

## Governance Policy Manual

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## **Policy 1A BOARD OF BOARD MEMBERS RESPONSIBILITIES.**

### **BOARD AUTHORITY.**

**The Board is the highest authority at Dementia Alliance International and operates with the powers conferred by the By-Laws. It has responsibility for setting the direction, strategies and financial objectives of the organisation, monitoring the implementation of those policies, strategies and financial objectives and ensuring compliance with regulatory and ethical requirements.**

It must be noted that at present, for reasons of expediting access to consultations and meetings – the position of Chair of the Board and CEO are held by the same person.

DAI has no paid staff, and until such time as finances allow an Executive Officer to be employed – all policies that relate to staff also relate to the Board members and Volunteers.

### **BOARD MEMBER RESPONSIBILITIES**

The following list identifies the responsibilities that Board Members assume when elected or appointed.

1. Setting long term goals.
2. Having the final say when determining yearly objectives.
3. Ensuring the mission, the vision and purposes of DAI are adhered to.
4. Finalising budgets and allocating funds.
5. Approving any changes or additions outside the budget.
6. Taking responsibility for DAI's financial records.
7. Evaluating programs, services and products.
8. Evaluating the performance of the Board.
9. Employing the CEO, setting his/her compensation package and evaluating his/her performance.
10. Appointing new Board members.
11. Taking ultimate responsibility for all legal matters.
12. Taking ultimate responsibility for compliance with regulatory requirements(eg. annual general meeting, annual returns, audit etc).
13. Recommending auditors and approving the audit of the financial records.
14. Managing committees.
15. Maintaining and building DAI's public profile.



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## **ANNUAL REVIEW OF BOARD PERFORMANCE.**

The Board will implement an annual cycle of review. Its own effectiveness will be reviewed in terms of the achievement of its own plans for the year and on the fulfilment of its own responsibilities as listed above.

This review should occur at the last full Board meeting prior to the annual general meeting.

## **Policy 1B POLICY MAKING.**

### **RATIONALE.**

Policies are designed to provide clear, unambiguous guidelines for the implementation of the various operational elements of Dementia Alliance International. Policies provide continuity and a consistent point of accountability.

Policy making shall therefore follow set procedures to ensure the efficacy of the process and the overall policy framework.

There shall be two levels of policy making:

1. Board policy including :
  - Strategic policies defining the outcomes sought from an operational effort
  - Governing policies defining the Board's own operating practice and its relationship with the CEO
  - Policies defining the parameters of the Board's delegation of responsibility to the CEO.
  - Compliance policies defining DAI's commitment to meeting the requirements of specified legislation.
  - Management policies which are the responsibility of the CEO.

### **PROCEDURES – BOARD POLICIES.**

1. All Board policies must be approved at a formally constituted Board meeting.
2. The need for new policies can be proposed by individual Board Members , the CEO, staff members, volunteers or members of DAI.
3. Whenever possible, policies should be pro-active i.e. recognise the need beforehand.
4. Except in special circumstances, a policy will not be introduced and approved by the Board at the same Board meeting.
5. All policies shall follow the same format, as follows:
  - Policy name
  - Rationale/Principles
  - Procedures/Guidelines
  - Review date
6. All policies will be programmed for review at least every 5 years. This review will be carried out by the Board.
7. All Board policies shall be available to Board Members, the CEO and the staff

## **Policy 1C ELECTION/APPOINTMENT & INDUCTION OF BOARD MEMBERS.**

### **RATIONALE.**

**Subject to compliance with the By-Laws, Board membership shall embrace the following considerations:-**

All Board Members are expected to contribute to Board meetings to the best of their ability. To facilitate this, the Board will guarantee a thorough induction into the affairs both of the Board and of DAI at large, its issues, current concerns, staff, its financial position and its liabilities and assets.

### **REQUIREMENTS FOR BOARD MEMBERSHIP**

1. A commitment to work for the greater good of DAI.
2. An expectation that Board Members will bring knowledge, expertise and influence relevant to DAI's affairs.
3. Board Members may be required to serve on one or more committees or working parties. There is an expectation that Board Members will make every effort to attend all Board meetings (and where appropriate, committee meetings) and devote sufficient time to become familiar with DAI's affairs and the wider environment within which it operates.

### **PROCEDURES.**

1. The election or appointment of new Board Members will be confirmed by the Chairperson in writing.
2. New Board Members will receive a copy of the Strategic Plan, Board policies, previous year's accounts, the most recent Annual Report, year-to-date financial statements and the CEO's latest monthly report.
3. New Board Members will meet with the Chairperson for a governance familiarisation. This meeting may be held as a group session or with individual new Board Members.
4. New Board Members will meet with the CEO for an operational familiarisation. This may include a tour of DAI's programs, meeting with staff, and an opportunity for the CEO to share his/her views of the issues traversed by the Chairperson.
5. At the first Board meeting attended by new Board Members, introductions will be held with all Board Members, new and old, exchanging information about background, special responsibilities and special contributions to the Board's proceedings and general business. To facilitate this process, each Board Member shall provide to the Chairperson a profile of their background and relevant skills, based on a common format.

## **Policy 1D CODE OF ETHICS AND PROPER PRACTICE.**

### **RATIONALE.**

The Board is committed to the adoption of ethical conduct in all areas of its responsibility and authority. In so doing, it binds Board Members to the same principles and practice

### **PROCEDURES.**

#### **Board Members shall:**

1. Act honestly and in good faith at all times in the interests of DAI and its stakeholders, ensuring that all stakeholders, particularly those who are recipients of services are treated fairly according to their rights.
2. Carry out their duties in a lawful manner and ensure that DAI carries out its services in accordance with the law.
3. Avoid conflicts of interest in as far as this is possible. Where such a conflict arises the Board member/s concerned must act within the terms of the Conflict of Interest policy.
4. Be diligent, attend Board meetings and devote sufficient time to preparation for Board meetings to allow for full and appropriate participation in the Board's decision making.
5. Observe the confidentiality of non- public information acquired by them in their role as Board Members and not disclose to any other person such information as may be harmful to DAI.
6. Act in accordance with their fiduciary duties, complying with the spirit as well as the letter of the law, recognising both the legal and moral duties of the role.

#### **The Board shall:**

1. Meet regularly to monitor the performance of management and DAI as a whole. To do this, the Board will ensure that appropriate monitoring and reporting systems are in place and that these are maintained and utilised to provide accurate and timely information to the Board.
2. Ensure that there is an appropriate separation of duties and responsibilities between itself and senior management and that no one person has unfettered powers of decision making.
3. Ensure that the independent views of Board Members are given due consideration and weight.
4. Ensure that key stakeholders and members of the wider community are provided with an accurate and balanced view of DAI's performance including both financial and service provision.

5. Regularly review its own performance as the basis of its own development and quality assurance. Individual Board Members should also review their own performance with a view to ensuring a suitable contribution to Board deliberations and decision making and, if found wanting, should either pursue training or assistance to improve their performance, or resign.
6. Carry out its meetings in such a manner as to ensure fair and full participation of all Board Members.
7. Ensure that DAI's assets are protected via a suitable risk management strategy.

## **Policy 1Da – FIDUCIARY RISKS & BOARD MEMBERS**

When elected or appointed to the Board, Board Members undertake a solemn obligation to carry out their duties in a fair, open, honest and accountable way to the benefit of the company and the community they serve. These are called fiduciary responsibilities.

Fiduciary responsibilities are onerous, particularly because DAI Board Members are responsible for the expenditure of taxpayers' money and the custody and control of public assets.

Under the Uniform Unincorporated Nonprofit Association Act, Chapter 252 of the BOC there are severe penalties for breaches such as dishonesty, not exercising reasonable care and diligence, improper use of information and improper use of position. Board Members should fully acquaint themselves with details of this Act.

Fiduciary risks in the context of Board Members is the collective name given to the things that can happen where it could be inferred or found that a Director did not meet the expectation to act, and be seen to act, in the best interest of DAI, the funding bodies and the community. Those expectations include:

- Being scrupulously honest and exercising due care and diligence in performing all duties and functions
- Maintaining the confidentiality of information made available, including Board or Committee discussions
- Avoiding any action that could affect judgment when dealing with DAI matters
- Never making improper use of their position, or from the information gained through that position, to the advantage of themselves or any other person
- Never taking any course of action that would disadvantage DAI
- Consciously avoiding any conflict of interest
- Disclosing any material or personal interest in a matter being considered by the Board, and subsequently abstaining from any discussion or vote on that issue
- Always acting in the best interests of DAI and not particular interest groups
- Being bound by, and committed to, decisions legitimately taken by the Board
- Providing authorized persons, fellow members and auditors with complete and correct information that is not misleading in any respect.

To avoid fiduciary risks, Board Members must give conscious attention to each of these expectations and

- Become familiar with the legislation under which DAI operates
- Develop an understanding of the environment in which DAI operates
- Stay informed of all significant matters affecting DAI
- Attend all Board meetings
- Thoroughly read and understand Board papers and external articles relevant to issues affecting DAI
- Actively participate as a member of the Board.

## **Policy 1E CONFLICTS OF INTEREST.**

### **1. Overview:**

#### **1. Texas Business Organization Code By-Law requirements**

Section [22.351](#) of the Texas Business Organizations Code gives a member of a non-profit corporation, on written demand, the right to examine and copy the corporation's books and records. The member, or the member's agent, accountant, or attorney, may examine and copy these records at any reasonable time and for a proper purpose. Section [22.352](#) also requires a non-profit corporation to maintain financial records in accordance with generally accepted accounting principles; the board of directors is required to prepare or approve an annual financial report for the preceding year.

Additionally, section [22.353](#) requires certain non-profit corporations to make all records, books, and annual reports of financial activity available to the general public for inspection and copying.

The Board of the Dementia Alliance International Constitution provides clear direction with respect to the actions a Director must take either by standing notice or as soon as practicable after he/she becomes aware of a "material personal interest" in a matter being considered at a Board meeting.

#### **1.2 Scope of interests to be declared**

In our circumstance, "material personal interest" is subsumed under the heading "Pecuniary interests of Board Members" and clearly focuses on the potential for a Director to gain or lose in financial terms if a matter being considered by the Board is decided in a particular way. However, Government has provided clearer direction in the Texas Business Organisations Code about what is and what is not a conflict of interest. Board members are encouraged to recognise that non-pecuniary benefits such as a reasonable likelihood that the benefits, obligations, opportunities or circumstances of the Director would be altered if a matter is decided in a particular way might also constitute a conflict of interest. Indirect interest is also specifically recognised if a family member, relative or member of the Director's household has an interest in the matter being considered.

#### **1.3 Board Members' obligations**

Each Director has an obligation to act in good faith on behalf of the organisation and not improperly use their position to gain an advantage for themselves or someone else. Therefore, each Director must avoid being in a position where an actual or perceived, direct or indirect conflict of interest could be reasonably perceived to occur if a matter was determined in a particular way. The onus rests clearly with the individual Director to recognise and declare any such conflict of interest.

## 2. Purpose of this Policy

The purpose of this policy is to:

- protect the integrity of the decision-making process of the organisation by avoiding legal, financial, corporate, ethical and other conflicts of interest;
- set out the requirements that all Board Members must comply with in order to avoid actual or perceived, direct or indirect conflicts of interest;
- provide guidance for dealing with any declared conflict of interest in an open and transparent fashion;
- give all stakeholders confidence in the organisation's decision-making processes; and
- protect the integrity and reputation of the organisation and its Board Members.

## 3. Procedure

### 3.1 Standing notice about an interest

Board Members are required to disclose any existing or potential conflicts of interest on appointment as a Director. The details of the nature and extent of the interest are to be given at a Board meeting and must be recorded in the minutes. Board Members may disclose additional standing interests at any time.

### 3.2 Declaration of a material personal interest.

In addition to any standing notice of interest, Board Members have a duty to notify other Board Members of any material personal interest immediately they become aware of an actual or perceived conflict. The Director concerned shall withdraw from the meeting and leave the room while the matter is discussed, and the affected Director shall not participate in any vote on the matter.

### 3.3 Action by the Secretary

The Secretary will respond to disclosures by:

- i. recording in the minutes of the Board meeting a Director's disclosure of an actual or perceived conflict of interest relating to a particular agenda item;
- ii. recording in the minutes of the next Board meeting a Director's disclosure of an actual or perceived standing conflict of interest made outside of Board meeting times; &
- iii. keeping copies of declarations and standing declarations of interest in a Conflicts of Interest Register.

### 3.4 Conflict of Interest Register

The Conflict of Interest Register will record:

- i. copies of written standing notices of interest by Board Members;
- ii. details of all declarations of material personal interest received during Board meetings; &
- iii. details of any Conflict of Interest reports or action taken by the Board.

### 3.5 Undeclared conflicts of interest

If a Director believes that another Director has an undeclared conflict of interest in a matter being considered by the Board, the Director is immediately required to specify the basis of their opinion. The Director concerned shall withdraw from the meeting and leave the room. The Director who has disclosed the possible conflict of interest cannot vote on that item or take part in any Board discussion on that topic. If the issue cannot be resolved through discussion, final resolution rests with the Chairperson.

#### **i. Review of policy**

This policy shall be reviewed by the Board every five years or more frequently as required to suit the requirements of the Company and adherence to the law.

## **Policy 1F MEETING PROCESS.**

### **RATIONALE.**

The Board is committed to the achievement of effective and efficient meetings.

### **PROCEDURES.**

Subject to the By-Laws, Board meetings will:

1. be based on a prepared agenda, the preparation of which is the responsibility of the Chairperson in consultation with the CEO or, in the absence of the Chairperson, the Deputy Chairperson. Such an agenda should reflect the Board's governing role.
2. include the CEO as of right and as the representative and advocate of the paid staff and volunteers. From time to time, at the suggestion of the CEO, staff might be invited by the Board to attend a meeting to present an issue or provide information or advice.
3. be held with the expectation that Board Members have prepared for them and will participate in discussions at all times within the boundaries of behaviour considered acceptable by the Board.
4. Record written minutes, copies of which shall go to :
  - all Board Members
  - CEO.

The Board:

1. has the right to go 'in camera' at any time it chooses but in doing so will
2. reserve the right to include or exclude any non-Board member it so chooses
3. make all efforts to look ahead and signal any such 'in camera' session in the agenda or at the beginning of the meeting.
  - reserves the right to invite members of the public to Board meetings except when it declares a section of the meeting 'in camera'.
  - shall ensure that when meetings are conducted 'in camera' a Director is nominated to take Minutes of the meeting.

## **Policy 1G BOARD COMMITTEES.**

### **RATIONALE.**

The Board recognises that there are times when a committee or working group can act more effectively than the full Board.

### **PROCEDURES.**

**The Board has the authority to establish both standing and ad hoc committees or working groups to assist in its work.**

**The Board shall develop the terms of reference for committees and working groups, clearly defining their role, procedure and functions and the boundaries of their authority.**

1. Committees are established to work on Board assignments.
2. While staff might be involved at the committee and/or working group level, their role is to advise and assist the Board to do its work, not to bring their work to the committee or working group.
3. Where time, money and resources permit, the committee has the authority to seek contributions to its deliberations from staff, members or external specialists.
4. Committees and working groups may not delegate tasks to any staff unless the CEO has specifically agreed to such delegations.
5. All ad hoc committees and working groups are automatically dissolved once they have completed their work and have reported to the Board.
6. All committees and working groups shall review their terms of reference, their membership and the results of their work at the first convened meeting after the Annual General Meeting.
7. Unless explicitly empowered by the Board, committees and working groups cannot make binding Board decisions. For the most part, the function of committees and working groups is to solve problems for and/or make recommendations to the Board on which the latter, and only the latter, has the power to make decisions or policy.

## **Policy 2A BOARD DELEGATION TO CEO.**

### **RATIONALE.**

The Board will delegate to the CEO maximum authority to manage DAI within the policies determined by the Board.

### **PROCEDURES**

#### **The Board will:**

1. Establish the delegation policies to specify the responsibilities of the CEO to members of staff, clients, carers and the Board for the proper conduct of DAI.
2. Review the CEO's performance
3. Be available to provide support and guidance for the CEO.

#### **The CEO will:**

1. Establish operational policies and practices to implement Board policies and priorities without further involvement of the Board.
2. Operational Policies are reviewed every three years by the CEO to ensure consistence with Board Policies and priorities
3. Consult with the Board if urgent matters require immediate resolution.

## **Policy 2B APPOINTMENT OF CEO**

### **RATIONALE.**

The Board will always aim to appoint the best qualified and vocationally motivated person to the position of CEO. This appointment process will be open and transparent.

That being said – at present there is no funding to employ a CEO, so the Board Chair will act in this capacity when necessary.

### **PROCEDURE.**

1. The responsibility for determining the job description and appointing and terminating the employment of the CEO lies with the Board .
2. The search for applicants will be advertised both internally and externally
3. The process of advertising, short listing, interviewing and appointment is the responsibility of the Board or a duly appointed committee, the members of which will make a recommendation to the Board.
4. The terms and conditions of employment of the CEO are contained in the contract of employment or letter of engagement, negotiated and authorised by the Board and signed by or for the Chairperson and the successful candidate.

## **Policy 2C CEO REVIEW AND APPRAISAL**

### **RATIONALE**

The Board is responsible for ensuring that DAI operates in an efficient and caring manner by establishing processes by which the CEO's performance is reviewed and appraised.

### **PROCEDURES.**

1. The Board will review the performance of the CEO to ensure that the delegated policies are being satisfactorily achieved.
2. An annual appraisal will be held between the CEO and a committee nominated by the Board for this purpose immediately following the completion of the staff reviews. The format and process of this appraisal will be negotiated and agreed upon by the Board and CEO. This will include consideration of performance in relation to delegated policies, Board priorities and compliance with regulatory authority requirements.

## **Policy 2D EXECUTIVE COMMITTEE / CEO RELATIONSHIP.**

### **RATIONALE.**

Open and regular communication between the Executive Committee (comprising the Board Chairperson, Deputy Chairperson and the Treasurer) and CEO is critical to the effective management of DAI.

### **PROCEDURES.**

1. The Executive Committee is the formal link between the Board and CEO
2. Communication may be either formal or informal.
3. Either party may initiate a meeting.
4. Such a meeting shall not replace a Board meeting.
5. The Executive Committee and CEO are bound by Board policies at all times.
6. This relationship is an essential component in any appraisal of the CEO's effectiveness.
7. Instruction to the CEO regarding professional responsibilities may come only from the Executive Committee or the Board
8. The Executive Committee will regularly advise the Board of the outcomes of such meetings.

**Policy 2E CEO REPORTING TO THE BOARD.**

**RATIONALE.**

The CEO will keep the Board informed of the true and accurate position of the outcomes of programs and services, financial position, significant management issues and all matters having real or potential legal considerations for DAI.

**PROCEDURES.**

Therefore the CEO shall:

1. Submit monitoring data in a timely, accurate and understandable fashion addressing the various issues to be monitored by the Board.
2. Inform the Board of significant trends, implications of Board decisions, issues arising from policy matters or changes in the basic assumptions upon which the Board's strategic policies are based.
3. Inform the Executive Committee within seven (7) days if, for any reason, there is non-compliance with Board policy.

## **Policy 3A FINANCIAL REPORTING.**

### **RATIONALE.**

Financial reporting to the Board by both the Convenor of the Finance Committee and the CEO will be presented in such a way that all the Board members are able to understand the meaning of the reports and that reports are a true and accurate account of the financial affairs of DAI.

### **PROCEDURES.**

Accordingly, the Finance Convenor and CEO **shall not submit** or allow to be submitted any reporting which:

1. Does not reflect a true and accurate picture including both cash balances and liabilities.
2. Is incomplete or misleading in any material sense.
3. Does not utilise standard financial formats or which presents the data in such a way as to make it difficult to interpret or understand.
4. Deviates from the agreed Board reporting procedures.

## **Policy 3 B FINANCIAL RESERVES.**

### **RATIONALE.**

DAI will establish and maintain, within its financial reporting procedures, specified reserve funds in order to provide protection in the event of an unexpected and material reduction in income; to provide for staff entitlements as they fall due; and to provide financial capacity for future projects.

### **PROCEDURES.**

1. Emergency reserves shall be maintained at equivalent to 60 days salaries plus one month's average current liabilities.
2. Specific purpose reserves shall be maintained to meet projected costs of long term development projects and to meet planned budget deficits for any current year.
3. The Board will evaluate the adequacy of specific purpose reserves at the end of each financial year.
4. The Board may approve reallocation of reserves other than those required for staff entitlements.

## **Policy 3C FINANCIAL INVESTMENT.**

### **RATIONALE**

DAI's financial reserves are to be invested in such a way as to maximise long term total returns consistent with prudent levels of risk, whilst maintaining sufficient liquidity to enable DAI to meet its day-to-day financial commitments.

### **PROCEDURES**

The investment of DAI's assets will aim for the following:

- a. To have all available funds securely invested to achieve the maximum long term return consistent with a low tolerance to risk.
- b. To meet the investment interest goals set in the Annual Budget.
- c. To maintain the real value of assets.
- d. To be made in line with current Government and other Funding body guidelines.
- e. To maintain sufficient liquidity to meet all projected commitments as they fall due.

Allocation of Investment Responsibilities:

The Board will be responsible for:

- a. Determining the appropriate level of risk (such as exposure to equity investments and variability of returns) after taking into account the practical difficulties that result from capital losses, be they realised or not.
- b. Developing and reviewing any Board policy guidelines.

The Treasurer and the CEO shall be responsible for the following:

- a. Managing any day -to -day investment matters.
- b. Determining where any investments shall be made, provided that these are consistent with the Board's and Funding Bodies schedule of approved investments.

### **Policy 3 D CEO FINANCIAL MANAGEMENT.**

#### **RATIONALE.**

The CEO is responsible for the day-to-day financial management of DAI and shall carry out this duty in a manner which shall in no way threaten its financial viability.

#### **PROCEDURES.**

To ensure the affairs are managed on a prudent basis, the CEO shall not:

1. Cause DAI to incur unauthorised indebtedness.
2. Utilise any organisational funds for purposes other than those established in the approved budget.
3. Allow debts to remain unsettled beyond agreed trading terms.
4. Use restricted or 'tagged' grants and contributions for any purposes other than those designated.
5. Allow any one person alone to have complete authority over any of DAI's financial transactions.
6. Settle any payroll debts in anything other than a timely manner.
7. Approve expenditures which, although in keeping with the policies of the Board, are beyond the DAI's financial ability to meet, using budgeted resources.

## **Policy 3 E TREASURER - CEO - BUDGETING RESPONSIBILITIES.**

### **RATIONALE**

It is the responsibility of the Treasurer and CEO to research and develop DAI's annual operating budget for approval by the Board. The annual budget should be soundly prepared, reflecting a mix of ongoing operational requirements and critical strategic issues as identified in the Strategic Plan. The budget should reflect both expenditure and revenue projections.

### **PROCEDURES**

The budget **shall not**:

1. Contain insufficient detail to allow an accurate projection of revenues and expenditures.
2. In any way disguise the projected cash flow to confuse or mislead any audit trail.
3. Deviate from the Board's stated objectives and priorities.
4. Be presented in such a way that makes it difficult to interpret and follow or which deviates from standard budget presentation formats.

## **Policy 3 F      FUNDRAISING ACTIVITIES.**

### **RATIONALE**

DAI's interests are paramount at any such times as it may embark on a fundraising program. The level of exposure to risk shall be kept to a minimum.

### **PROCEDURES**

With respect to DAI's fundraising program, the Board, CEO and staff and/or volunteers **shall not** pursue or in any other way support any fundraising activity or process which:

1. Could in any way be considered unethical or illegal or which directly contravenes DAI's stated values and beliefs.
2. Could result in DAI's good name being compromised, brought into ill repute or in its being associated in any way with another organisation or individual of ill repute.
3. Involves DAI laying out significant sums of money without the express approval of the Board.
4. Permits any one person to have complete authority over the financial transactions involved in any fundraising venture.
5. Is not clearly understood by the Board. Therefore, it is expected that there will be regular reports to the Board indicating DAI's exposure, the level of risk and the financial position of any such fund raising program.

## **Policy 4A CEO PERSONNEL EMPLOYMENT**

### **RATIONALE.**

The Board delegates full responsibility to the CEO for all matters pertaining to the management of staff in the expectation that they will be managed in a sound, fair and respectful manner.

### **PROCEDURES.**

As a minimum the CEO shall:

1. Ensure the currency of the job description before filling any position.
2. Appoint existing or new staff to a vacant position on the basis of his/her job qualifications and job-related experience.
3. Ensure the maintenance of employee's and volunteer's entitlements to personal dignity, safety, the rights to ethical job-related dissent and to an appropriate grievance process.
4. Conduct regular performance reviews for all staff.
5. Ensure that appropriate professional development opportunities are available to staff.
6. Recognise the right of staff members to join relevant professional associations or unions.
7. Keep the Board informed about any disputes or grievances which may lead to action against DAI.
8. Follow recognised and legislated industrial practices before terminating staff.
9. Follow the principles of equal opportunity in employment.

**Policy 4B                    PROGRAMS AND SERVICES DEVELOPMENT.**

**RATIONALE.**

All programs and services shall be aligned to DAI's mission, values and goals.

**PROCEDURES.**

All programs and services offered by DAI shall be:

1. Able to be resourced, taking account of existing demands on staff and other physical resources.
2. Carefully and accurately costed.
3. Reviewed regularly.
4. Evaluated as a part of DAI's Continuous Improvement Process

**Policy 4C                    OPERATIONAL STANDARDS.**

**RATIONALE**

DAI is committed to providing the highest quality standard of service to people living with dementia.

**PROCEDURES**

1. All DAI's policies and procedures, both at Board level and operational level shall be reviewed at times specified for each policy.
2. The CEO shall develop a set of policies that establish the standards and procedures of practice for all key areas of DAI's operation.
3. Policies on such standards and procedures shall be documented and made available to all Staff and Board Members.
4. DAI shall also comply with those service standards agreed to by it and its funding bodies within the Funding and Service Agreement process.

**Policy 4D            CEO PUBLIC RELATIONS.**

**RATIONALE**

Community awareness of dementia related challenges and the role of DAI directly impinge on the viability of our organisation. The CEO is therefore expected to take the leading role in public relations.

**PROCEDURES**

Accordingly, the CEO shall:

1. Take personal responsibility for initiating and approving the publication of materials and the making of statements by any staff member or authorised agency.
2. Undertake activities to lift the public profile of DAI and educate the wider community about dementia and dementia related issues.

## **Policy 4E      PROTECTION OF ASSETS.**

### **RATIONALE**

DAI expects to have its assets managed, maintained and protected to a high standard that enables it to meet its objectives and goals.

### **PROCEDURES**

The CEO **shall not**:

1. Allow abuse or misuse of DAI's assets. DAI's register of property will be utilised to ensure adequate safeguards are in place to prevent loss, damage or theft of property.
2. Allow DAI's assets to be insured for less than what is considered necessary for prudent risk management.
3. Allow intellectual property, information or files to be used for purposes other than in DAI's best interests.
4. Allow insurance coverage of buildings, equipment and fixtures to fall below 90% of replacement value.
5. Allow changes to the scope of insurance without Board notification.

**Policy 4F                      RECORDS MANAGEMENT.**

**RATIONALE**

DAI requires an effective system of records management to be in place to ensure efficient operation, maintenance, security and preservation of its current and historical records.

**PROCEDURES**

1. All records of a personal and confidential nature are to be kept securely and will be destroyed only after the expiry of any statutory retention period and they are assessed to no longer have any legal or historical significance.
2. All current and archival records will be kept securely.
3. All current records will be kept in secure files.
4. The CEO will be responsible for the operation, maintenance, security and preservation of DAI's current and historical records.

**Policy 4G      PROPERTY AND PHYSICAL RESOURCE MANAGEMENT.**

**RATIONALE**

All physical resources shall be appropriate to DAI's goals and objectives and will meet all regulatory standards where appropriate.

**PROCEDURES**

1. All premises shall meet appropriate local and/or government standards and/or other statutory or minimum code requirements.
2. All property and other resources shall be adequately maintained over the life of the asset.
3. Subject to budget provisions, upgrade or replacement of equipment shall be on a planned basis.
4. A register of DAI's property shall be maintained and reviewed annually.

## **Policy 5A      BOARD FUNDRAISING POLICY**

### ***Introduction***

Board members have the responsibility of ensuring the survival and continuation of the organisation. This includes responsibility for ensuring funding is available to support the activities of the organisation.

While the Board may delegate many of the operations of fundraising to other parts of the organisation, the Board retains the responsibility for inspiring other fundraisers, demonstrating the perceived importance of fundraising to the organisation, and demonstrating their leadership in this area. To achieve this, each member of the Board must individually accept their key role in the fundraising process.

Board members should show leadership in fundraising by personally giving to the organisation in proportion to their ability, in recognition of the fact that Board members who do not give themselves will have difficulty asking others to give.

### ***Purpose***

This policy makes explicit the understanding that members of the Board will be asked to contribute to the fundraising activities of DAI.

### ***Procedure***

Board members will be asked to:

- Donate to DAI in proportion to their ability;
- Contribute to the short-term and long-term financial planning of DAI, including its fundraising plan;
- Support the fundraising efforts of other parts of the organisation;
- Support special events run by DAI to raise money or generate contacts;
- Where possible, supply DAI with names of prospective individual and corporate donors;
- Where requested, approach individual or corporate prospects to ask for donations on behalf of DAI, or sign letters to these prospects.

Date of approval by the Board - July 6, 2018

## **Policy 5B          ETHICAL FUNDRAISING**

### ***Introduction***

The Board of Dementia Alliance International is committed to ensuring that fundraising activities are carried out in an ethical manner. This policy applies to the Board, casual, permanent and contract staff and volunteers.

### ***Purpose***

The purpose of this document is to identify DAI's position on fundraising practice and to document the standards expected in raising funds from the community.

### ***Procedure***

DAI's guiding fundraising principle is a simple one – we will only use techniques that we would be happy to be used on ourselves.

In doing so, the organisation will adhere to the following standards:

1. Fundraising activities carried out by DAI will comply with all relevant laws in the area where the fundraising is occurring.
2. Any communications to the public made in the course of carrying out a fundraising activity shall be truthful and non-deceptive.
3. At the Board's discretion all monies raised via fundraising activities will comply with the organisation's stated mission and purpose.
4. All personal information collected DAI is confidential and is not for sale or to be given away or disclosed to any third party without consent.
5. Nobody directly or indirectly employed by or volunteering for DAI shall accept personal commissions, bonuses or payments for fundraising activities on behalf of the organisation.
6. Fundraising activities should not be undertaken if they may be detrimental to the good name or community standing of DAI. The Board will decide this on a case by case basis.
7. Financial contributions will only be accepted from companies, organisations and individuals the Board considers ethical.

Date of approval by the Board: July 6, 2018

## **Policy 5C      SPONSORSHIP POLICY**

### **Dementia Alliance International – Fundraising Policy and Procedures**

#### ***Introduction***

The Board of Dementia Alliance International is committed to ensuring that its financial arrangements are carried out in an ethical manner.

#### ***Purpose***

The purpose of this policy is to establish the framework and guidelines for the creation of productive partnerships between DAI and the private sector, i.e. sponsorship alliances with corporations, foundations, individuals and other non-government organisations.

A sponsorship is about relationship building and can be a powerful way to build and strengthen partnerships. It is recognised that such alliances can provide important financial and marketing support to potential partners of DAI while at the same time generate additional revenues to support DAI's mission and vision.

#### ***Procedure***

The fundamental principles that shape DAI's relationships with sponsors are:  
Sponsorship of DAI or of any symposium, project, program or event held by DAI, will not entitle any sponsor to influence any decision of the organisation.  
DAI will not enter into any alliance or partnership with any corporation or organisation where the association with the prospective partner or acceptance of the sponsorship would jeopardise the financial, legal or moral integrity of DAI or adversely impact upon DAI's standing and reputation in the community.

DAI will accept sponsorships as an additional source of revenue generation provided that all sponsorship alliances are developed and maintained within the regulations embodied in this sponsorship policy.

All sponsorship alliances or partnerships must be consistent with existing Dementia Alliance International policies.

Authorisation: CEO/Chair

Name: Kate Swaffer

Date of approval by the Board: July 6, 2018

Current Board Member Biographies are on our website.

## **Dementia Alliance International Organisational Chart**

### **Governance structure:**

- Members
- Board of Directors 2018
  - Chair & CEO: Kate Swaffer
  - Vice Chair: Jerry Wylie
  - Treasurer: John Sandblom
  - Secretary: Eileen Taylor
  - 8 non office bearing board members: William Turner, Phyllis Fehr, Maria Turner, Ian Gladstone, James McKillop, Agnes Houston, Carole Mulliken,
- Sub Committees
  - Finance Committee
  - Membership Committee
  - Governance Committee
  - Global Development Committee
  - Action Group Committee
- Senior roles:
  - Work, Health & Safety Officer
  - IT Development Officer
  - Research Content Development Officer
- Funding
  - Sponsors
  - Strategic Partners
  - Corporate Partners
  - Donors

### **Composition of main decision-making bodies:**

- The Board of Directors



*Support and Advocacy: Of, by and for people with dementia*