-laws .....	Permanent
Fiscal Policies and Procedures.....	Permanent
Fixed Asset Records .....	Permanent
Current Inventory and Assets .....	Permanent*
Construction Documents .....	Permanent
Annual Reports to Secretary of State/Attorney General .....	Permanent
Contracts (after expiration) .....	7 years
Warranties .....	7 years
Correspondence (general) .....	3 years

***Accounting and Corporate Tax Records***

Annual Audits .....	Permanent
Audit Reports of Accountants .....	Permanent
Quickbooks (electronic files) .....	Permanent
Depreciation Schedules .....	Permanent
General Ledgers .....	Permanent
IRS 990 Tax Returns .....	Permanent
Federal and State Tax Bill and Statements.....	3 years
Schedules and Other Supporting Documentation for Monthly and Quarterly Financial Statements.....	7 years
Budget Data.....	3 years
Business Expense Records .....	7 years
Cancelled checks .....	7 years
IRS 1099s .....	7 years
Investment records (deposits, earnings, withdrawals).....	7 years
Invoices .....	7 years
Journal Entries.....	7 years
Sales Records (box office, concessions, gift shop) .....	5 years
Petty Cash Vouchers .....	3 years
Cash Receipts .....	3 years
Credit Card Receipts .....	3 years
Advertiser History Files .....	7 years

***Bank Records***

Check Registers.....	Permanent
Bank Deposit Slips .....	7 years
Bank Statements and Reconciliation.....	7 years
Electronic Fund Transfer Documents .....	7 years

***Payroll and Employment Tax Records***

Payroll Registers .....	Permanent
State Unemployment Tax Records.....	Permanent
Earnings Records .....	7 years
Garnishment Records .....	7 years
Payroll tax withholdings.....	7 years
Payroll Tax returns .....	7 years
W-2 Statements .....	7 years

***Employee Records***

Employee offer letters .....	Permanent
Confirmation of employment letters .....	Permanent
Employment and Termination Agreements .....	Permanent
Retirement and Pension Plan Documents .....	Permanent
Job descriptions, performance goals. ....	7 years after termination
Records Relating to Promotion, Demotion or Discharge .....	7 years after termination



Accident Reports and Worker’s Compensation Records .....	5 years
Salary Schedules .....	5 years
Employment Applications .....	3 years
I-9 Forms .....	3 years after termination
Time Cards .....	2 years

***Outside Contractor Management Records***

Management Contracts.....	7 years after termination
Monthly Management Reports.....	3 years
Outside Contractor Management Proposals .....	3 years

***Fundraising and Programs***

Grant Dispersal Contract.....	Permanent
Donor Lists .....	7 years
Donor Records and Acknowledgement Letters.....	7 years
Grant Applications and Contracts .....	5 year after completion
Newsletter Archives (electronic and hardcopy – 5 copies/issue) .....	Permanent
Conference Archives (electronic).....	10 years
Conference Registration Brochure and Program (hard copy) .....	10 years
Resource Documents for Ongoing Programs.....	Permanent*

***Legal, Insurance and Safety Records***

Appraisals.....	Permanent
Copyright Registrations .....	Permanent
Environmental Studies .....	Permanent
General Liability Insurance Policy.....	Permanent
Insurance Claims Applications.....	Permanent
Property Insurance Policy .....	Permanent
Directors and Officers Insurance Policy .....	Permanent
Workers’ Compensation Insurance Policy.....	Permanent
Insurance Disbursements/Denials .....	Permanent
Other Insurance Policies .....	Permanent
Real Estate Documents .....	Permanent
Stock and Bond Records .....	Permanent
Trademark and Copyright Registrations .....	Permanent
Leases .....	6 years after expiration
OSHA Documents .....	5 years
General Contracts .....	3 years after termination
Legal correspondence.....	2 years
Liability Waivers.....	7 years
Records of Sexual Harassment Complaints and Actions Taken in Response .....	5 years

Routine Correspondence, Form Letters, and

Notes That Require No Follow-up .....	2 years
Correspondence Related to Any Unusual Circumstances.....	7 years
Correspondence Beneficial to Ongoing Programs .....	3 years after termination
Routine emails.....	Until unneeded
Emails Supporting Records/Programs to be Saved.....	Life of Project

***Planning and Institutional Knowledge***

Disaster Recovery Plan .....	7 Years
Staffing, Programs, Marketing, Finance, Fundraising, and Evaluation Plans .....	7 years
Strategic Plans .....	7 years
Policies and Procedure .....	Permanent*
Essential Leader and Volunteer Training Documents.....	Permanent*
Resource Documents for Ongoing Business & Planning.....	Permanent*
Documents Containing Vital Organizational History .....	Permanent
Historical Lists (e.g. award-winners, past members, etc.) .....	Permanent*
Approved Region and Section C&Bs.....	Permanent*

*\* Indicates that the most recent version should be kept indefinitely, until a new version is adopted.*

**III. ELECTRONIC DOCUMENTS AND RECORDS.** Electronic documents will be retained as if they were paper documents. Therefore, any electronic files, including records of donations made online, that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time.

**IV. EMERGENCY PLANNING.** The records of Oregon Environmental Services Advisory Council will be stored in a safe, secure and accessible manner. Documents and financial files that are essential to keeping Oregon Environmental Services Advisory Council operating in an emergency will be duplicated and maintained off site.

**V. DOCUMENT DESTRUCTION.** All of the corporation’s staff, volunteers, members of the Board of Directors and outsiders (i.e., independent contractors via agreements with them) are required to honor this policy. The corporate Secretary of Oregon Environmental Services Advisory Council is responsible for overseeing the ongoing process of identifying its records which have met the required retention period and overseeing their destruction. Documents containing confidential information should be destroyed 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.

Some documents are created solely for informal and temporary purposes and never attain “record status.” Unless related to litigation or government inquiry, these documents are not covered by the records retention schedule and should be destroyed promptly after the official record that they support is produced or after they are no longer serve the function for which they were included.

**VI. COMPLIANCE.** Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against Oregon Environmental Services Advisory

Council and its employees and possible disciplinary action against responsible individuals. The corporate Secretary may periodically review these procedures with legal counsel or the organization's certified public accountant to ensure that they are in compliance with new or revised regulations.

\*As long as the organization exists and for 7 years after dissolution

Adopted by the Board of Directors of Oregon Environmental Services Advisory Council  
on: \_\_\_\_\_.

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

Title: \_\_\_\_\_

Date last reviewed: \_\_\_\_\_

## **WHISTLEBLOWER AND NON-RETALIATION POLICY FOR OREGON ENVIRONMENTAL SERVICES ADVISORY COUNCIL**

**I. GENERAL POLICY.** It is the policy of Oregon Environmental Services Advisory Council to require all directors, officers, employees, and volunteers to conduct the affairs of Oregon Environmental Services Advisory Council in a legal, ethical, and transparent manner. This Whistleblower Policy is intended to encourage and enable employees and others to report any unethical or illegal activities of which they become aware.

**II. REPORTING RESPONSIBILITY AND CONFIDENTIALITY.** It is the responsibility of all directors, officers, employees, and volunteers to ensure the legal and ethical operation of Oregon Environmental Services Advisory Council and to report violations or suspected violations of any local, state or federal laws or regulations or unethical behavior.

If a director, officer, employee, or volunteer discovers information that leads them to believe that illegal or unethical behavior has occurred, or is occurring, they shall report this discovery to the President of Oregon Environmental Services Advisory Council. If the report involves the President, or the President is unavailable, the report shall be made to any other officer. If a whistleblower report is made to any person other than the President or an officer, that person shall bring it to the President or other officer.

Any good faith report, concern, or complaint is fully protected by this policy, even if the report, question or concern is, after investigation, not substantiated. Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of local, state or federal law or regulation.

The act of making allegations that prove to be unsubstantiated and that prove to have been made maliciously, recklessly, or with the knowledge that the allegations are false, will be viewed as a serious disciplinary offense and may result in discipline, up to and including dismissal from the volunteer position or termination of employment. Such conduct may also give rise to other actions, including civil lawsuits.

Upon the request of the complainant, Oregon Environmental Services Advisory Council will use its best efforts to protect the confidentiality of the complainant for any good faith report. Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation and take appropriate corrective action.

**III. INVESTIGATION AND TIMELINE.** All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation. The following process will be used:

1. The officer receiving the report shall notify the reporter acknowledging receipt of the report within five (5) business days of receipt.
2. A meeting of the Officers shall be called to determine the proper course of investigation.
3. Within thirty (30) days of receipt of the report the investigation will be completed and any appropriate corrective action will be commenced. Additional time may be needed in some cases.
4. Oregon Environmental Services Advisory Council will notify the reporter of the results of the investigation and any corrective action that has been or will be taken.

**IV. NO RETALIATION.** If a director, officer, employee, or volunteer reports in good faith a violation, or suspected violation, of any local, state or federal laws or regulations they shall not suffer any discrimination, harassment, retaliation or adverse employment consequences. Any director, officer, employee, or volunteer who discriminates or retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment or volunteer status.

Retaliation includes, but is not limited to, any harmful action, interference with the lawful employment or livelihood, discharge, demotion, suspension, any manner of discrimination with regard to promotion, compensation or other terms, conditions or privileges of employment.

Adopted by the Board of Directors of Oregon Environmental Services Advisory Council on:

\_\_\_\_\_.

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

Title: \_\_\_\_\_

Date last Reviewed: \_\_\_\_\_