



# Sarnia Community Foundation

## **POLICY MANUAL**

Governance and operational policies guiding the work of the  
Sarnia Community Foundation

Accepted by the Board of the Foundation- February 2009

Amended August 2010, September 2011, January 2012, May 2012, September 2012, January 2013,  
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2019, September 2020, November 2020 August 2021

## **Acknowledgements**

The policies passed by the Board of Directors of the Sarnia Community Foundation in February of 2009 were originally based on Key Policies for Canadian Community Foundations. The Sarnia Community Foundation used the policies established by the national body to guide its work as outlined in the following statement; “The material in CFC’s manuals is intended for its member community foundations. CFC members are encouraged to copy and adapt the material in this manual, as needed, for exclusive use within their foundations”.<sup>1</sup>

Ongoing changes to the document passed by the Board of Directors in February of 2009 reflect the uniqueness of the local community foundation, the ongoing deliberations of the Board and its committees and the changing face of the charitable landscape. While every attempt is made to review and revise policies to account for current government, governance and operational requirements, the Foundation does not publish these in paper format on an ongoing basis. The most current version of the policies can be obtained by contacting the Foundation in person, by phone or by email as follows:



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Community  
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Further information on the Community Foundations of Canada and the community foundation movement can be obtained by visiting <http://www.communityfoundations.ca>

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<sup>1</sup> CFC’s Key Policies for Canadian Community Foundations: [http://communityfoundations.ca/wp-content/uploads/2015/11/FDNDEV\\_Manual\\_PolicyTemplates.pdf](http://communityfoundations.ca/wp-content/uploads/2015/11/FDNDEV_Manual_PolicyTemplates.pdf)

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## **Introduction**

In the fall of 2008 the Board of Directors began a review of the policies established by the Foundation during the 2000 fiscal year. The growth of the Foundation in the previous five years and the adoption of a new strategic plan in 2007 necessitated the review and revision of many of the policies guiding the operation of the Foundation and the work of the Board. This work has continued with the adoption of a formal continuous review process so that the entire manual is reviewed and refreshed as required by the growth of the Foundation and applicable legislation within a five-year time frame. The last series of revisions was completed in the Fall of 2021.

Each of the policies was created and reviewed by the committees of the Foundation and the Board of Directors. Committees of the Foundation are comprised of interested citizens and board members, who work together to further the work of the Foundation. The deliberations of these community members in concert with the Board of Directors has been important to the process of continually refining policies that are reflective of the Foundation and to meet the needs of a charity created by and for the people of Sarnia and Lambton County.

Community foundations have an opportunity and an obligation to model high standards of accountability. The policies of the Foundation are made available to the public via publication on our website or in print format upon request.

These policies are designed to demonstrate an organization’s obligation to model high standards. For the purposes of these policies, governance shall be defined as “the act of governing – providing leadership, direction and ensuring sound management.”

<b>1.01 Board Responsibility</b>	Committee Oversight: Operations	Effective date: November 2020
<b>Approval:</b> Board of Directors		Scheduled review: Every Five Years
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**Purpose:** The purpose of this policy is to outline the primary responsibility of a board member and to document the frequency and content of measuring the effectiveness of the board.

Board members are responsible for:

- Establishing the foundation’s overall direction through the development, approval, implementation and monitoring of a strategic plan
- Exercising care, diligence and skill that a prudent person would show in similar circumstances
- Ensuring that the financial affairs of the corporation are conducted in a responsible, and transparent manner with due regard for their fiduciary responsibilities and public trusteeship
- Ensuring appropriate risk management strategies are in place
- Acting as ambassadors on behalf of the Foundation and actively engage their networks with SCF. Board members should lead by example by considering SCF as their preferred charity for donations and are encouraged to make an annual donation.
- Being informed of the legislation creating the organization, the Foundation’s incorporation articles, bylaws, mission, strategic plan and history.
- Attending board meetings, serving on a committee(s) and contributing to the work of the board
- Voicing, clearly, respectfully and explicitly, at the time a decision is being taken, any opposition to a decision being considered by the board
- Publicly demonstrating acceptance, respect and support for decisions legitimately taken in the transaction of the board’s and/or foundation’s business
- Asking the directors to review a decision where the board acted without full information
- Working with staff, where appropriate, on committees; respect the roles of Board and staff
- Serving the overall best interest of the corporation rather than any particular constituency

<b>1.01 Board Responsibility</b>	Committee Oversight: Operations	Effective date: November 2020
<b>Approval:</b> Board of Directors		Scheduled review: Every Five Years
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**Implementation:**

Board members will be informed of their responsibilities during an orientation session conducted within two (2) months of joining the board. A board manual will be maintained in electronic format by the office and the files shared electronically with all board members. The SCF office will maintain the files and the electronic access point.

**Governance Model**

The board uses a governance model where the board provides direction, develops policy and provides oversight on the systems employed to achieve the mission of the Foundation. Its role is primarily fiduciary & strategic. This governance model may be reviewed on an annual basis.

**Governance Assessment**

The board will assess its effectiveness on an annual basis.

The following will be assessed: board orientation, financial viability, understanding the board’s responsibilities, effectiveness of planning direction and priorities of the foundation, management of board meetings, board commitment to foundation’s mission and values, compliance with bylaws, and conflict of interest. An action plan will be developed to strengthen the board’s effectiveness. The board will monitor the plan.

<b>1.02 Role of Officers</b>	Committee Oversight: Board of Directors	Effective date: August 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Five Years
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**Purpose:** The purpose of this policy is to detail the responsibilities for each of the Signing Officers identified in Policy 2.04

The signing officers as identified in 2.04 Authorization act together as the Executive Committee. The Committee has the authority to act on behalf of the board only on matters that do not impact the financial viability of the foundation. All decisions made on behalf of the board must be ratified at the next board meeting. All decisions of the Committee must be in accordance with the foundation's policies. Decisions can only be made with a quorum of 50% plus one.

### **Board Chair**

The board chair:

- Is the spokesperson for the foundation regarding board policy and direction of the Foundation
- Chairs all Board meetings and Executive Committee meetings
- Manages the activities of the Board and ensures that the Board follows the organization's policies and those imposed by statute or regulation
- Ensures that the Board meetings are conducted efficiently and effectively
- Ensures that the Board has the information and opportunity necessary to come to decisions on matters within its purview
- Sets the agenda in consultation with the staff and other board members, where appropriate
- Ensures that the schedule for meetings, one year in advance, at a regular location and time has been established
- Ensures that items upon which discussion is deferred, are revisited within the appropriate time period
- Ensures that a volunteer recruitment and recognition program is developed and implemented
- Ensures that all standing committees have annual goals and a plan of action
- Completes an annual review of the Executive Director's compensation and performance evaluation and submits recommendation for Board approval
- Ensures that all Board members, staff and volunteers have signed and confirmed their acknowledgement of ethics, confidentiality and participation
- Shall periodically review the entire in camera minutes and materials that remain confidential and determine whether the matter may no longer be confidential. The general principle is that records should not remain segregated from the other SCF Meeting records.
- Completes annual Board review and assessment

<b>1.02 Role of Officers</b>	Committee Oversight: Board of Directors	Effective date: August 2020
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### **Vice Chair**

The Vice Chair assumes the duties of the Chair during his/her absence and will perform other duties prescribed from time to time by the board.

### **Secretary**

The Executive Director acts as Secretary to the Board. The Secretary ensures that minutes of meeting of the board and member records are accurately kept and filed in accordance with statute or regulation and will perform other duties prescribed from time to time by the board. The Secretary is also responsible to ensuring that changes in board are reported to the provincial Office of the Public Guardian and Trustee, Industry Canada or comparable provincial or national office as required. This appointment does not confer the right to vote at the Board or at the committee level.

### **Treasurer**

The Treasurer is responsible for:

- Ensuring that the financial records are updated and maintained
- Ensuring monthly bookkeeping is completed
- Ensuring timely banking and government remittances
- Presenting financial statements to the board on a quarterly basis
- Ensuring the preparation and monitoring of the annual budget
- Ensuring that the annual T3010 is submitted to the Charities Directorate of the Canada Revenue Agency within six months of the fiscal year end
- Ensuring that there is an annual financial audit by an accounting professional of the foundation's financial statements within 180 days of the fiscal year end
- Presenting the annual financial statements to the Board and at other meetings as determined by the Board.

The Treasurer may chair the Finance & Audit Committee.

<b>1.03 Conflict of Interest</b>	Committee Oversight: Board of Directors	Effective date: January 2017
<b>Approval:</b> Board of Directors	<b>Annual Declaration</b>	Scheduled Review: Five years
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**1.0 Statement of Principle:**

Integrity is a core value of The Sarnia Community Foundation and all actions of the Board, management and staff are founded on the principle of ethical community leadership.

The Board, management and staff are conscious of the possible or perceived conflict of interest which may arise in the normal course of business or as a result of Board Members being connected to charitable organizations which have received or may apply for a grant from The Sarnia Community Foundation. At the same time, it is recognized that the process of selection of Board Members inherently involves seeking individuals that are and will continue to be active in the community. Likewise, The Sarnia Community Foundation does not desire to deprive other charitable organizations, although they may be prospective applicants, from seeking the involvement and expertise of our Board Members.

It is in this context that the following policy is adopted:

**2.0 Definitions:**

“Integrity” means conducting all affairs of The Sarnia Community Foundation in an honest, forthright and impartial manner and building of our community relationships on the basis of respect for the values, perspectives and aspirations of others.

“Conflict of Interest” means a perceived, potential or actual conflict of interest between the unbiased exercise of judgment on behalf of The Sarnia Community Foundation and:

**2.1** a perceived, potential or actual obligation to a person or organization that might benefit from special consideration related to a grant application; or

**2.2** a perceived, potential or actual benefit accruing to an individual, corporation, partnership, other business enterprise or non-profit organization of which the Board or staff member or volunteer or a person in his or her immediate family is an officer, director, partner or substantial shareholder.

**Policy Provisions:**

**3.0 Obligation to Declare**

Upon consideration of any application for funding assistance from an organization with which the Director or staff member is affiliated, that affiliation shall be disclosed. The individual so affiliated

<b>1.03 Conflict of Interest</b>	Committee Oversight: Board of Directors	Effective date: January 2017
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shall leave the room during discussions and shall not vote or use personal influence on Board action. The abstention shall be noted in the Minutes.

**3.1** It is the responsibility of each Member of the Board to advise the Secretary of organizations with which the Member or his/her family have affiliation and which have received a grant from The Sarnia Community Foundation in the past or might reasonably be expected to apply for a grant in the future. The Secretary shall list such potential conflicts of interest on the meeting agenda. To facilitate this process, the Secretary shall circulate a list of all organizations which submitted a grant request to The Sarnia Community Foundation during the previous three fiscal years together with a form entitled “Declaration of Potential Conflict of Interest” for completed by each Member of the Board, management and staff.

**3.2** It is the responsibility of the Executive Director to assure that the Board is aware of any potential staff conflicts of interest resulting from a staff member or his/her immediate family having affiliation with an organization which has received a grant from The Sarnia Community Foundation or might reasonably be expected to apply for a grant in the future.

**3.3** No employee shall participate in the decision making process surrounding a grant application where there is a perceived, potential or actual conflict of interest. As a general rule, staff members are discouraged from holding a board executive position with a prospective recipient organization.

**3.4** A declaration of a conflict of interest shall not affect the quorum of the meeting.

**4.0 Confidentiality of Information:**

Information about community projects reviewed by The Sarnia Community Foundation is not generally considered to be confidential but some guidelines do apply:

**4.1** It is expected by applicants that information will be used with discretion;

**4.2** No information obtained through involvement with The Sarnia Community Foundation is to be used for personal gain;

**4.3** The Board acts as a whole and positions of individual Board Members during deliberations are not disclosed – the privacy of discussion pertaining to Board decisions shall be respected;

<b>1.03 Conflict of Interest</b>	Committee Oversight: Board of Directors	Effective date: January 2017
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**4.4** Third party opinions provided with respect to grant applications are treated in confidence;

**4.5** Donor requests regarding confidentiality are always respected.

**4.6** Matters related to personnel, litigation and property transactions are considered private.

**5.0 Full Disclosure:**

No undisclosed or unrecorded asset or account is to be held or established for any purpose at The Sarnia Community Foundation. No false or misleading entries will be made in the books and records of The Sarnia Community Foundation for any reason. No payments will be approved or made with the knowledge or intention that any part is to be used for any purpose other than that described in the supporting documentation.

**6.0 Non-monetary Transactions:**

No member of the Board, volunteer or staff employed by The Sarnia Community Foundation shall use for personal gain or advantage the Foundation’s facilities, equipment, mailing lists, computer data, employee time or other assets.

**7.0 Acceptance of Gifts:**

No Board member, officer, employee or volunteer shall accept gifts (other than of nominal nature) or use their position with The Sarnia Community Foundation to obtain personal gain from those doing or seeking to do business with The Sarnia Community Foundation.

**8.0 Non-Compliance**

The Chairman or the Executive Director, as the case may be, shall assess the circumstances surrounding any non-compliance with this policy and shall make a recommendation to the Board of Directors.

**9.0 Orientation Program:**

This Conflict of Interest Policy shall form part of the orientation of every Board Member, employee and volunteer of The Sarnia Community Foundation.

**10.0 Public Statement:**

The Annual Report of the Sarnia Community Foundation shall include a brief statement referencing adherence to a written conflict of interest policy.

<b>1.04 Confidentiality &amp; Code of Ethics</b>	Committee Oversight: Board of Directors	Effective date: January 2017
<b>Approval:</b> Board of Directors	<b>Annual Declaration</b>	Scheduled Review: Five Years
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**Purpose:** The purpose of this policy is to stress the critical importance of confidentiality and ethical behaviour by the Board, committee members, volunteers, and staff of the Foundation

**Confidentiality Policy:**

Board members, committee or office volunteers and staff are required at all times to respect the confidentiality of a donor’s name, level of gift and personal circumstances that might identify a donor, if asked to do so by the donor or by a motion of the board.

Board members are required to hold in confidence discussions held at Board meetings. Board members are required to hold in strictest confidence all matters dealt with by the board during in-camera meetings and matters relating to personnel and property. All such discussions and especially those on subjects where premature disclosure to the community may create negative perceptions are considered to be confidential.

A board member may be asked to resign from the board if they have breached confidentiality. A committee or office volunteer will be excused from their assignment if they have breached confidentiality. Staff members that breach confidentiality will be subject to the disciplinary procedures outlined in the Foundation’s Human Resource Policies.

**Code of Ethics Policy**

The Board of Directors promotes the highest standards of ethical behaviour. This Code of Ethics has been established to provide appropriate guidelines.

*1. Integrity*

Foundation members shall act with competence, honesty, integrity and fairness while carrying out their obligations for the Foundation.

*2. Role*

The well-being of the people of Sarnia and Lambton County will be the primary role of Foundation members. In addition, Board, Staff and Volunteers will act in the best interests of the Foundation in fulfilling its mission.

*3. Governance*

The Board of Directors understands their role as the governing body of the Foundation and accepts full responsibility for setting the vision, mission, strategic direction, and Foundation policies. The Board is also responsible for oversight of the finances and operations and for the actions and performance of the Executive Director. The Directors will ensure that as a group they have or will

<b>1.04 Confidentiality &amp; Code of Ethics</b>	Committee Oversight: Board of Directors	Effective date: January 2017
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acquire the relevant skills and experience along with securing the required resources to complete the Foundation’s mission.

*4. Accountability and Transparency*

In carrying out philanthropic activities Foundation Directors, staff and volunteers act within the letter and the spirit of the law. The Foundation embraces public interest, takes full responsibility for its actions, communicates truthfully, and ensures public records are easily available while maintaining appropriate privacy and confidentiality. The Foundation will manage its resources carefully and frugally, actively avoiding excessive expense.

*5. Diversity and Inclusiveness*

The Foundation seeks diversity and inclusiveness in order to reflect all of Sarnia and Lambton County. The Foundation strives to ensure that a full range of perspectives contribute to the common good of our local society. In conducting its business all members of the Foundation will listen to and treat all others who come together under the auspices of the Foundation with respect.

*6. Conflict*

The Foundation seeks to involve Board members, staff and volunteers who are active in community life. It is very likely that on occasion conflicts of interest will arise. Everyone involved with the Foundation will act conscientiously to ensure that all conflicts are declared and appropriate actions are taken within the policies and guidelines established by the Board of Directors.

**Implementation**

The above constitutes the Statement of Confidentiality and Code of Ethics. Each board, staff and committee member and all other volunteers working on behalf of the Foundation will sign and date a statement indicating their consent to act as a director, volunteer or staff member and their understanding of this policy annually. The Board Chair will ensure that the Executive Director has provided each individual with the appropriate forms and obtained their signature.

<b>1.05 Risk Management</b>	Committee Oversight: Board of Directors	Effective date: November 2017
<b>Approval:</b> Board of Directors		Scheduled Review: Every Five Years
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**Purpose:** The purpose of this policy is to ensure that the Foundation is operated in a manner designed to minimize risk.

**Preamble:** The Foundation has an obligation to model high standards of accountability, at a time when charitable organizations are being closely scrutinized by donors, government agencies and the public. A major accountability is the identification of risks faced by the organization and the development of plans to manage these risks.

**Policy:** Risks that may be encountered by the Foundation in its operation will likely fall into the following broad categories:

- Strategic
- Operational
- Financial
- Reputational
- Legal/Regulatory
- Economic
- Political
- Insurance
- Health & Safety

**Initial Risk Assessment:**

A risk assessment shall be carried out for each of the above categories. It shall be conducted by an ad-hoc committee made up of representatives from each of the Foundation’s standing sub-committees.

A risk assessment is defined as the systematic application of policies, procedures and practices to the tasks of identifying, analyzing, evaluating and controlling risk.

Risks shall be assessed in terms of:

- Probability of an unwanted adverse event occurring that has a negative impact on the Foundation
- The severity of the consequences of such an event

Probability and consequences for each identified risk shall be defined on an agreed-upon scale e.g. high, medium, low or 1 -10 etc.

<b>1.05 Risk Management</b>	Committee Oversight: Board of Directors	Effective date: November 2017
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The level of risk shall be the probability multiplied by severity.

Risks shall be prioritized from highest to lowest, with major focus on the most important risks.

Plans shall be put in place to mitigate the identified risks. Four potential strategies may be considered:

- Risk acceptance i.e. do nothing
- Risk Avoidance i.e. cease the activity
- Risk Limitation i.e. take some action
- Risk transference i.e. assign the activity to another organization

**Risk Assessment Review:**

The current risk assessment shall be reviewed and updated, if necessary, annually to reflect changes in both the internal and external environment.

<b>1.06 Board-Staff Relationship</b>	Committee Oversight: Board of Directors	Effective date: November 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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**Purpose:** This policy establishes the ground rules that govern the manner in which the Board, individual members of the Board and Board-appointed committees communicate with the Executive Director of the Foundation.

**Policy:** The Board’s mandate is generally confined to establishing broad policies, leaving their implementation and subsidiary policy development to the Executive Director. All Board authority delegated to staff is delegated through the Executive Director so that the authority and accountability of staff derives from the authority and accountability of the Executive Director. The Executive Director is authorized to establish operational policies, make decisions, take actions and develop activities as long as they are consistent with any reasonable interpretation of the Board’s policies

Board-appointed committees utilize the expertise of staff and the judgment and experience of Board members and members of the community. Much of the work of the foundation is stimulated through these committees.

The Board as a group, rather than individual directors, officers or committees, is responsible for providing direction to the Executive Director. Communications from the Board to staff will normally be from the Chair of the Board to the Executive Director. When it is required, direct communication between committees and staff will normally be handled through the chair of the committee with the approval of the Board Chair.

<b>1.07 Executive Director's Authority &amp; Responsibilities</b>	Committee Oversight: Board of Directors	Effective date: November 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five years *
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**Purpose:** This policy describes the responsibilities and Board's expectations of the Executive Director and the authority delegated by the Board to that office.

**Policy:** The Board contracts with the Executive Director for the management and administration of the Foundation. The Executive Director is responsible, within the parameters established by the Board, for determining the means by which the Board's direction and policies will be executed and the desired outcomes achieved.

The Executive Director is employed by the board of directors and is therefore responsible to the board as a whole rather than to individual members of the board. She or he is required to implement policies determined by the board, consistent with the requirements of any relevant legislation or regulations.

### **Responsibilities**

In the exercise of her or his responsibilities, the Executive Director:

- Is authorized to expend funds within the limits of the annual budget and operating plan;
- Is required to report to the Board if it is not possible to operate within the limits of that budget;
- Will bring to the attention of the Board, the need for special and exceptional expenditures not included in the budget;
- Is expected to provide advice to the Board on policy, program and service issues that affect the delivery of services provided by the Foundation;
- Will provide the Board with the information it requires to govern effectively;
- Is responsible for employing all staff members within the classifications and salary ranges approved by the Board.
- Will recruit and organize volunteers

### **Detailed Job Description**

Notwithstanding the general responsibilities noted above, the Foundation will maintain a detailed job description for the position of Executive Director. This document will be reviewed and updated every two years.

**\* Monitoring and Review:** This policy will be reviewed every five years or upon a change in Executive Director.

<b>1.08 Executive Director Performance Evaluation</b>	Committee Oversight: Board of Directors	Effective date: November 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years *
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**Purpose:** The purpose of this policy is to document the criteria and process for performing the annual performance review for the Executive Director of the Foundation.

**Policy:** The Executive Director is the sole official link between the Board of Directors and the Foundation. The responsibilities of the Executive Director lie in the exercise of delegated authority and compliance with parameters established by Board policy and directives.

The job contributions of the Executive Director will be measured by performance in the following areas

- Leadership
- Strategic Thinking and Planning
- Delivery of Results
- Management of People
- Communication
- Management of Financial and other Resources
- Personal Effectiveness
- Expertise
- Intellect and Judgement

**Process:**

The performance evaluation will be completed during the fourth quarter and will involve four steps:

1. A written self-evaluation by the Executive Director covering progress on meeting Board-approved objectives and overall Foundation performance.
2. The Chair of the Foundation will solicit input from the other members of the Board and will prepare a summary performance review.
3. The Board will meet in-camera without the Executive Director for the specific purpose of reviewing the performance evaluation.
4. The Chair and one board member will meet with the Executive Director to discuss the evaluation.

In addition to the evaluation of performance, the review will outline objectives for the upcoming year and training and development plans for the Executive Director.

The Chair will provide the Executive Director with more informal feedback on performance on a regular basis as issues may arise and at least once midway between formal appraisals.

**\*Monitoring and Review** -This policy will be reviewed every five years or upon a change in Executive Director.

<b>1.09 Succession Planning &amp; Board Recruitment</b>	Committee Oversight: Board of Directors	Effective date: November 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Five Years
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**Purpose:** The purpose of this policy is twofold:

- 1) To document the Board's responsibility in the area of Board renewal and
- 2) To itemize important criteria for selecting potential new Board members.

**Policy:** The Act incorporating the Sarnia Community Foundation requires that the term of office of at least four members of the Board expire each year. The Act also requires that new Board Members are appointed by a Nominating Committee consisting of;

1. The Mayor of the City of Sarnia, or any other member of City Council nominated by the mayor.
2. The Chairman of the Board of Governors of Lambton College
3. The President of the Sarnia & District Chamber of Commerce
4. The President of the Lambton Law Association

It is the responsibility of the current board to recommend suitable persons for board positions to the Nominating Committee, i.e. the Board has a responsibility for Succession Planning. (Refer to Appendix A)

As in any organization, Succession Planning in a volunteer organization involves the identification of the skills necessary to operate the organization and a process to ensure that people are identified, or are being prepared within the organization, to provide those skills. The Succession Planning process needs to:

- Identify the incumbent in each skill area
- Identify when replacements are needed
- Identify potential replacements
- Take the necessary action to prepare them

There are four principal areas of operation that must be addressed when identifying skill needs:

- Fiscal operation of the Foundation
- Fund Raising
- Grant making
- Community development

<b>1.09 Succession Planning &amp; Board Recruitment</b>	Committee Oversight: Board of Directors	Effective date: November 2020
<b>Approval:</b> Board of Directors		Scheduled Review : Every Five Years
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Operating Skill Needs

Professional skills

Financial (Investment Management)

Legal

Accounting

To chair Investment committee

Estate law and general legal counsel

To act as Treasurer

Experience skills

Organization and Administration

Community Development

Event Management

The other six board positions require people who are able to lead committees made up of board members and volunteers and are comfortable in carrying out the basic foundation activity of getting donors through: donor recruitment, planned giving and fund raising campaigns

The composition of an ideal Board should represent the geographic area covered by the Foundation (Lambton County) and include all demographic, professional and ethnic types. It should include

- Young, mature and retired individuals
- Representation from the city as well as the rural area
- Representation from industry
- Representation from private enterprises
- Service businesses and organizations
- The media and communications field

In selecting potential board members for any position, consideration needs to be given to maintaining a balance between connections into the various community groups and the skill requirements of the organization.

<b>1.10 Board Meeting Attendance</b>	Committee Oversight: Executive	Effective date: August 2020
<b>Approval:</b> Board of Directors	<b>Annual Review with Board Forms</b>	Scheduled Formal Review: Five Years
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**Purpose:** Board members are expected to demonstrate their commitment to the Sarnia Community Foundation by full attendance at board meetings except when prevented by unforeseeable events. This policy is intended to support the contribution of all board members.

**Definition of a Board Attendance Problem**

A board attendance problem occurs if any of the following conditions exist:

1. The member misses two consecutive meetings without having notified either the board chair or the Executive Director.
2. The member misses three consecutive meetings whether proper notification was given or not.
3. The member misses more than one third of the total number of board meetings in a twelve - month period.

**Process**

1. If a board member is in breach of their attendance requirements the chair shall consult with the member to discuss the matter.
2. If possible the member and the chair shall resolve the problem leading to the member’s absences.
3. If no mutually satisfactory resolution is possible, and if the member wishes to continue on the board, then the member’s response will be shared with the entire board in an in-camera session at the next board meeting. At this meeting the board will decide what actions to take regarding the member’s future membership on the board.
4. A Board member may request a “leave of absence” if he/she anticipates an impending attendance problem (as defined above). The board will discuss the reasons for the request at an "in camera" session and reach a decision at the next board meeting.

<b>1.11 In Camera</b>	Committee Oversight: Executive	Effective date: August 2021
<b>Approval:</b> Board of Directors		Scheduled review: Five Years
		Page 1 of 2

**Preamble:** The SCF Board of Directors supports the principles of openness and transparency but is also mindful of its obligation to keep in confidence all matters that are related to sensitive financial information, donor information, negotiation strategies, executive performance and compensation issues, and/or legitimate personal matters. The Board has the right to deal with matters in closed meetings or “in camera” at the call of the Chair and at any point during a meeting, if warranted. The SCF Board therefore sets the following criteria for in camera meetings.

### Policy

Matters that will generally be dealt with in an *in-camera* session of Board members only include, but are not limited to:

- Employment of the Executive Director – evaluation, contract negotiation;
- Internal issues regarding Board conduct.

Matters that will generally be dealt with in an *in-camera* session of the Board collaboratively with the ED include, but are not limited to:

- Conflicts of interest;
- Legal issues;
- Security of the assets, personnel or property

Prior to a Board Meeting, the Chair should evaluate each item on the draft agenda and determine whether discussion on an item would be enhanced if the Meeting was held “in camera”. Items that are clearly “in camera” matters should be grouped together, and placed at the end of the agenda. Board members should make every effort to apprise the Chair of their intent to ask for an in camera session prior to the start of the meeting so that the Chair has the opportunity to gauge the need and order the meeting accordingly.

At the beginning of the Meeting, when the agenda is approved the Chair should ask for any additional items on the agenda. The Chair is responsible to ensure that only items determined in advance, or at the meeting to be appropriately considered at the closed meeting are discussed in-camera. The Chair rules on whether items are appropriate to be considered “in camera” as part of the authority of the Chair to oversee the Meeting, subject always to a contrary vote being called. The Chair should determine and announce who will remain in the Meeting and the rationale if requested for excluding any individuals being asked to leave the Meeting.

In the event the Corporate Secretary does not attend the “in camera” meeting, the Chair will ensure that an appropriate record of the meeting is kept.

<b>1.11 In Camera</b>	Committee Oversight: Executive	Effective date: August 2021
<b>Approval:</b> Board of Directors		Scheduled review: Five Years
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Minutes of an “in camera” meeting should be distributed to all Board members and after their approval should be kept confidential and separately unless it is determined that the in camera factors no longer apply, in which case they should become part of the SCF records and the decisions recorded in the formal minutes of the meeting. The Corporate Secretary shall keep or cause to be kept a list of in camera minutes.

The Chair shall periodically review the entire in camera minutes and materials that remain confidential and determine whether the matter may no longer be confidential. The general principle is that records should not remain segregated from the other SCF Meeting records.

The purpose of the policies in this section is to guide the work of the Board in its fiduciary responsibility. In all instances adherence to the rules and regulations of the Canada Revenue Agency as applied to Public Foundations is to be a standard operational procedure.

<b>2.01 Investment Policy – Long Term</b>	Committee Oversight: Finance & Audit	Effective date: September 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Three Years*
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**Purpose:** The purposes of this policy are

- 1) To outline the Foundation’s investment principles and
- 2) To provide guidelines to maximize return on investment in a prudent manner.

**Preamble:** The mission of the Foundation is based on the growth and stewardship of endowment funds that support charitable activity throughout Lambton County. Therefore, the Foundation requires a total investment return that:

1. achieves the disbursement rate of the Foundation,
2. recovers the cost of managing the investments and the administration of the Foundation,
3. protects the purchasing power of the Fund’s capital, and
4. establishes retained earnings for future market declines.

The expected rate of return on the Consolidated Trust Funds (hereinafter referred to as the "Fund") recognizes the nature of the Fund's requirements, time horizon and risk tolerance. The nature of the Fund's requirements may change over time, and accordingly the Directors will review the Fund’s objectives from time to time keeping in mind the level of assets and purpose of the Foundation.

Prudent investment practices as identified in an Investment Policy Statement and monitored on an ongoing basis will provide for this. Such practice will also ensure that the Foundation conforms to the requirements of applicable Federal and Provincial Statutes and Legislation including the Income Tax Act (Canada) and the Trustee Act R.S.O.

**Roles and Responsibilities:**

The Board of Directors is responsible for reviewing and approving the Investment Policy on a regular basis, ensuring compliance to this Policy and for monitoring the performance achieved on a

<b>2.01 Investment Policy – Long Term</b>	Committee Oversight: Finance & Audit	Effective date: September 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Three Years*
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quarterly basis. The Board of Directors will appoint a Finance and Audit Committee comprised of financial professionals and community members to provide assistance and advice.

The Committee will provide the Board with a recommended Investment Policy Statement and will report to the Board on the performance of the Foundation’s investments on a quarterly basis, in accordance with this policy and the return objectives identified once accepted. The Committee is required to inform the Board if the Committee feels that the performance expectations cannot be met or that the investment guidelines in the Investment Policy restrict performance.

The Committee will also provide the Board with recommendations regarding compliance matters and any required changes to fiscal practice.

The Committee will recommend to the Board when it is appropriate to renew the contract of, or replace the Investment Manager or Managers. The Finance and Audit Committee is responsible for conducting a search for an Investment Manager, as directed by the Board, and forwarding their recommendation to the Board. A Request for Proposal format will be used for any search. Proposals will include understanding of the requirements of the Investment Manager, applicable investment fees, reports to be prepared, performance and experience in managing funds, broad investment approach and services offered. The Investment Manager is required to comply with the Code of Ethics and Standards of Professional Conduct as adopted by the Association for Investment Management and Research (AIMR).

The Committee will monitor the performance of the Investment Manager according to established criteria, agreed to jointly by the Committee and the Manager at the time of hire. The Board will provide final approval on the established criteria.

The Investment Manager(s) will participate in the establishment and the review of the Investment Policy as required.

The Investment Manager(s) is required to:

- Provide a review of the Fund’s performance as well as expectations on the economic and financial market outlook and related investment strategies on a quarterly basis to the Committee, such report to be presented to the Board by the Chair of the Committee.
- Notify the Foundation Board and the Committee promptly in writing of any significant changes in the policies, procedures, personnel, ownership or any similar areas of the investment firm.
- Inform the Committee if the Investment Manager at any time feels that the performance expectations cannot be met or that any guidelines contained herein restrict performance.
- Disclose any material interest in any investment or proposed transaction.

<b>2.01 Investment Policy – Long Term</b>	Committee Oversight: Finance & Audit	Effective date: September 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Three Years *
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- Provide a letter of compliance, within 4 weeks at the end of each quarter, detailing and explaining any investment guidelines contained in the policy, which have been breached and the steps being undertaken to return to compliance.
- Provide a letter of compliance, annually confirming compliance with investment guidelines contained in the policy.

The Investment Policy Statement will include the following:

- Overall total return objective, measured on a four year moving average basis, to achieve a maximum rate of return consistent with prudent investments in order to meet the Spending and Capital Preservation Policy guidelines
- Provision of income for distribution while addressing the Foundation’s administrative fee structure and the preservation of capital
- Consideration of safety of capital, liquidity and long term capital growth
- Identification of eligible asset classes, asset allocation, and appropriate level of diversification
- Performance benchmarks in each asset class

**General Information:**

The Board has the final authority on investments and may, on occasion and by board resolution, opt to invest a portion of the endowed capital outside the main capital pool for a defined period. At least two of the signing officers of the Foundation will be identified as the trading authority in such cases at the time of the resolution. Such investment will be monitored by the Finance and Audit Committee.

**Minimum Annual Income needs** – 5-6% annually, net of Investment Manager’s fee and inclusive of the Foundation’s administrative fee. Income is defined as interest, dividends, and realized and unrealized capital gains net of capital losses

**Liquidity needs** – There are no anticipated large cash withdrawals over the time horizon

No part of the Endowed Funds will be loaned to any individual or company.

**Terms of Engagement**

It is expected that successful investment firm will provide services for an initial period of three years. The Foundation, if satisfied with the performance, may extend their commitment for a further 3-year period. This is not a guarantee of timelines but a guideline as the ongoing performance of the portfolio will be reviewed by the Committee on a regular basis.

**Monitoring:** This policy will be reviewed every three years or at the discretion of the committee.

<b>2.02 Investment Policy – Short Term</b>	Committee Oversight: Finance & Audit	Effective date: September 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Three Years *
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**Purpose:** This policy establishes the authority and limitations for the investment of operating funds and flow through funds.

**Policy:** The Treasurer and Executive Director will have the authority to invest operating and flow through funds for a period not to exceed one year. These investments are limited to investment certificates, high interest savings accounts or money market mutual funds.

The Board must be informed of these investments at its next meeting and the intended disposition of the income achieved should be identified at the same meeting. Investment income from these accounts will be directed as identified in any applicable fund agreement.

There is a requirement to maintain sufficient cash in the Foundation’s current accounts to meet, at a minimum, the current month’s operating expenses, granting or flow through disbursements.

**Monitoring:** This policy will be reviewed every three years or at the discretion of the Finance & Audit committee or upon change in Treasurer and/or Executive Director.

<b>2.03 Administrative Fee</b>	Committee Oversight: Board of Directors	Effective date: October 2020
<b>Approval:</b> Board of Directors	Reviewed:	Scheduled Review: Annual
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**Purpose:** The purpose of this policy is to outline the processes for determining the administrative fee for philanthropic services charged to endowment and flow through funds.

**Preamble:** Some foundations cover their operating costs not only with their administration fees, but also with donations specifically towards operations (in-kind and cash) and/or with one or two annual special fundraising events. The preferred course of action for the Foundation is to fund operations through an endowed operation fund but recognizes that both admin fees and events may be required to meet operational obligations.

**Policy:** The Foundation will charge a philanthropic services (administration) fee on all funds. This fee will be determined by the Board based on the recommendation of the Treasurer and the Finance and Audit Committee and be reviewed on an annual basis.

Fee are assessed on each fund as follows:

1. Endowed funds:

- a. Up to \$500,000 – 1.5%
- b. \$500,001- \$1,000,000- 1% (.25% of the quarterly closing balance)
- c. \$1,000,001 to \$3,000,000 - .75% (.1875% of the quarterly closing balance)
- d. Values over \$3,000,000 – 0.50% (.125% of the quarterly closing balance)

Fees for endowed funds are charged on a quarterly basis prior to distribution. The provision for such fees will be included in all fund agreements.

2. Flow-through funds:

- a. 1.5% of the value of the donation when it is received by SCF
- b. Cost recovery of bank or fee for service charges when donation is made.
- c. The fee could be waived if funds are held for a minimum of three months and Foundation retains investment earnings or if the donor has an existing endowed fund with the Foundation.

The provision for such fees will be included in all fund agreements.

3. Managed funds (NOT CURRENTLY OFFERED)

As for endowed funds

- a. \$50,000 to \$500,000 – 1.5%
- b. \$500,001- \$1,000,000- 1% (.25% of the quarterly closing balance)
- c. \$1,000,001 to \$3,000,000 - .75% (.1875% of the quarterly closing balance)
- d. Values over \$3,000,000 – 0.50% (.125% of the quarterly closing balance)

Fees for managed funds are charged on a quarterly basis prior to distribution.

<b>2.03 Administrative Fee</b>	Committee Oversight: Board of Directors	Effective date: October 2020
<b>Approval:</b> Board of Directors	Reviewed: June 2017	Scheduled Review: Annual
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4. Extraordinary expenses:

Any extraordinary direct expenses incurred on behalf of a fund related to a specific commission for the sale of contributed stock or sale of property will be charged to the fund. Special grant processing and other non-standard services may also result in additional charges.

Exceptions may be made with board approval prior to fund acceptance and at the time of the fund's establishment. Such exceptions would be provided for in the fund agreement.

Donors establishing donor advised, designated and flow-through funds will be informed of the fee at the time of the fund's establishment.

**Monitoring:** This policy will be reviewed annually.

<b>2.04 Authorization</b>	Committee Oversight: Board of Directors	Effective date: June 2020
<b>Approval:</b> Board of Directors	Reviewed and revised	Scheduled Review: Five Years *
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**Purpose:** The purpose of this policy is to define the signing authority for the Foundation for all financial and legal transactions as well as for all fund agreements.

**Policy:** There shall be up to four signing officers for the Foundation; the Board Chair, Vice Chair, Treasurer and Executive Director. Two signatures, one of which should be that of the Treasurer, will be required on all cheques and banking documents. In the case where the funds are transferred electronically from the Foundation, the Treasurer will be provided with a list of payables in advance for signature which will be countersigned by the ED prior to transfer. Should the Treasurer be incapacitated, away or otherwise unable to perform the duties of Treasurer, the Executive Director will be responsible for ensuring the business obligations of the Foundation are paid and act as Treasurer until the Treasurer returns or, if required, a new Treasurer is appointed and signing authority granted by the Board. The second signature will still be required on cheques or the listing of payables prior to transfer.

The Board Chair and Executive Director in the role of Secretary to the Board sign all legal documents, once the board approves these documents. Should a third signature be required as one of the first two signers has a conflict of interest or a potential conflict then the Treasurer or Vice Chair should sign.

The Board Chair, Executive Director in the role of Secretary to the Board and/or the Treasurer sign all fund agreements, once the board approves the fund's acceptance.

The Executive Director or the Treasurer sign donation receipts.

The Executive Director approves all invoices for payment and monitors all invoices and expenditures to ensure that they will fall within budget. The Board Chair must also approve non-budgeted invoices over \$1,000.

**Monitoring and Review:** This policy will be reviewed every five years or upon hiring staff responsible for financial functions of the Foundation or a change in Treasurer.

<b>2.05 Ethical Fundraising and Financial Accountability</b>	Committee Oversight: Board of Directors	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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**Purpose:** The purpose of this policy is to ensure that the Foundation’s financial affairs will be conducted in a responsible manner, consistent with the ethical obligations of stewardship and the legal requirements of provincial and federal regulators, and assure donors of the integrity and accountability of the Foundation’s fundraising practices that respect donors’ rights to truthful information and privacy. This policy also commits the Foundation to manage responsibly the funds that donors entrust to them, and to report their financial affairs accurately.

**Donors’ Rights:**

1. All donors (individuals, corporation, and foundations) are entitled to receive an official receipt for income tax or audit purposes for the amount of the donation. Donors of non-monetary gifts (or gifts-in-kind) are entitled to receive an official receipt that reflects the fair market value of the gift. (Note: The definition of a gift comprehensively defined by the Canada Revenue Agency <http://www.cra-arc.gc.ca/chrts-gvng/chrts/prtng/gftng-rcptng-eng.html> and will be applied in all instances. Some common gifts, donations of volunteer time, services, food, etc. are not eligible to receive income tax receipts.
2. All fundraising solicitations by or on behalf of the Foundation will disclose the Foundation’s name and the purpose for which funds are requested. Printed solicitations (however transmitted) will also include its address or other contact information.
3. Donors and prospective donors are entitled to following promptly upon request:
  - The Foundation’s most recent annual report and financial statements as approved by the governing board;
  - The Foundation’s registration number (BN) as assigned by CRA;
  - Any information contained in the public portion of the Foundation’s most recent Foundation Information Return (form T3010) as submitted to CRA;
  - A list of the members of the Foundation’s governing board;
  - a copy of this Ethical Fundraising & Financial Accountability Policy.
4. Donors and prospective donors are entitled to know, upon request, whether an individual soliciting funds on behalf of the Foundation is a volunteer, a Board member or an employee.
5. Donors will be encouraged to seek independent advice if the Foundation has any reasons to believe that a proposed gift might significantly affect the donor’s financial position, taxable income, or relationship with family members.
6. Donors’ requests to remain anonymous will be respected.

<b>2.05 Ethical Fundraising and Financial Accountability</b>	Committee Oversight: Board of Directors	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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7. The privacy of donors will be respected. Any donor records that are maintained by the Foundation will be kept confidential to the greatest extent possible. Donors have the right to see their own donor record, and to challenge its accuracy.
8. The Foundation does not exchange, rent, or otherwise share its fundraising or donor lists with other organizations.
9. Donors and prospective donors will be treated with respect. Every effort will be made to honour their requests to:
  - Limit the frequency of solicitations;
  - Not be solicited by phone or other technology;
  - Not receive material concerning the Foundation.

### **Fundraising Practices:**

1. Fundraising solicitations on behalf of the Foundation will:
  - Be truthful;
  - Accurately describe the Foundation’s activities and the intended use of donated funds; and
  - Respect the dignity and privacy of those who benefit from the Foundation’s activities
2. Board members, staff, and volunteers who solicit or receive funds on behalf of the Foundation shall:
  - Adhere to the provisions of this Ethical Fundraising & Financial Accountability Policy;
  - Act with fairness, integrity, and in accordance with all applicable laws;
  - Adhere to the provisions of the applicable professional codes of ethics, standard practices, etc.
  - Cease solicitation of a prospective donor who identifies the solicitation as harassment or undue pressure;
  - Disclose immediately to the Foundation any actual or apparent conflict of interest; and
  - Not accept donations for purposes that are inconsistent with the Foundation’s objects or missions
3. Employees will be compensated by a salary, and will not be paid finders’ fees, commissions or other payments based on either the number of gifts received or the value of funds raised.
4. The Foundation will not sell, lend nor rent its donor list.
5. The Foundation’s Board will be informed at least annually of the number, type and disposition of complaints or issues received from donors or prospective donors about matters that are addressed in this Ethical Fundraising & Financial Accountability Policy.

<b>2.05 Ethical Fundraising and Financial Accountability</b>	Committee Oversight: Board of Directors	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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### Financial Accountability

1. The Foundation’s financial affairs will be conducted in a responsible manner, consistent with the ethical obligations of stewardship and the legal requirements of provincial and federal regulators.
2. All donations will be used for the purposes for which they were given. If an alternate use for a donation is necessary due to program or organizational change, this will be discussed with the donor or the donor’s legal designate. If the donor is deceased and the Foundation is unable to contact a legal designate, the donation will be used in a manner that is as consistent as possible with the donor’s original intent. The guidance provided by the Canada Revenue Agency (<http://www.cra-arc.gc.ca/chrts-gvng/chrts/plcy/cgd/rtrng-dntd-prpty-eng.html>) will be used in making a determination as to the return of a gift if no agreement can be reached with the donor or their legal designate.
3. Annual financial reports will:
  - Be factual and accurate in all material respects;
  - Disclose:
    - the total amount of fundraising revenues (receipted and non-receipted);
    - the total amount of fundraising expenses (including salaries and overhead costs);
    - the total amount of donations that are receipted for income tax purposes (excluding bequests, endowed donations that cannot be expended for at least 10 years, and gifts from other charities);
    - the total amount of expenditures on charitable activities (including gifts to other charities)
  - Identify government grants and contributions separately from other donations; and
  - Be prepared in accordance with the Canadian accounting standards for not-for-profit organizations established by the Chartered Professional Accountants of Canada, in all material respects.
4. No more will be spent on administration and fundraising than is required to ensure effective management and resource development. In any event, the Foundation will be compliant with the CRA requirements for charitable disbursement.
5. The Foundation will comply with the Income Tax Act (Canada) in all material respects.

<b>2.06 Capital Preservation, Spending &amp; Distribution Policy</b>	Committee Oversight: Board of Directors	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years *
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**Preamble:** The Sarnia Community Foundation is the steward of endowed funds that were created by gifts from a number of donors. The earnings on the endowed funds are a source of income for the granting program and the administration of the Foundation. As these funds are held in perpetuity, the Board of Directors recognizes that the capital in the funds should be protected against the effects of inflation to preserve as much as possible the purchasing power of the funds (i.e. maintain value of the funds on an inflation-adjusted basis).

**Purpose:** This policy establishes the timing and process for determining the distribution and allocation of total annual earnings from all funds held by the Foundation.

**Policy:** The Foundation recognizes that the earnings on the endowed funds fluctuate from year to year. In recognition of these fluctuations and the impact on the annual distributions, there is a need to maintain a reserve of undistributed earnings.

At the first meeting following the presentation of the annual financial statements, the Board, on the recommendation of the Treasurer and Finance & Audit Committee, will determine the distributions of the total annual earnings on the fund and the portions of which to be available to be:

- Allocated to annual administrative and investment fees
- Spent on grants
- Held in reserve as earnings for future distribution. This reserve will be a minimum of one years anticipated grants and capped at a maximum of two years. The recommended strategy is to take 50% of the unallocated capital gains less funds needed for income clearing to achieve this reserve.
- Reinvested back into the capital of each fund based on the balance at the beginning of the previous fiscal year.

As a general rule, The Sarnia Community Foundation will distribute in grants a minimum of 3.5% of the average value of assets held during the previous 24 months.

**Monitoring:** This policy will be reviewed every five years, when CRA regulations change or when there is a significant change in the return on the Foundation’s investments.

<b>2.07 Procurement and Purchasing</b>	Committee Oversight: Finance and Audit	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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**Purpose:** This policy establishes the protocols for purchase of goods and services related to the operations of the Foundation.

**Preamble:** The policy of Sarnia Community Foundation is to obtain the best value for the materials, goods, and services that it purchases and to maintain the obligations for ethical behavior, compliance with government regulations, proper transaction documentation and fiscal responsibility in dealing with its suppliers. Value includes price, quality, and service.

**Policy:**

1. Purchasing needs arise in a variety of contexts. In some cases, staff and volunteers with a purchasing need may wish to engage prospective suppliers in preliminary discussions. In other cases, staff may decide to ask the Executive Director to deal with prospective suppliers. In no case should a staff or volunteer commit the Foundation to a purchase or contract without involving the Executive Director.
2. All purchases, including commitments to buy, must be approved by the Executive Director.
3. The Executive Director has the authorization to purchase or order items within the Foundation’s approved annual budget provided the costs incurred do not exceed the budgeted number by more than \$1000.00. Cost over runs or non-budgeted items in excess of \$1,000 must be submitted to the Board for approval.
4. Approved purchasing processes must be used in every case, to ensure that the supplier is selected objectively. Frequently, competitive bids will be used in order to obtain best value.
5. For single purchases in excess of \$5,000, contracts or letters of agreement will be used wherever possible to ensure that the Foundation’s interests are fully protected and purchasing initiatives are appropriately implemented.
6. Only the Executive Director and /or the Treasurer are authorized to sign purchase agreements on behalf of the Foundation. Agreements signed by unauthorized personnel, as well as oral commitments, compromise the Foundation's ability to control the process by which it incurs obligations, and expose the Foundation to unnecessary risk.
7. As far as possible purchases or goods and services will be from local suppliers.

<b>2.07 Procurement and Purchasing</b>	Committee Oversight: Finance and Audit	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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8. All contracts for service provision should be time limited with a clearly defined process for performance review and renewal. No contract for supplies or services to the office should be longer than 5 years without performance review or requests for proposal. The Board may move to extend the contract without RFP if there is no reason to believe that the pricing would be significantly reduced by asking for alternate proposals.
9. Contracts for the provision of Investment and Audit Service are considered separately from the supply of office material, services and systems and are to be subject to the following:

### **Investment Service**

#### **Hiring of an Investment Manager**

The Finance and Audit Committee must approve the acceptance of all new mandates and their benchmarks. Therefore, the proposed Investment Manager must provide the following information for consideration by the Committee to allow it to fulfill its fiduciary responsibilities to the Foundation:

- the firm’s history including type of ownership, current assets under management and client turnover rate;
- a description of the investment process including research capabilities, criteria for buy and sell decisions and risk controls;
- biographies for each of the investment team members including their tenure at the firm and with the intended strategy;
- the firm’s fee schedule for the intended strategy; and
- CFA Institute compliant monthly investment performance over the past 5 years, at a minimum, for the intended strategy.

After the Committee is satisfied that the above information is acceptable, the Investment Manager must meet the following additional criteria:

- exceed the return of the appropriate benchmark over rolling 3-7 year periods with an emphasis on 4-year and 7-year periods;
- rank in the top 50% of the appropriate peer investment manager performance universes over rolling 3-7 year periods, with an emphasis on 4-year and 7-year periods;
- identify that the investment team currently in place is responsible for the past investment performance;
- agree to adhere to the roles and responsibilities of Investment Managers as outlined in the Investment Policy Statement; and
- adhere to all investment manager guidelines as outlined in the Foundation’s Investment Policy Statement.

<b>2.07 Procurement and Purchasing</b>	Committee Oversight: Finance and Audit	Effective date: June 2020
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**Review of the Manager or Managers**

The Board may direct the Finance and Audit Committee to provide a written review of any of the Manager’s performance on an annual basis. The review will be based on the criteria used on the hiring of the Manager and compliance with the Foundation’s IPS statement.

**Termination of a Manager**

The Finance and Audit Committee will consider recommending to the Board that a Manager be terminated when one or more of the following circumstances prevail:

- the Manager’s investment performance results have been below the median performance results of the appropriate Manager peer group and/or the appropriate market benchmark index/indices for 3 consecutive years;
- the Manager’s short-term underperformance is found to be a result of a change in the Manager’s investment style, process or discipline or a change in the Manager’s key investment personnel;
- there is a significant change in the risk profile of the Manager;
- the Manager’s investment style is no longer appropriate given the Portfolio’s requirements;
- the Manager’s reporting and client service are unsatisfactory; or
- the Committee has concerns regarding the Manager’s ethics.

Notwithstanding the above, the Committee may recommend to the Board that a Manager be terminated for any reason that the Committee deems appropriate.

**Audit Service**

The Legislation (Bill Pr 35) that established the Foundation identifies that an annual audit of the Foundation’s books and records will be completed by an external agency. The audited statements are made available to the public

**Hiring an Auditor**

The Foundation will use a request for proposal format. This request for proposal does not commit the Foundation to award a contract to the lowest or any tender. The Foundation will not cover any costs incurred in the preparation of the proposal.

The proposal should include the fees for the period identified in the RFP and the criteria for any adjustments to fees in the future. Cost for travel and related expenses, if applicable, shall be included as a separate amount. Fees for additional accounting or consultative services outside the scope of the audit services tendered shall be provided based on an hourly rate. This rate is to be identified as part of the proposal

<b>2.07 Procurement and Purchasing</b>	Committee Oversight: Finance and Audit	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
		Page 4 of 4

The Audit Firm would receive instructions from and report to the Foundation’s Finance & Audit Committee.

**Review of the Auditor**

The Board may direct the Finance and Audit Committee to provide a written review of the Auditors performance at the midpoint in the contract. The review will be based on the criteria identified in the RFP submission.

**Termination of an Auditor**

The Finance and Audit Committee will consider recommending to the Board that the Audit firm be terminated when one or more of the following circumstances prevail:

- there is a significant change in personnel at the audit firm
- there is a merger of firms that has the potential to create a conflict of interest for the Audit firm or the Foundation
- the Auditor’s reporting and client service are unsatisfactory; or
- the Committee has concerns regarding the Auditor’s ethics.

Notwithstanding the above, the Committee may recommend to the Board that the Auditor be terminated for any reason that the Committee deems appropriate.

The purpose of the policies in this section is to guide the work of the Board, the Fund Development committee, and the Foundation staff when working with donors, prospective donors and gift planners.

<b>3.01 Gift Acceptance</b>	Committee Oversight: Board of Directors	Effective date: August 2017
<b>Approval:</b> Board of Directors		Scheduled Review: Five years *
		Page 1 of 2

**Purpose:** The purpose of this policy is to provide guidelines for the types of outright gifts (i.e. cash, publicly traded securities) and deferred gifts (i.e. bequests, life insurance) that will be accepted by the foundation. The nature of a charitable gift is that a donor cannot expect material consideration (i.e. financial benefits or opportunities) to flow from a gift.

**Policy:** Donors establishing funds at the Foundation will be encouraged to discuss a proposed gift with family members and independent legal and/or tax advisors throughout the fund development process. Gifts to any fund held at the foundation will be used for purposes consistent with the overall mission of the foundation.

The Executive Director and, if required, the Treasurer are authorized to negotiate final gift agreements with prospective donors, the clauses of which are based on fund agreement templates previously approved by the board. Members of the Board and Fund Development committee may be involved at the initial stages of the fund negotiation.

The foundation accepts gifts of cash, marketable securities, bequests and life insurance. Gifts of property (i.e. real estate, art, jewelry, etc.), gifts of residual value, charitable annuities, and charitable remainder trusts may be accepted after the Board has had the opportunity to consider the gift and the costs to the Foundation in disposition that may be incurred by accepting it. The foundation reserves the right to refuse a gift if the gift does not meet the criteria established by the Canada Revenue Agency<sup>2</sup>

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<sup>2</sup> <https://www.canada.ca/en/revenue-agency/services/charities-giving/charities/operating-a-registered-charity/receiving-gifts/what-a-gift.html>

<b>3.01 Gift Acceptance</b>	Committee Oversight: Board of Directors	Effective date: August 2017
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years*
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In most instances, the donor is required to pay all legal and accounting costs associated with making a gift. If substantial expenses are incurred by the foundation in accepting a gift including legal fees, maintenance and disposition fees, these expenses may be charged against the fund. The foundation will discuss this situation with the donor prior to accepting the gift.

### **Guidelines for specific gifts**

**Cash** – Gifts of cash include Canadian and foreign currency, cheques, bank drafts and money orders. Gifts made by credit card through the office or online are treated as cash gifts and the full value of the donation is receipted. Bank charges are recorded as an operational cost.

**Publicly traded securities** – The foundation accepts gifts of publicly traded securities. The Investment Manager has the authority to scrutinize and accept such a gift in consultation with the Executive Director and/or the Treasurer. If accepted, these securities will be valued at the close of business on the day of transfer and the receipt issued accordingly. The Investment Manager will determine how these funds are to be invested, based on the Investment Policy Statement in force.

**Bequests** – Donors who name the foundation as a beneficiary of their estate will be encouraged to provide information about their bequest to the foundation. They will be encouraged to provide a copy of that section of their will to the foundation. With their written permission, the foundation will recognize these donors during their lifetime.

**Gifts of life insurance** – The foundation promotes and accepts gifts of life insurance where the foundation is the owner and beneficiary, is assigned irrevocably a paid-up policy, is assigned irrevocably a policy on which premiums remain to be paid or names the foundation as a beneficiary. When the foundation is the owner and beneficiary, the donor is entitled to a gift receipt for all premiums paid. When the foundation is assigned irrevocably a policy, a donation receipt will be issued for the cash surrender value of the policy, as of the value at the date of assignment.

**Monitoring and Review:** This policy will be reviewed every five years, upon hiring fund development staff or upon changes to the Income Tax Act.

<b>3.02 Funds, Fund Types and Criteria for Naming</b>	Committee Oversight: Board of Directors	Effective date: August 2021
<b>Approval:</b> Board of Directors		Scheduled Review: Two Years
		Page 1 of 4

**Purpose:** The purpose of this policy is to establish the types of funds and the naming criteria for funds held by the Foundation.

**Preamble:** The foundation gives individual donors, family foundations, businesses and charitable organizations a number of ways to fulfill their philanthropic objectives while supporting the well-being of our community.

We believe that by strengthening the gifts, assets and capacity of individuals and groups, we strengthen our community. The foundation specializes in building endowment funds, where the capital is not encroached, and uses the funds’ earnings to support the ever-changing needs and opportunities of our community.

The foundation has a number of types of funds available for donors. Many of them are open funds where gifts may be made by any interested contributor thereby allowing even modest contributions to be joined with others’ gifts for maximum charitable benefit.

Donors may name the fund that they endow – for themselves, a family member, a company or a valued friend. Some funds have names that convey specific goals or purposes, or hold special meaning to the donor. The criteria for naming and establishing funds are identified below in each fund definition.

All donations received that are not otherwise designated by the donor will be placed in the SCF Community Fund.

**Funds – General Guidelines**

All endowed and flow through funds are considered open funds, meaning that any donor can make a gift at any time, once the fund is opened. Exceptions may be made at the request of a donor creating a fund at the designated or donor advised level. This will be specified in the fund agreement.

Funds at the donor advised level will be provided with an annual fund statement, reflecting additions to the funds, any special administrative fees charged against the fund, grants from the fund and the determination of annual distributable earnings for the subsequent year upon request at the time the fund is established.

<b>3.02 Funds, Fund Types and Criteria for Naming</b>	Committee Oversight: Board of Directors	Effective date: August 2021
Approval: Board of Directors		Scheduled Review: Two Years
		Page 2 of 4

Annual distributions from the fund will be identified as having come from the fund, unless the donor wishes the distribution to remain anonymous.

Fund agreements will be required to establish all funds. The board has approved general templates for funds and had the Board’s legal counsel review these prior to passage. Legal counsel may also be asked to review any fund agreement prior to acceptance if the Executive Director or Treasurer believes that it deviates significantly from the template or other agreements already in force.

The Board will pass a resolution confirming the terms of each fund agreement and formally accept the fund.

Fund agreements may be amended during the lifetime of the donor if the original agreement makes provision for this or by reasonable donor request.

### **TYPES OF FUNDS**

The Foundation offers a number of options when establishing funds. Funds that have not met the minimum level for the intended category are considered emerging funds and will be held within the Community or Agency Fund until the terms of the fund agreement are met.

Fees for administration of all funds are identified in Policy 2.03 and are identified in all fund agreements.

SCF offers donors several other options in making a lasting difference in the community. These funds are not endowed and are subject to the following

### ***Fund Creation and Donation Options***

	Minimum Donation	Minimum can be pledged	Grow to Donor Advised Level	Annual Grant Disbursement
<b>SCF Community Fund</b>	None			SCF Grants Committee
<b>Named Fund</b>	\$5000.00	Yes	Yes	SCF Grants Committee
<b>Designated Fund</b>	\$10,000.00	Yes	Yes	Donor Advice to the Board
<b>Donor Advised Fund</b>	\$25,000.00	Yes	No Maximum	Donor Advice to the Board
<b>Community Fund (for Municipality or Government Body)</b>	None Fund Development in concert with SCF		No Maximum	Directed by a managing committee established with SCF involvement (Restrictions may apply)

<b>Agency Fund</b>	\$10,000 suggested	Yes	No Maximum	Directed by Agency (Restrictions may apply)
<b>Business Fund</b>	\$30,000 suggested	Yes	No Maximum	Donor Advice to the Board

**Permanent Gift Funds/ Endowment Funds**

*SCF offers community agencies and donors other options in making a lasting difference in the community*

	Minimum Donation	Minimum can be pledged	Grow to Donor Advised Level	Annual Grants
<b>Combination Funds</b> Endowed + Flow Through	Yes	Negotiated	Yes, within the Endowment	Flow through must be granted annually

**Restrictions:**

1. Percentage to endowment established at outset/ remainder flow through.
2. Minimum 20% to endowment
3. Qualified Donee or Field of interest must be identified at start up.
4. Regular contributions to endowment must be made.

Flow Through Funds	Minimum Donation	Minimum can be pledged	Grow to Donor Advised Level	Annual Grants
<b>SCF Permanent Fund Holders</b>	To top up an annual grant			Must be paid out in calendar year
<b>Community Projects</b> involving a qualified Donee	10,000 minimum	Up to 3 years	No	SCF must be directly involved in all decisions
<b>Established Community Group</b> (looking to establish themselves as a charity)	Yes. Endowed Fund must be created	No	In the Endowment	SCF must be directly involved in all decisions at start up and for fund raising

<b>3.03 Donation Recording and Receipting</b>	Committee Oversight: Board of Directors	Effective date: October, 2017
Approval: Board of Directors		Scheduled Review: With changes to CRA requirements
		Page 1 of 1

**Purpose:** The purpose of this policy is to establish the process for receipting donations to the Foundation and the signing authority for receipts.

**Policy:** Donation receipts will only be issued once the gift is the legal property of the foundation. The Executive Director or the Treasurer signs donation receipts. Receipts will be issued within one month of receipt of the gift by the foundation.

Donation receipts will be in compliance with the regulations of the Canada Revenue Agency in all aspects.<sup>3</sup>

Written donor direction must be received in writing for all gifts held in perpetuity, such direction to include notice that the gift is held by the foundation in perpetuity, date of direction (same date of receipt of gift), name of fund within the endowment that the gift is to be directed and that all gifts, now and in the future, are covered by the same direction unless the donor directs otherwise. The Executive Director and/or the Treasurer ensure that donor direction is received for all gifts held in perpetuity.

Donation receipts for gifts of securities are based on the value of the securities at the close of trading on the day in which the ownership is transferred from the donor to the foundation. Supporting documentation in writing must verify this valuation.

One copy of the donation receipt, filed in numerical order, will be held for seven years. This can be an electronic copy. One copy of the receipt for a gift to an established fund will be kept in the fund file. The permission of the Canada Revenue Agency must be received before receipts are destroyed.

Donation receipts for special events will be in accordance with regulations of the Charities Directorate of the Canada Revenue Agency.

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<sup>3</sup> <https://www.canada.ca/en/revenue-agency/services/charities-giving/charities/operating-a-registered-charity/issuing-receipts/what-information-must-on-official-donation-receipt-a-registered-charity.html>

<b>3.04 Donor Recognition and Stewardship</b>	Committee Oversight: Board of Directors	Effective date: August 2017
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
		Page 1 of 3

**Purpose:** The purpose of this policy is to establish the means that the Foundation uses to recognize donors. It also articulates the Foundation’s commitment to respect the privacy of its donors.

**Policy:** The foundation will publicly acknowledge all donations, unless the donor wishes to remain anonymous. A thank you letter will accompany all receipts. Donors creating funds will also receive a thank you call from a member of the Board of Directors.

Donors creating funds will receive copies of the foundation’s annual report. The Foundation does not publish the amount of the donation, except in circumstances approved in advance by the donor.

The Foundation will not share its donor list with other organizations.

The privacy of donors will be respected. Donor records maintained by the foundation will be kept confidential to the extent possible. Donors will have the right to see their donor record and to challenge its accuracy. Donors also have the right to opt out of communications delivered by the Foundation in both electronic and print format. Donors also may request that the Foundation not contact them by phone. Such requests will be documented in the donor record.

**Donor Recognition Policy**

Principles & Assumptions

- All donors want to be recognized for their gifts in some way, regardless of what they may say publicly
- Some donors do not want their names published or to be contacted in the future. A list of those names will be maintained by the Executive Director.
- Donor recognition is critical to the success of the Sarnia Community Foundation in building its asset and volunteer base
- Most donors do not want a significant portion of the Foundation's revenue spent on recognition of their donations
- SCF must be seen as fiscally responsible with respect to recognition expenditures
- To be effective, recognition of individual donors must be on-going

<b>3.04 Donor Recognition and Stewardship</b>	Committee Oversight: Board of Directors	Effective date: August 2017
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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<b>Endowed Fund Gift</b>	<b>Tax Receipt</b>	<b>Thank you Call</b>	<b>Thank you letter</b>	<b>Annual report</b>	<b>Website listing</b>	<b>Social Media mention</b>	<b>Print ad/press release</b>	<b>Invite to annual Donor &amp; Grants event</b>	<b>Part of donor recognition display and presentation</b>
General Donation	x	ED/ staff	ED						
Named Fund	x	ED	ED	Story *	Yes*			Yes*	
Field of Interest	x	ED	ED/ Chair	Story *	Yes*	Yes*		Yes*	yes*
Designated	x	ED/Board	ED/Chair	Story *	yes*	yes *		Yes*	yes*
Donor Advised	x	ED/Board	ED /Chair	Story *	yes *	yes*	Depending on size	Yes*	yes*
Agency Fund	Inter-charity transfer	ED/Board	ED/Chair	Story *	yes	yes	yes	Yes*	yes
Community Fund	Individual +	Individual	Individual	Section	yes	yes	yes	yes	yes

\* unless anonymity or no contact requested      + receipt issued to each person, company or organization making a donation

<b>Flow Through Gifts</b>	<b>Tax Receipt</b>	<b>Thank you call</b>	<b>Thank you letter</b>	<b>Send Annual Report</b>	<b>Invite to annual Donor &amp; Grants event</b>	<b>Part of donor recognition display and presentation</b>
General Donation	x	ED/ staff	ED /staff	Over 250 dollars	Depends on gift size see cumulative	Depends on gift size see cumulative chart

<b>3.04 Donor Recognition and Stewardship</b>	Committee Oversight: Board of Directors	Effective date: August 2017
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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<b>Cumulative Donations to Endowed &amp; Flow through Funds- NON fund holders</b>	<b>Thank you letter identifying level</b>	<b>Invite to annual Donor &amp; Grants event</b>	<b>Part of donor recognition display and presentation</b>
Bronze < 1000	ED	yes	yes *
Silver - 1001-5000	ED	yes	yes *
Gold – 5001-10,000	ED/ Chair	yes	yes *
Platinum 10,001- 25,000	ED/Chair	yes	yes *
Leader 25,001- 50,000	ED /Chair	yes	yes *
Excellence 50.001 +	ED/Chair	yes	yes *

\* unless anonymity or no contact requested

<b>3.05 Ethical Fund Development</b>	Committee Oversight: Board of Directors	Effective date: August 2017
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
		Page 1 of 1

**Policy:**

**Fund Development/Fundraising Practices**

Fund solicitations on behalf of the foundation will:

- Be truthful;
- Accurately describe the foundation’s activities and the intended use of donated funds; and
- Respect the dignity and privacy of those who benefit from the foundation’s activities.

Volunteers and employees who solicit or receive funds on behalf of the foundation shall:

- Act with fairness, integrity, and in accordance with all applicable laws;
- Adhere to the provisions of applicable professional codes of ethics, standard practices, etc.
- Cease solicitation of a prospective donor who identifies the solicitation as harassment or undue pressure;
- Disclose immediately to the foundation any actual or apparent conflict of interest; and
- Not accept donations for purposes that are inconsistent with the foundation’s objects or mission.

**Payment for activities in support of Fund Development/Fundraising**

No individual (except for Foundation employees), business, or other organization shall receive direct monetary payment for any activities engaged in in support of fund development or fund raising.

From time to time, such individuals, businesses or other organizations may receive tokens of appreciation such as certificates, plaques, photographs or other similar items in recognition of their efforts.

Should the Foundation decide to employ an individual or company on contract for the purpose of solicitation, the contract fundraisers are to be compensated by a salary, retainer or fee, and will not be paid finders’ fees, commissions or other payments based on either the number of gifts received or the value of funds raised. Compensation policies for fundraisers, including performance-based compensation practices (such as salary increases or bonuses) will be consistent with the foundation’s policies and practices that apply to non-fundraising personnel.

The Sarnia Community Foundation (SCF) is committed to community development through a robust and transparent grant process. Grants made from each of the various funds held by SCF are made under the direction of the Board of Directors through the Grants Committee or upon Donor Advice to the Board. The total dollars available for annual grants will be based on the disbursement guidelines for public foundation established by Canada Revenue Agency as recommended to the Board by the Finance & Audit committee.

While SCF relies on the expertise and involvement of community members at all levels of the process, the advice of its donor advisors and the community as a whole, the final decision regarding applications, grant criteria, deadlines and awards remains the responsibility of the SCF Board.

SCF will provide both “REACTIVE” and “PROACTIVE” grants. The REACTIVE grants will be based on SCF’s application process and the applications received annually. The PROACTIVE grants will be made by Board resolution and determined in consultation with the community for specific areas of interest or concerns. These grants will be made on an as needed or infrequent basis.

<b>4.01 Granting</b>	Committee Oversight: Grants	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Three Years*
		Page 1 of 3

**Purpose:** The purpose of this policy is to provide guidelines to be followed by the directors of the Sarnia Community Foundation (SCF) and its volunteers in administering the annual Community Impact Grant process.

**Granting:**

SCF makes community grants to qualified donees as defined by the Canada Revenue Agency that support the people of Sarnia and Lambton County. These organizations must be active within Lambton County or be accessible through a formal network established to benefit the broader community. Nonprofit organizations that are not registered charities are not eligible to receive

<b>4.01 Granting</b>	Committee Oversight: Grants	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Three Years*
		Page 2 of 3

funds unless a clearly defined, established and ongoing relationship with a qualified donee is identified on the application.

**Grants Committee**

A committee of up to ten community members, chaired by a member of the Sarnia Community Foundation (SCF) Board, oversees the community impact grant program for SCF and advises the Board on disbursement. Three SCF Board members, including the Grants Committee Chair, will be appointed to this committee. The remainder of the committee will be drawn from the community at large.

**Grant Application and Assessment Process**

Community Grants are awarded annually with applications being accepted once per annum. SCF actively promotes the availability of community impact grants for a minimum of 60 days prior to the deadline. Applications will be reviewed by the Grants Committee and assessed against criteria identified in the published application guidelines.

*In general*, preference will be given to innovative ideas and initiatives which:

- Improve the quality of life for the residents of Sarnia and Lambton County. Quality of life includes all aspects of life: health, education, social services, arts, culture, recreation and the environment;
- Address critical community needs;
- Strengthen the community’s capacity to care for itself;
- Develop partnerships and cooperation within and across sectors;
- Seek to deal with change taking place within the community.

Applications received after the posted deadline will not be accepted nor assessed.

The Grants Committee will convene and complete its assessment within 60 days of the closing date for applications. Once their review is complete, the Grants Committee will recommend to the Board a list of qualified recipients with the corresponding grant amount. The applicants will be notified of the Board’s decision within 10 working days following the Board’s decision.

**Grant Agreement Process**

Once an organization is notified of the grant being made, an agreement will be created between SCF and the recipient. The agreement will stipulate how the grant is to be used, based on the information given in the grant application. The Executive Director creates the agreement and ensures that it is delivered to the agency. A signing officer of the organization receiving the grants must sign this agreement before any funds will be released.

<b>4.01 Granting</b>	Committee Oversight: Grants	Effective date: June 2020
<b>Approval:</b> Board of Directors		Scheduled Review: Every Three Years*
		Page 3 of 3

The agreement will specify the terms and conditions under which the grant will be delivered. In most instances, 80% of the grant is paid at the SCF grants event (or within ten business days of the event). The remaining 20% is payable upon receipt by SCF of a final grant report, the date of which is identified in the agreement. Exceptions to this payment split may be made at the discretion of the Board. The Executive Director monitors the final report dates, follows up where necessary, approves the final payment and notifies the Board that the terms of the grant agreement have been met and that the final grant payments have been made. Should the terms of the agreement not be met by the deadlines agreed to, the Board is responsible for determining the appropriate course of action, which may include the agency forfeiting the remainder of the grant.

**Monitoring:** This policy will be reviewed every three years or when there is a change, either positive or negative, in the capital in the Community Fund of more than 15%.

<b>4.02 Granting- Donor Advised and Designated Funds</b>	Committee Oversight: Grants	Effective date: June 2020
Approval: Board of Directors		Scheduled Review: Every Three Years*
		Page 1 of 2

**Purpose:** The purpose of this policy is to provide guidelines to be followed by the directors of the Sarnia Community Foundation (SCF) and its staff in administering annual grants made on behalf of funds held at SCF that have been restricted in use under the terms of the fund agreement. These funds are generally substantial in nature and scope and the fund agreement will have made provision for donor advice on the annual disbursement.

**Grants from Donor Designated, Charitable Organization, Community and Donor Advised Funds**

Once the annual grant percentage is determined by the Board and the available grant disbursement has been calculated, each of the fund holders at this level, will receive a letter identifying the amount that can be disbursed in the name of the fund for that year. The fund holder will be asked to respond to SCF indicating their preference for disbursement. The Executive Director will bring this advice to the Board for approval. If approved the grant will be made as advised.

Donor advised fund holders interested in the community grants process will be invited to review applications recommended for funding by the grants committee. They will be asked to respond to the ED with their preference within ten working days.

The recipients of Donor Advisee grants are notified that the grant has come from (name) Fund of the Sarnia Community Foundation. A grant acknowledgement form accompanies the grant, for the beneficiary to confirm receipt. A copy of this will be forwarded to the fund holder.

Designations that are identified in the fund agreement will be honoured providing that the recipient remains in good standing as a qualified donee. If the intended recipient is not in good standing as a qualified donee, then the Board will have the option to make the grant to the nearest similar purpose as provided for in the fund agreement.

For grant purposes, Charitable Organization Funds will be treated as Designated Funds with the grant disbursement being paid to that agency directly or returned to the fund as an addition to the capital of the fund.

For grant purposes, Community Funds will be treated as Donor Advised Funds with the community committee determining the disposition of grant within the community. SCF staff or a member of the Grants committee will work with the community advisory group to ensure that the committee uses a process similar to that of the SCF Community Impact Grant programme

<b>4.02 Granting- Donor Advised and Designated Funds</b>	Committee Oversight: Grants	Effective date: June 2020
Approval: Board of Directors		Scheduled Review: Every Three Years*
		Page 2 of 2

Fund holders in the listed categories may advise SCF to hold the annual disbursement for no more than three years before advising the Board of their preference. The Executive Director will work with the fund holder to find a suitable project, programme or charity for disbursement.

Monitoring: This policy will be reviewed every three years or when there is a change, either positive or negative, in the capital in the Foundation of more than 15%.

<b>4.03 Granting-Scholarships</b>	Committee Oversight: Grants	Effective date: June 2020
Approval: Board of Directors		Scheduled Review: Every Three Years*
		Page 1 of 1

**Purpose:** The purpose of this policy is to provide guidelines to be followed by the directors of the Sarnia Community Foundation (SCF) and its staff in administering the scholarships provided by SCF.

The legislation that created the Sarnia Foundation (Bill PR 35) identifies the provision of scholarships as a charitable activity of the Foundation. To that end SCF has developed the systems and facility to deal with scholarship applications and disbursements on behalf of fund holders.

In all instances, scholarship awards require the oversight of SCF and the submission of the T4A's to the Canada Revenue Agency. The SCF Board must approve the disbursement.

Each Scholarship will have an application process monitored by a Board member serving on the Grants Committee or the SCF staff.

In general, Scholarships awarded by SCF are to have an open application process that is advertised by either SCF, the fund holder or both. Scholarships may have an advisory committee created by the fund holder to recommend the recipient or recipients to SCF. In all instances, SCF should provide oversight on the selection process through the direct receipt of applications and presence on the selection committee. Exceptions to the committee membership may be made for scholarships that are selected by a panel aligned with a particular school or community where the criterion has been previously established and advertised by SCF.

**Monitoring:** This policy will be reviewed every three years or when there is a change, either positive or negative, in the capital in the Fund related to the scholarship of more than 15%.

<b>4.04 Granting- Executive Director's Discretion</b>	Committee Oversight: Grants	Effective date: June 2020
Approval: Board of Directors		Scheduled Review: Every Three Years*
		Page 1 of 1

**Purpose:** The purpose of this policy is to provide guidelines to be followed by the Sarnia Community Foundation (SCF) Executive Director (ED) in making grants from the ED's Discretionary grant pool.

Grants from the ED Discretionary pool are to be made to those projects and programmes that fall outside the Community Impact Grants cycle but that will provide benefit to the community and /or to SCF generally. They are not intended to act as sponsorship for an event run by another agency and can only be given to a qualified donee in good standing with Canada Revenue Agency.

Grants will be made on receipt of a micro grant application. Once approved, the ED will inform the SCF Board of the disbursement.

**Monitoring:** This policy will be reviewed every three years or when there is a change, either positive or negative, in the capital in the Foundation of more than 15%.

<b>4.05 Granting- Flow-Through Funds</b>	Committee Oversight: Grants	Effective date: June 2020
Approval: Board of Directors		Scheduled Review: Every Three Years*
		Page 1 of 1

**Purpose:** The purpose of this policy is to provide guidelines to be followed by the directors of the Sarnia Community Foundation (SCF) and its staff in administering disbursements from flow through funds.

Flow Through Funds are intended to remain with SCF for a period defined by the flow through agreement. The principal is to be distributed for the charitable purposes identified at the time the fund is established via a timeline established with the fund holder and SCF.

Should the project not proceed as forecast, the board of the SCF, in consultation with the fund holder, will arrange distribution for the nearest similar purpose keeping in mind the government requirement for reporting and the return of unused funds.

**Monitoring:** This policy will be reviewed every three years or when there is a change, either positive or negative, in the capital in the Fund of more than 15%.

The purpose of the policies in this section is to acknowledge the Foundation’s role in the community.

<b>5.01 Special Leadership Initiatives</b>	Committee Oversight: Board of Directors	Effective date: May 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years *
		Page 1 of 1

**Purpose:** The purpose of this policy is to recognize the methodology that will be required when the Board needs to assess existing and new opportunities in our community with regard to foundation resources and strategic priorities.

The community foundation has multiple roles and responsibilities – for fund development, grant making and community leadership. To be effective, the SCF Board needs to ensure that adequate financial and human resources are committed to carry out our responsibilities in each area.

When the foundation is invited to participate in a community initiative or takes it upon itself to create a community initiative, the Board of Directors must give consideration to the following when making its decision:

- Is initiative consistent with the foundation’s mission, vision and strategic priorities?
- Does this initiative advance an opportunity for fund development or granting?
- What is the impact on the foundation’s resources if the foundation participates in initiative?
- If initiative requires use of discretionary (unrestricted) funds, would such use have a detrimental effect on Community Grants Program?
- What are the potential risks and benefits (ex. public relations, credibility)?
- Will initiative eventually be weaned from the foundation’s participation, and if so, what is the plan?
- How will the success of the initiative be evaluated?
- How urgent is the initiative and what is the timeline?

**Monitoring and Review:** This policy will be reviewed every five years or when there is a significant change in the foundations unrestricted, endowed, and/or flow through funds.

<b>5.02 Privacy</b>	Committee Oversight: Board of Directors	Effective date: November 2019
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**Purpose:** The purpose of this policy is to outline what donors, grantees, volunteers and employees can expect regarding the collection and use of personal information.

**Scope:** This policy applies to all donors, volunteers, employees and contractors

**Our commitment:** The Sarnia Community Foundation is committed to protecting the privacy of personal information of current and potential donors, current and potential grantees, employees, volunteers and other individuals associated with the Foundation in a manner consistent with the provisions of the PIPEDA (*Personal Information Protection and Electronic Documents Act*). We value the trust of those that deal with us and of the public and recognize that maintaining this trust requires that we be transparent and accountable in how we treat the personal information shared with us.

During the course of our activities as a foundation, we gather and use personal information. Anyone from whom we collect such information should expect that it will be carefully protected and that any use of or other dealing with this information will be subject to consent. Our practices are designed to achieve this.

**What is Personal Information:** Personal information is any information about an identifiable individual but does not include the name, title, or business address, telephone number or email of an employee of an organization. Personal information may include: for example, age, name, address, personal email address, telephone number, date of birth, income, numerical identifiers, gender, ethnic origin, social status, financial information, employment information and credit card number.

**Privacy Practices:** Personal information collected by the Foundation is kept in confidence. The Foundation staff is authorized to access personal information based only on their need to deal with the information for the reason it was obtained.

### **Our Privacy Principles**

The following principles reflect our pledge to protect the privacy of your personal information:

#### **1. Accountability**

The Foundation is responsible for all personal information in our possession, including any personal information transferred to third parties for handling, auditing, legal or regulatory purposes.

We keep your personal information in strict confidence. All employees, agents (including

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authorized volunteers) and authorized service providers of the Foundation are required to protect the confidentiality of your personal information. All employees and agents are required to sign and adhere to a Code of Conduct & Ethics which ensures they are informed about the importance of privacy protection. The Foundation reviews this policy every five (5) years and whenever there is a legal or regulatory change. Periodic information is provided to our employees, volunteers and donors to ensure they are knowledgeable about our privacy policy and privacy related activities.

Where we are required to provide information to a third party for the purposes of auditing or to fulfill a legal or regulatory requirement, we take all reasonable precautions to ensure that your personal information is protected and at minimum the third party upholds standards comparable to our own.

## 2. Identifying Purposes

We collect, use and disclose personal information only for certain purposes that we identify to you. The purposes for which personal information is collected will be identified at the time the information is collected. With your consent, we collect information about you for various purposes, including the following:

- To establish your identity
- To administer your involvements with us, including your donations, event participation, community engagements, volunteering, or employment, and contact you about your continued involvement
- To familiarize ourselves with our donors, grantees, volunteers and other supporters in order to manage and develop our resources to fulfill our mission to serve the greater good of the community.
- To respond to your information requests
- To periodically, as we are able, send you literature from the Foundation or invite you to events or information sessions that are aligned with your interests
- To thank you and, with your consent, publicly recognize your financial or non-financial contributions.
- To share information with other individuals or organizations, including organizations which you redirect donations to, volunteer at on our behalf, or interact with on our behalf.
- To generate statistics and aggregate reporting to help us understand where we can have greater impact on the community
- To meet legal and regulatory requirements.

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### 3. **Consent**

We obtain personal information about you lawfully and fairly. We collect, use or disclose your personal information with your permission, except where otherwise required or permitted by law.

Your permission may be expressed (orally, electronically or in writing) or may be implied (by an action or inaction). You may withdraw your permission to the use and disclosure of your personal information at any time. We will comply, subject to legal, contractual or technical restrictions. For example, if you ask to not receive any mail from us, we take steps to suppress donation requests or general information, but we will still mail you a tax receipt for a donation or send you a statement of your outstanding payments against your pledged donation. Due to printing and distribution schedules, you may continue to receive some communications that were in process before we received your request. If there are various options to how we may handle your request, we will explain the options so that you can choose how you wish us to handle your request.

### 4. **Limiting Collection**

Personal information collected will be limited to that required for the purposes identified by us.

### 5. **Limiting Use, Disclosure and Retention**

We use your information for the purposes identified to you. When we intend to use your personal information for a purpose not identified to you when the information was collected, we will identify the new purpose and obtain your permission prior to use.

We do not sell your personal information.

We disclose your personal information in the following circumstances:

- **Donors**
  - We collect, use and disclose personal information only for the purposes that reasonable person would consider appropriate in light of the relationship with the foundation. Donors have a right to decline communication from the Foundation at any time. We do not sell, rent, exchange or trade our list of donors. We do not disclose email or other personal information about our donors. All donations and donation amounts are kept confidential unless otherwise authorized in writing by the donor
- **Grants**
  - Grant applications and the deliberations of the grants committee are kept in confidence. Grant applications are not to be retained by committee members for any period longer than the decision making process. Committee members are to be informed by the Chair of the committee and/or the Chair of the Board of the privacy practices related to the grants process.

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- Successful grant applicants will be informed by letter and the Foundation will require a release of information regarding the project and how the funds are to be used prior to the release of the funds. Photos of grant recipients and projects will not be used without a signed release of information. One copy of the application will be kept on file at the Foundation office for a period of seven years. All other copies will be destroyed immediately following the grant presentation.
- Unsuccessful applicants will be informed by letter and their application and copies destroyed within ten days of the notification.
- **Website**
  - The Sarnia Community Foundation respects the privacy of the individuals who visit our website. The site does not automatically gather personal information, such as an email address, during the visit. Information voluntarily supplied by and individual through contact via email or the completion of a form may be kept for the purpose that it was provided and becomes subject to the Foundation general privacy policies. Information about the number of times the page is visited, how much time was spent on the site and the number of times a link is used may be collected to help improve the performance of the site and its contents. The Foundation makes no attempt to link this information with any one individual unless an attempt to damage the site has been detected.
  - Sites that are linked to the Foundation’s website are entirely independent from the Foundation and provided as a convenience. The Sarnia Community Foundation is not responsible for the accuracy, reliability, currency and security on any linked site. Viewers are advised to read and understand the privacy policy of any third party site that they visit.
  - The site’s content is provided strictly to act as a resource about the program and activities of the Sarnia Community Foundation and community foundations in general. It is provided on as ‘as is’ basis and may be subject to change or updating at any time without prior notice.

We will keep your personal information only as long as it is necessary to satisfy the purposes for which it was obtained, or as required by law. We have guidelines and procedures for the retention and destruction of personal information. When we destroy personal information, we will use safeguards to prevent unauthorized parties from gaining access to that information during the process.

## 6. Accuracy

We maintain appropriate procedures to ensure that personal information in our possession

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is as accurate and up to date as is necessary for the purposes for which it is to be used. We rely on you to provide us with any changes to your personal information, and in particular to your contact information.

If you believe any of the information we have collected about you is incorrect or incomplete, you have the right to ask us to change it or delete it. If your personal information is inaccurate or incomplete, we will make the necessary changes.

## 7. Safeguards

We maintain appropriate technical and organizational safeguards to protect your personal information against loss, theft, unauthorized access, disclosure, copying, use or modification.

Access to your personal information is restricted to the Foundation employees, agents who need the information to fulfill the purpose for which the information was collected. The Foundation will protect your personal information by safeguards that are appropriate to the sensitivity of that information and the format of the information, whether electronic or physical.

Our procedures include physical security measures, organizational measures including limiting access on a "need-to-know" basis, and technological measures such as the use of passwords and encryption. When it comes to the handling of electronic records, the Foundation adheres to Payment Card Industry Data Security Standards

## 8. Openness

The Foundation's Privacy Policy is available to you at all times on our website. If you are unable to access our website or require our policy in another format, we will do our best to provide it in an alternative format that meets your requirements.

## 9. Individual Access

You may ask whether we hold any personal information about you, see your information and ensure that it is accurate. The Foundation may ask that you submit your request in writing. The Foundation will need to confirm your identity prior to disclosing any information to you, and may charge a reasonable fee to cover the cost of providing the information to you. If a fee is charged, The Foundation will inform you of the approximate cost prior to providing the information to you.

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You also have the right to know how we collected your personal information and how we are using it. We will inform you of the specifics to the best of our abilities.

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**Intent**

This policy is intended to meet the requirements of *Accessibility Standards for Customer Service, Ontario Regulation 429/07* under the *Accessibility for Ontarians with Disabilities Act, 2005*, and applies to the provision of goods and services to the public or other third parties, not to the goods and services themselves.

All goods and services provided by Sarnia Community Foundation shall follow the principles of dignity, independence, integration and equal opportunity.

**Scope**

- a) This policy applies to the provision of goods and services at premises occupied and operated by Sarnia Community Foundation
- b) This policy applies to employees, volunteers, agents and/or contractors who deal with the public or other third parties that act on behalf of Sarnia Community Foundation, including when the provision of goods and services occurs off the premises of Sarnia Community Foundation such as in: delivery services, call centers, vendors, drivers, catering and third party marketing agencies.
- c) The section of this policy that addresses the use of guide dogs, service animals and service dogs only applies to the provision of goods and services that take place at premises occupied and operated by Sarnia Community Foundation.
- d) This policy shall also apply to all persons who participate in the development of the Sarnia Community Foundation’s policies, practices and procedures governing the provision of goods and services to members of the public or third parties.

**Definitions**

Assistive Device – is a technical aid, communication device or other instrument that is used to maintain or improve the functional abilities of people with disabilities. Personal assistive devices are typically devices that customers bring with them such as a wheelchair, walker or a personal oxygen tank that might assist in hearing, seeing, communicating, moving, breathing, remembering and/or reading.

Disability – the term disability as defined by the *Accessibility for Ontarians with Disabilities Act, 2005*, and the *Ontario Human Rights Code*, refers to:

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- any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device;
- a condition of mental impairment or a developmental disability;
- a learning disability, or dysfunction in one or more of the processes involved in understanding or using symbols or spoken language;
- a mental disorder; or
- an injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act, 1997.

Guide Dog – is a highly-trained working dog that has been trained at one of the facilities listed in Ontario Regulation 58 under the *Blind Persons’ Rights Act*, to provide mobility, safety and increased independence for people who are blind.

Service Animal – as reflected in *Ontario Regulation 429/07*, an animal is a service animal for a person with a disability if:

- it is readily apparent that the animal is used by the person for reasons relating to his or her disability; or
- if the person provides a letter from a physician or nurse confirming that the person requires the animal for reasons relating to the disability.

Service Dog – as reflected in *Health Protection and Promotion Act, Ontario Regulation 562* a dog other than a guide dog for the blind is a service dog if:

- it is readily apparent to an average person that the dog functions as a service dog for a person with a medical disability;
- or the person who requires the dog can provide on request a letter from a physician or nurse confirming that the person requires a service dog.

Support Person – as reflected in *Ontario Regulation 429/07*, a support person means, in relation to a person with a disability, another person who accompanies him or her in order to help with communication, mobility, personal care, medical needs or access to goods and services.

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**General Principles:**

In accordance with the Accessibility Standards for Customer Service, Ontario Regulation 429/07, this policy addresses the following:

**The Provision of Goods and Services to Persons with Disabilities**

Sarnia Community Foundation will make every reasonable effort to ensure that its policies, practices and procedures are consistent with the principles of dignity, independence, integration and equal opportunity by:

- ensuring that all customers receive the same value and quality;
- allowing customers with disabilities to do things in their own ways, at their own pace when accessing goods and services as long as this does not present a safety risk;
- using alternative methods when possible to ensure that customers with disabilities have access to the same services, in the same place and in a similar manner;
- taking into account individual needs when providing goods and services; and
- communicating in a manner that takes into account the customer's disability.

**The Use of Assistive Devices**

*Customer’s own assistive device(s):*

Persons with disabilities may use their own assistive devices as required when accessing goods or services provided by Sarnia Community Foundation.

In cases where the assistive device presents a safety concern or where accessibility might be an issue, other reasonable measures will be used to ensure the access of goods and services. For example, open flames and oxygen tanks cannot be near one another. Therefore, the accommodation of a customer with an oxygen tank may involve ensuring the customer is in a location that would be considered safe for both the customer and business. Or, where elevators are not present and where an individual requires assistive devices for the purposes of mobility, service will be provided in a location that meets the needs of the customer.

**The Use of Guide Dogs, Service Animals and Service Dogs**

A customer with a disability that is accompanied by guide dog, service animal or service dog will be allowed access to premises that are open to the public unless otherwise excluded by law. “No pet” policies do not apply to guide dogs, service animals and/or service dogs.

**Food Service Areas:**

A customer with a disability that is accompanied by guide dog or service dog will be allowed access to food service areas that are open to the public unless otherwise excluded by law.

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Other types of service animals are not permitted into food service areas due to the *Health Protection and Promotion Act, Ontario Regulation 562 Section 60*.

**Exclusion Guidelines:**

If a guide dog, service animal or service dog is excluded by law (see applicable laws below) Sarnia Community Foundation will offer alternative methods to enable the person with a disability to access goods and services, when possible (for example, securing the animal in a safe location and offering the guidance of an employee).

**Applicable Laws:**

*Food Safety and Quality Act 2001, Ontario Regulation 31/05:* Animals not intended for slaughter or to be euthanized are not allowed in any area or room of a meat plant. An exception is made for service dogs to allow them in those areas of a meat plant where food is served, sold or offered for sale to customers and in those areas that do not contain animals or animal parts and are not used for the receiving, processing, packaging, labelling, shipping, handling or storing of animals or parts of animals.

The *Health Protection and Promotion Act, Ontario Regulation 562 Section 60*, normally does not allow animals in places where food is manufactured, prepared, processed, handled, served, displayed, stored, sold or offered for sale. It does allow guide dogs and service dogs to go into places where food is served, sold or offered for sale. However, other types of service animals are not included in this exception.

*Dog Owners' Liability Act, Ontario:* If there is a conflict between a provision of this Act or of a regulation under this or any other Act relating to banned breeds (such as pit bulls) and a provision of a by-law passed by a municipality relating to these breeds, the provision that is more restrictive in relation to controls or bans on these breeds prevails.

**Recognizing a Guide Dog, Service Dog and/or Service Animal:**

If it is not readily apparent that the animal is being used by the customer for reasons relating to his or her disability, Sarnia Community Foundation may request verification from the customer.

Verification may include:

- a letter from a physician or nurse confirming that the person requires the animal for reasons related to the disability;
- a valid identification card signed by the Attorney General of Canada; or,
- a certificate of training from a recognized guide dog or service animal training school.

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**Care and Control of the Animal:**

The customer that is accompanied by a guide dog, service dog and/or service animal is responsible for maintaining care and control of the animal at all time.

**Allergies:**

If a health and safety concern presents itself for example in the form of a severe allergy to the animal, Sarnia Community Foundation will make all reasonable efforts to meet the needs of all individuals.

**The Use of Support Persons**

If a customer with a disability is accompanied by a support person, Sarnia Community Foundation will ensure that both persons are allowed to enter the premises together and that the customer is not prevented from having access to the support person.

There may be times where seating and availability prevent the customer and support person from sitting beside each other. In these situations, Sarnia Community Foundation will make every reasonable attempt to resolve the issue.

In situations where confidential information might be discussed, consent will be obtained from the customer, prior to any conversation where confidential information might be discussed.

**Admission Fees:**

If payment is required by a support person for admission to the premises Sarnia Community Foundation will ensure that notice is given in advance by posting notice of admission fees for support persons where Sarnia Community Foundation fees are posted.

**Notice of Service Disruptions**

Service disruptions may occur due to reasons that may or may not be within the control or knowledge of Sarnia Community Foundation. In the event of any temporary disruptions to facilities or services that customers with disabilities rely on to access or use Sarnia Community Foundation's goods or services, reasonable efforts will be made to provide advance notice. In some circumstances such as in the situation of unplanned temporary disruptions, advance notice may not be possible.

**Notification:**

In the event that a notification needs to be posted the following information will be included unless it is not readily available or known:

- goods or services that are disrupted or unavailable
- reason for the disruption
- anticipated duration
- a description of alternative services or options

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*Notification Options:*

When disruptions occur Sarnia Community Foundation will provide notice by:

1. posting notices in conspicuous places including at the point of disruption, at the main entrance and the nearest accessible entrance to the service disruption and/or on the Sarnia Community Foundation website;
2. contacting customers with appointments;
3. verbally notifying customers when they are making a reservation or appointment; or
4. by any other method that may be reasonable under the circumstances including the interior lights shut off.

**Customer Feedback**

Sarnia Community Foundation shall provide customers with the opportunity to provide feedback on the service provided to customers with disabilities. Information about the feedback process will be readily available to all customers and notice of the process will be made available by completing a customer feedback form available on the front counter. Feedback forms along with alternate methods of providing feedback such as verbally (in person or by telephone) or written (hand written, delivered, website or email), will be available upon request.

*Submitting Feedback:*

Customers can submit feedback to:

- The Executive Director in person
- 519 332 2588
- 110-560 Exmouth Street, Sarnia, Ontario N7T 5P5
- ed@sarniacommunityfoundation.ca
- via www.sarniacommunityfoundation.ca

Customers who wish to provide feedback by completing an onsite customer feedback form or verbally can do so to any Sarnia Community Foundation employee.

Customers that provide formal feedback will receive acknowledgement of their feedback, along with any resulting actions based on concerns or complaints that were submitted.

**Training**

Training will be provided to:

- a) all employees, onsite volunteers, agents and/or contractors (summer students, Loaned Representatives, etc.) who deal with the public or other third parties that act on behalf of the Sarnia Community Foundation; for example: salespersons, drivers, vendors, event operators, call centers and third party marketing agents; and,

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- b) those who are involved in the development and approval of customer service policies, practices and procedures.

*Training Provisions:*

As reflected in *Ontario Regulation 429/07*, regardless of the format, training will cover the following:

- A review of the purpose of the Accessibility for Ontarians with Disabilities Act, 2005.
- A review of the requirements of the Accessibility Standards for Customer Service, Ontario Regulation 429/07.
- Instructions on how to interact and communicate with people with various types of disabilities.
- Instructions on how to interact with people with disabilities who:
  - use assistive devices;
  - require the assistance of a guide dog, service dog or other service animal; or
  - require the use of a support person (including the handling of admission fees).
- Instructions on how to use equipment or devices that are available at our premises or that we provide that may help people with disabilities.
- Instructions on what to do if a person with a disability is having difficulty accessing your services.
- Sarnia Community Foundation's policies, procedures and practices pertaining to providing accessible customer service to customers with disabilities.

*Training Schedule:*

The Sarnia Community Foundation will provide training as soon as practicable. Training will be provided to new employees, onsite volunteers, agents and/or contractor who deal with the public or act on our behalf during orientation. Revised training will be provided in the event of changes to legislation, procedures and/or practices.

**Administration**

If you have any questions or concerns about this policy or its related procedures, please contact:

The Sarnia Community Foundation - Executive Director  
 110-560 Exmouth St. Sarnia, ON N7T 5P5  
 ed@sarniacommunityfoundation.ca or 519 332 2588  
 www.sarniacommunityfoundation.ca

This policy and its related procedures will be reviewed as required in the event of legislative changes.

<b>5.03.a Support Persons</b>	Committee Oversight: Board of Directors	Effective date: January 2022
<b>Approval:</b> Board of Directors	Review complete : 2018, 2019, 2020	Scheduled Review: Annual - January *
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**Purpose:** The Sarnia Community Foundation (“SCF”) is committed to serving people with disabilities who are accompanied by a support person. The purpose of this procedure is to provide guidelines regarding the provision of SCF’s goods and services to people with disabilities when they are accompanied by a support person.

**Scope:** This procedure applies to every person with a disability who is accompanied by a support person. This procedure also applies to every person interacting with members of the public or other third parties on behalf of SCF, whether an employee, board member, contractor, third party or volunteer.

## DEFINITIONS

### *Disability:*

- i. Any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,
- ii. A condition of mental impairment or a developmental disability,
- iii. A learning disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,
- iv. A mental disorder, or
- v. An injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act, 1997.

The foregoing definition includes disabilities of differing severity, whether visible or non-visible and whether temporary or permanent in nature.

*Support Person:* Any person (whether a paid professional, volunteer, family member or friend) who accompanies a person with a disability to help with communication, mobility, personal care or medical needs, or with access to goods and services.

## References

*Accessibility for Ontarians with Disabilities Act, 2005*  
*Ontario Regulation 429/07, Section 4 (1)(4)(5)(6)(7)*

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**Procedures**

*i. Identifying Support Persons*

A support person may be a personal support worker, volunteer, friend or family member. He or she may help a person with a disability with communicating, mobility, personal care or medical needs, or with access to goods and services.

In some situations, it may not be clear which person is the support person. A person with a disability might not introduce his/her support person. To determine who is the support person, SCF representatives should take the lead from the person who is requesting the goods and services, or ask. When it is determined who is the customer (as opposed to the support person), the SCF representative should speak directly to the customer, not to the support person.

*ii. Areas Open to Support Persons*

A person with a disability and his/her support person are permitted to enter those areas of SCFs property that are open to the public or other third parties. Unless otherwise requested by the person with a disability, the support person will be permitted to remain with the person with the disability throughout the entire duration of that he/she is accessing SCF’s goods and services.

*iii. Confidential Information*

When an SCF representative must discuss confidential information with a person with a disability who is accompanied by a support person, the SCF representative will ask the person with a disability whether the support person may remain present. If the person with a disability chooses not to have the support person present, the SCF representative will offer a close, comfortable location where the support person can wait.

*iv. Lack of Adequate Space*

If there is not adequate space for both the person with a disability and his/her support person to be present while accessing SCF’s goods and services, the SCF representative will arrange for an alternate location with adequate space. If an alternate location is not available, the SCF representative will:

- Make a reasonable effort to accommodate both the person with a disability and the support person within the available space.
- If reasonable, offer a close, comfortable location where the support person can wait, preferably where the person with a disability and his/her support person can remain within sight of each other.

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v. Appropriate Behaviour

Support persons are required to adhere to the same rules, and demonstrate appropriate behavior, as are all other persons accessing SCF's goods and services.

vi. Admission Fees for Support Persons

SCF will not charge any admission fees for support people to access its property.

vii. When a Support Person is Required

SCF may require a support person to accompany a person with a disability on its property, if the support person is necessary to protect the health or safety of the person with a disability, or the health or safety of others, on such property.

**Documentation**

Accessible Customer Service Plan

<b>5.03.b Assistive Devices, Services &amp; Alternate Delivery Methods</b>	Committee Oversight: Board of Directors	Effective date: January 2022
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**Purpose:** The Sarnia Community Foundation (“SCF”) is committed to serving people with disabilities who use assistive devices to obtain, use or benefit from SCF’s goods and services. The purpose of this procedure is to provide guidelines regarding the use and availability of assistive devices, services and alternative service methods when accessing SCF’s goods and services.

**Scope:** This procedure applies to every person with a disability who uses an assistive device, or would benefit from assistive services or alternative service methods, to access SCFs goods and services. This procedure also applies to every person interacting with members of the public or other third parties on behalf of SCF, whether an employee, board member, contractor, third party or volunteer.

**Definitions**

*Assistive Devices:* Any device that people bring with them or that is already on the premises and is used to assist people with disabilities in carrying out activities or in accessing SCF’s goods and services. Such devices include communication, cognitive, personal mobility or medical aids such as wheelchairs, walkers, canes use by people who are blind or have low vision, note taking devices, portable magnifiers, recording machines, assistive learning devices, personal oxygen tanks and devices for grasping.

*Disability:*

- i. Any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,
- ii. A condition of mental impairment or a developmental disability,
- iii. A learning disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,
- iv. A mental disorder, or
- v. An injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act, 1997.

<b>5.03.b Assistive Devices, Services &amp; Alternate Delivery Methods</b>	Committee Oversight: Board of Directors	Effective date: January 2022
<b>Approval:</b> Board of Directors		Scheduled Review: Annual - January *
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The foregoing definition includes disabilities of differing severity, whether visible or non-visible and whether temporary or permanent in nature.

### References

*Accessibility for Ontarians with Disabilities Act, 2005*

*Ontario Regulation 429/07, Section 3(1) to (5)*

### Procedures

#### *i. Use of Personal Assistive Devices*

SCF allows people with disabilities to use their personal assistive devices to access its goods and services. Any SCF representatives will consult with their manager when they are uncertain about the use of assistive devices.

There may be circumstances, however, where the use of a personal assistive device may be prohibited by law or may be determined by SCF to pose a significant safety risk to the person with a disability or others. In those circumstances, SCF will offer assistive services and/or alternate service methods in consultation with the person with a disability.

#### *ii. Inventory of Assistive Devices, Assistive Services & Alternate Service Methods*

At present, SCF does not have any assistive devices available; however, assistive services and/or alternate service methods will be provided by SCF in consultation with the person with a disability wherever possible; i.e., assisting the person in completing a transaction.

#### *iii. Providing Access to Assistive Devices, Assistive Services & Alternate Service Methods*

All persons who deal with members of the public on behalf of SCF will be trained on how to use equipment or assistive devices available, if applicable, that may help with the provision of goods or services to people with disabilities.

If available, assistive devices, assistive services or alternate service methods will be offered to persons with disabilities, if it is readily apparent that such person would benefit from such assistive device or service, or the alternate service method is needed as an alternative to the person's personal assistive device.

### Documentation

Written Requests for Accommodation

Inventory of Assistive Devices (where applicable i.e. events)

<b>5.03.c Feed Back</b>	Committee Oversight: Board of Directors	Effective date: January 2022
<b>Approval:</b> Board of Directors	Review complete : 2018, 2019, 2020	Scheduled Review: Annual - January *
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**Purpose:** The Sarnia Community Foundation (“SCF”) is committed to meeting and surpassing expectations while serving persons with disabilities and, as such, comments on the manner in which SCF provides its goods and services to people with disabilities are encouraged and appreciated. The purpose of this procedure is to set out the process established by SCF to obtain such feedback.

**Scope:** This procedure applies to every person interacting with members of the public or other third parties on behalf of SCF, whether an employee, board member, contractor, third party or volunteer.

### Definitions

#### **Disability:**

- i. Any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,
- ii. A condition of mental impairment or a developmental disability,
- iii. A learning disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,
- iv. A mental disorder, or
- v. An injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act, 1997.

The foregoing definition includes disabilities of differing severity, whether visible or non-visible and whether temporary or permanent in nature.

### References

*Accessibility for Ontarians with Disabilities Act, 2005*  
*Ontario Regulation 429/07, Section 7*

### Procedures

The following process has been established for receiving and responding to feedback about the manner in which SCF provides goods and services to people with disabilities, and how SCF makes information about that process readily available to the public.

People may provide their feedback in person, by telephone, in writing, by email or online. The Customer Feedback Form may be used to provide such feedback, but is not mandatory.

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People providing such feedback are strongly encouraged to provide as much information as possible to SCF about the event / concern, so that it can be readily identified by the Supervisor and/or Manager responsible for where the event / concern took place. Such information may include dates, times, names, contact information, a description of the event / concern, etc.

Feedback may be provided:

**By Mail to: Executive Director, Sarnia Community Foundation**  
**560 Exmouth Street, Unit 110**  
**Sarnia, Ontario, Canada N7T 5P5**  
**Telephone: 519-332-2588**

**By Email to: office @sarniacommunityfoundation.ca**

**In Person to: Administration, Sarnia Community Foundation**  
**560 Exmouth Street, Unit 110**  
**Sarnia, Ontario**

All feedback received will be promptly forwarded to the Executive Director who will, in turn, forward that feedback to the responsible Supervisor and Manager for review and reporting purposes.

Where possible, feedback will be addressed immediately. Some feedback may, however, require more time to address and may need to be reviewed before an action is taken. Specifically, where the feedback is considered to be a complaint about how SCF provides goods and services to people with disabilities, such complaints will be addressed in a proper and timely manner, subject to, and in accordance with, SCF's complaint management procedures then in effect.

An answer to the feedback is not always practical or possible. However, depending on the situation, the responsible Supervisor and/or Manager may deem it appropriate to respond to the person providing the feedback. Should a response be deemed appropriate and should the person providing the feedback have chosen to supply his/her contact information, that person may expect a response within a reasonable timeframe that shall not exceed 30 days.

SCF will respond in the same format in which the feedback was received whenever reasonably possible, unless the feedback requests otherwise.

SCF will make this feedback process readily available to the public by, among other things, posting information about this feedback process on SCF's webpage at [www.sarniacommunityfoundation.ca](http://www.sarniacommunityfoundation.ca) and providing a copy of this document to any person who requests such information.

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**DOCUMENTATION**  
**SCF Feedback Form**

**Accessibility for Ontarians with Disabilities**

**FEEDBACK FORM**

The Sarnia Community Foundation has established a process for receiving and responding to feedback about the manner in which it provides goods and services to persons with disabilities. Feedback may be provided in person, by telephone, in writing or by delivering an email. This form is intended to provide a consistent format for receiving feedback information, but is not meant to be the exclusive format for receiving feedback.

Feedback

Complaint

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

Format Received: \_\_\_\_\_

**Personal Information:**

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

Address: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Email: \_\_\_\_\_

Completed by: \_\_\_\_\_ Yes  No

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

**Subject:** \_\_\_\_\_

Description: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*The personal information you have provided to The Sarnia Community Foundation to enable us to respond to your feedback or complaint will only be used for that purpose. Your personal information will not be released to any third party, except as may be authorized by law.*

<b>5.03.d Service Animals</b>	Committee Oversight: Board of Directors	Effective date: January 2022
<b>Approval:</b> Board of Directors	Review complete : 2018, 2019, 2020	Scheduled Review: Annual - January *
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**Purpose:** The Sarnia Community Foundation (“SCF”) is committed to serving people with disabilities who use service animals. The purpose of this procedure is to provide guidelines regarding the use of service animals by people with disabilities when accessing SCF’s goods and services.

**Scope:** This procedure applies to every person with a disability who uses a service animal. This procedure also applies to every person interacting with members of the public or other third parties on behalf of SCF, whether an employee, board member, contractor, third party or volunteer.

**Definitions**

*Disability:*

- i. Any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,
- ii. A condition of mental impairment or a developmental disability,
- iii. A learning disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,
- iv. A mental disorder, or
- v. An injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act, 1997.

The foregoing definition includes disabilities of differing severity, whether visible or non-visible and whether temporary or permanent in nature.

*Service Animal* means any animal that is specifically trained to assist a person with a disability, where it is either readily apparent that the animal is used by the person for reasons relating to his/her disability (e.g. a hearing dog wearing a harness), or the person provides a letter from a physician or nurse confirming that the person requires the animal for reasons relating to the disability. For greater certainty, a service animal includes a dog that has been trained at one of the facilities listed in Ontario Regulation 58 under the *Blind Persons Rights’ Act* to act as a guide dog for people who are blind.

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**References:**

*Accessibility for Ontarians with Disabilities Act, 2005*  
*Ontario Regulation 429/07, Section 4 (2), (3), (8),(9)*

**Procedures:**

*i. Identifying Service Animals*

Service animals are typically recognized by a harness or a sign. If it is not readily apparent that the animal is used by the person for reasons related to his/her disability, the SCF representative may request that the person with the disability provides a letter from a physician or nurse confirming that the person requires the animal for reasons relating to the disability.

Examples of service animals include, but are not limited to:

- A guide dog;
- Hearing alert animals;
- Animals trained to alert persons to oncoming seizures; and
- Animals trained to assist people with autism, mental health disabilities, physical disabilities and other disabilities

*ii. Service Animals Are Not Pets*

Service animals are working animals. They are not considered pets. For this reason, they are not to be treated like a pet. When a person with a service animal is attempting to access SCF’s goods and services, the SCF representative should not:

- Touch the service animal;
- Make eye contact with the service animal;
- Talk to the service animal;
- Attempt to feed the service animal; or
- Give the service animal any form of attention.

The person with the service animal will be responsible for maintaining the care and control of the animal at all times while accessing SCF’s goods and services. This includes keeping control of the animal while present on the property, and cleaning any messes created by the service animal on SCF property.

*iii. Areas Open to Service Animals*

Service animals may enter those areas of SCF property that are open to the public or other third parties, unless the presence of the animal in those areas is prohibited by law.

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iv. Areas Closed to Service Animals

Service animals may not enter any areas of SCF’s property where the presence of an animal is prohibited by law. For example, service animals may enter into an area where food is served, but may not enter into an area where food is prepared.

v. Alternate Service Options Where Animals are Prohibited by Law

If a person with a service animal enters into an area where the presence of an animal is prohibited by law, the SCF representative will:

- Inform the person with the service animal why the animal is not permitted in the area.
- Offer to provide the goods and services to the person in a reasonable alternate location where the presence of the service animal is permitted.
- If a reasonable alternate location is not available and if the person is willing to be separated from the service animal, the SCF representative will offer a safe location where the animal can wait and offer assistance to the person while separated from the service animal. For example, a person with vision loss might need someone to guide him/her.

vi. Allergies & Service Animals

**It is SCF’s duty to provide the greatest amount of accommodation for the person with the service animal;** however, this should not be at the expense of another person. In all situations where a person announces that he/she is allergic to a service animal, SCF representatives should discuss the situation with the affected person(s) and make every effort to meet the needs of all parties.

*If a SCF representative is allergic to a service animal, the representative will:*

- Seek an alternate qualified SCF representative to provide the goods or services to the person with the service animal; or
- Seek a reasonable alternate location to provide the goods or services to the person with the service animal; or
- If an alternate qualified SCF representative is not reasonably available and if the person is willing to be separated from the animal, offer a safe location where the animal can wait and offer assistance to the person while separated from the service animal. For example, a person with vision loss might need someone to guide him/her.

*If a member of the public or a third party is allergic to a service animal, the SCF representative will:*

- Seek an alternate location to provide the goods or services to the person with the service animal, or
- Invite the person with the allergy to wait in a different location until the person with the service animal has vacated the area of service.

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- If being relocated to an alternate location would provide greater accommodation for the person with the service animal, the SCF representative will invite the person with the service animal to relocate.
- If a person has to remove him/herself from a waiting area due to an allergic reaction, the SCF representative will make reasonable efforts to ensure that he/she does not lose his/her place in the sequence

**Documentation**

Letter from Qualified Person (certification)  
 Accessible Customer Service Plan

<b>5.03.e Temporary Disruptions</b>	Committee Oversight: Board of Directors	Effective date: January 2022
<b>Approval:</b> Board of Directors	Review complete : 2018, 2019, 2020.2021	Scheduled Review: Annual - January *
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**Purpose:** The Sarnia Community Foundation (“SCF”) recognizes that people with disabilities may use particular facilities or services of SCF in order to access its services and, as such, SCF is committed to providing notice of temporary disruptions in those facilities and services. The purpose of this procedure is to provide steps to be taken in connection with providing notice of such temporary disruption.

**Scope:**

This procedure applies to every person interacting with members of the public or other third parties on behalf of SCF, whether an employee, board member, contractor, third party or volunteer.

**Definitions:**

*Disability:*

- i. Any degree of physical disability, infirmity, malformation or disfigurement that is caused by bodily injury, birth defect or illness and, without limiting the generality of the foregoing, includes diabetes mellitus, epilepsy, a brain injury, any degree of paralysis, amputation, lack of physical co-ordination, blindness or visual impediment, deafness or hearing impediment, muteness or speech impediment, or physical reliance on a guide dog or other animal or on a wheelchair or other remedial appliance or device,
- ii. A condition of mental impairment or a developmental disability,
- iii. A learning disability, or a dysfunction in one or more of the processes involved in understanding or using symbols or spoken language,
- iv. A mental disorder, or
- v. An injury or disability for which benefits were claimed or received under the insurance plan established under the Workplace Safety and Insurance Act, 1997.

The foregoing definition includes disabilities of differing severity, whether visible or non-visible and whether temporary or permanent in nature.

*Temporary Disruption:* Any planned or unplanned disruption in the facilities or services of SCF that are usually used by people with disabilities to access its goods and services.

**References:**

*Accessibility for Ontarians with Disabilities Act, 2005*  
*Ontario Regulation 429/07, Section 5*

**Procedures:**

SCF will provide notice of any actual or anticipated future, temporary disruption in its facilities and services. Such notice will include the following information:  
Reason for the temporary disruption; Anticipated duration of the temporary disruption; Description of alternate facilities or services, if available; and contact information.

<b>5.03.e Temporary Disruptions</b>	Committee Oversight: Board of Directors	Effective date: January 2022
<b>Approval:</b> Board of Directors		Scheduled Review: Annual - January *
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Depending on the duration of the temporary disruption, SCF may also post the notice to its webpage [www.sarniacommunityfoundation.ca](http://www.sarniacommunityfoundation.ca)

In the case of a planned temporary disruption, SCF will post the notice prior to the temporary disruption at no less than one conspicuous place at the physical location of the temporary disruption, on its accessibility webpage ([www.sarniacommunityfoundation.ca/accessibility](http://www.sarniacommunityfoundation.ca/accessibility)) and, if appropriate, advertise the temporary disruption with local media outlets. The notice will be posted with sufficient time to inform customers of the temporary disruption.

Depending upon the type and duration of temporary disruption, SCF may elect to also provide information about the temporary disruption on its voicemail system, and/or contact any persons with disabilities known to SCF who are likely to be detrimentally affected by that specific temporary disruption (e.g. those with scheduled meetings at SCF on the day of the temporary disruption).

**Documentation**

Notice of Temporary Disruption (posting)

**NOTICE OF TEMPORARY DISRUPTION**

**Service:** \_\_\_\_\_

**Reason for the Disruption:** \_\_\_\_\_

**Anticipated Duration:** \_\_\_\_\_

**Alternatives Available:** \_\_\_\_\_

We appreciate your understanding, and regret any inconvenience that this temporary disruption may cause.

If you have any questions or concerns, please call: \_\_\_\_\_.

<b>5.03.f Accessibility Statement</b>	Committee Oversight: Board of Directors	Effective date: January 2022
<b>Approval:</b> Board of Directors	Review complete : 2018, 2019, 2020,2021	Scheduled Review: Annual - January *
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### **ACCESSIBLE CUSTOMER SERVICE STATEMENT**

At the Sarnia Community Foundation, we are committed to doing things the right way – and that includes providing excellent customer to everyone, including people with disabilities.

To learn more about our commitment to accessible customer service:

- i. Ask any of our customer service representatives;
- ii. Visit our accessibility webpage at [www.sarniacommunityfoundation.ca](http://www.sarniacommunityfoundation.ca); or
- iii. Request a copy of any of our Accessible Customer Service documents (i.e. training policy; training records; notification of temporary disruption process; feedback process; policies, practices and procedures for providing our services to people with disabilities, including those relating to assistive devices, communication, service animals and support persons).

To help us improve accessible customer service, we appreciate your feedback. Speak to our Executive Director or visit our webpage at [www.sarniacommunityfoundation.ca](http://www.sarniacommunityfoundation.ca) for details of our feedback process.

<b>5.04 Complaint Handling Policy</b>	Committee Oversight: Board of Directors	Effective date: September 2019
Approval: Board of Directors		Scheduled Review: Every Five Years
		Page 1 of 2

**Purpose:** This policy establishes the actions and process to be followed whenever the Sarnia Community Foundation receives a complaint of any nature.

**Application**

The Policy applies to all employees, officers, directors, representatives and advisors of the Foundation.

**Control Objective**

This Policy’s objective is to minimize damage to the Foundation’s reputation and reduce the risk of litigation by handling complaints from our donors, recipients or the public at large in a timely and effective manner.

**Person Responsible**

The Board of Directors is hereby designated as responsible for the application of this policy, and to review this policy on a regular basis. The Board is also responsible to communicate the Foundation’s policy to all employees, officers, representatives and advisors of the Foundation.

**Definitions**

A complaint shall be deemed to mean any written statement of a donor or recipient alleging a grievance involving the conduct, business or affairs of the Foundation or any employee, representative, officer, director or advisor.

Although the definition of “complaint” refers to only written complaints, there may be instances where the Foundation receives a verbal complaint from a donor or recipient which will warrant the same treatment as a written complaint. Such situations depend upon the nature and severity of the complainant’s allegations and require the judgment of the individual who received the complaint.

A complaint should include at least one of the three following elements:

- Complaint about the Foundation’s action;
- Potential damages or damages suffered by the person making the complaint;
- Request of corrective measures.

**Requirements**

It is the policy of the Foundation to:

- a) Handle complaints from anyone in a timely, effective, fair and consistent manner.
- b) To record complaints centrally in a complaints log.

<b>5.04 Complaint Handling Policy</b>	Committee Oversight: Board of Directors	Effective date: September 2019
Approval: Board of Directors		Scheduled Review: Every Five Years
		Page 2 of 2

c) To report complaints to the ED and Executive Committee immediately.

### **Acknowledgement Letter**

When the Foundation receives a complaint, an acknowledgement letter must be sent to the complainant within 5 business days. This letter must include the following elements:

- Name of the person responsible for the handling the person’s complaint;
- Key elements of the Foundation’s Complaint Policy; and
- Expected timing of resolution

### **Complaint Log**

1. All complaints must immediately be reported to the Executive Committee.
2. All complaints must be logged in the Complaint Log. The Complaint Log must, at least, include the following information:
  - Date of complaint;
  - Complainant’s name;
  - Nature of the complaint and the circumstances;
  - Name of the person who is the subject of the complaint;
  - The produce or services which are subject to the complaint; and
  - The date and conclusions of the decision rendered in connection with the complaint.
3. Complaints in the Complaint Log must be maintained for a period of 7 years, following the resolution date.

### **Change of Procedures and Disciplinary Measures**

The Board Chair must monitor the Complaint Log and ensure that appropriate disciplinary measures are taken if necessary and provide recommendations for change in the Foundation’s procedures if appropriate.

<b>5.05 Special and Third Party Events</b>	Committee Oversight: Board of Directors	Effective date: August 2018
<b>Approval:</b> Board of Directors		Scheduled Review : Five Years
		Page 1 of 4

**Purpose:** The purpose of this policy is to outline the protocol for fundraisers run by the Community Engagement (Special Events) Committee, or by others on behalf of the Foundation. In no instance should an event take place that will result in any exposure to the Foundation without the knowledge and consent of the Foundation.

**Events run by the Foundation**

The Foundation shall:

- ensure that official donation receipts are only issued to donors for the eligible amount of the gift;
- ensure that official donation receipts are signed by an authorized individual in conformity with ss. 3501(1)(i), 3501(2), 3501(3) and 3502 of the Income Tax Regulations;
- be able to provide to the Canada Revenue Agency a full accounting of the monies or that portion of the monies donated to the Foundation, and the receipts that were issued in return; and
- be able to account to the Canada Revenue Agency for the amount of the advantage received by the participants as a result of their participation in the fundraising event.

**Events run by Third Parties**

In the event that the Foundation does not run the event substantially by itself, through its own employees or volunteers, but instead an organization, business or individual wishes to hold a fundraiser on behalf of the Foundation, the event shall be deemed a “Third Party Event”.

***In addition to the responsibilities listed above for Foundation-run events, the Foundation shall:***

- Put in place a **written** agreement that outlines the required protocols for the event and how the proceeds from the event will be allocated. This agreement shall be signed by the Foundation’s Executive Director and the Third Party representative prior to any publicity for the event and any contractual obligations being made.

***The Third Party representative shall:***

- Submit a proposal that describes:
  - a) Nature and timing of the event
  - b) Confirmed and prospective sponsors
  - c) Contact person(s) running the event
  - d) An acceptable benefit to the Foundation and how the benefit will be described (e.g. “all proceeds to...”, “in support of...”)
  - e) Estimated revenue and expenses

<b>5.05 Special and Third Party Events</b>	Committee Oversight: Board of Directors	Effective date: August 2018
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- Obtain liability insurance to cover the event. A certificate of insurance will be required naming the Foundation as a co-insured for the duration of the event.

The Foundation shall not be named on any applications for AGCO lottery licenses or Special Occasion Permits by a Third Party, unless the event is sanctioned by the Foundation.

If the event organizer wishes additional assistance from the Foundation, the request should be made in writing and submitted to the Executive Director for review and consideration.

All media requests regarding the Foundation and its involvement must be communicated to The Foundation's Executive Director

Approval shall be obtained from the Executive Director to use the Foundation's name and logo in the promotion of the event.

If the Foundation is to issue charitable tax receipts, the Foundation must

1. Receive a full accounting of the revenue and expenses of the event (signed by an officer of the organization) within 30 days following the event.
2. A complete list of all those who purchased tickets including the full name, mailing address, postal code and phone number and noting the number of tickets purchased.
3. The Foundation will calculate the value of the charitable tax receipt based on the information provided by the organizer and in accordance with the CRA policy on split receipting. The Foundation will give receipts up to the total net proceeds it receives from any event, plus any other qualifying gifts.

### **Charitable Tax Receipting**

In accordance with CRA guidelines, the Foundation will consider the following as examples of contributions that do not qualify as gifts and for which a charitable tax receipt will not be issued:

- a) contribution of services i.e. time, skills and effort;
- b) contribution of food or inventory from a business;
- c) the payment of a basic fee for admission to an event or program;
- d) the payment of a membership that entitles the member to receive services or entitlements as a result of that membership;
- e) payment for a lottery ticket or other chance to win a prize;
- f) the purchase of goods or services from the Foundation, even if more than fair market value is paid;

<b>5.05 Special and Third Party Events</b>	Committee Oversight: Board of Directors	Effective date: August 2018
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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- g) if the donor has directed the Foundation to give the funds to family or anyone not dealing with the donor at arm’s length is to receive the benefit;
- h) if the donor has directed the Foundation to give the funds to a non-qualified donee; and,
- i) the issuance of a gift certificate for goods and services that will not be redeemed by the Foundation

If a portion of the ticket price is receiptable for income tax purposes AND the net proceeds from the event are to be placed in a permanently endowed fund, then all promotion and tickets for the event must state the following (or language with similar intent): “net proceeds to create an endowed fund at The Sarnia Community Foundation”.

If a portion of the ticket price is receiptable for income tax purposes AND if net proceeds from the event are to be placed in a non-endowed fund, then all the promotion and tickets for the event must state the following (or language with similar intent): “net proceeds to benefit the \_\_\_\_\_ Fund held at The Sarnia Community Foundation”.

**Split Receipting:**

Split receipting is the method used for calculating the eligible amount of a gift for receipting purposes when the donor has received an advantage (consideration) in return for his or her donation.

To determine the eligible amount for receipting purposes, the value of the advantage must be subtracted from the value of the gift.

**Criteria for split receipting:**

- Where a donor receives an advantage (a meal, giveaways, entertainment etc.) in exchange for a gift, the Foundation must be able to accurately determine the fair market value of that advantage.
- The gift, minus the advantage, must still constitute a voluntary transfer of property and meet the intention to make a gift threshold. Donor receives a tax receipt in the amount that the value of the gift exceeds the benefit received.
- If the value of the advantage is greater than 80% of the value of the gift, then no receipt can be issued.
- If the value of the advantage is less than \$75 **and** less than 10% of the value of the gift, then the advantage can be ignored, and a receipt can be issued for the full value of the gift.

<b>5.05 Special and Third Party Events</b>	Committee Oversight: Board of Directors	Effective date: August 2018
<b>Approval:</b> Board of Directors		Scheduled Review: Five Years
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**Example – Fundraising Dinner**

Ticket price = \$50      Cost of meal = \$35 (advantage)

Advantage (= \$35) is less than \$75 **but** more than 10% of the value of the gift (10% of ticket price = \$5). Therefore, advantage **cannot** be ignored.

Advantage (= \$35) is less than 80% of the gift (80% of \$50 = \$40). Therefore, receipt **can** be issued.

Value on receipt = (Value of Gift) – (Value of Advantage) = \$50 - \$35 = \$15

<b>5.06 Records Retention</b>	Committee Oversight: Board of Directors	Effective date: February 2019
<b>Approval:</b> Board of Directors		Scheduled Review : Three Years
		Page 1 of 5

**PREAMBLE:** This policy provides for the systematic review, retention, and destruction of documents received or created by the Sarnia Community Foundation in connection with the transaction of the Sarnia Community Foundation’s business. This policy covers all records and documents, regardless of physical form, contains guidelines for how long certain documents should be kept and how records should be destroyed. The policy is designed to ensure compliance with federal and provincial laws and regulations, to eliminate accidental or innocent destruction of records and to facilitate the Sarnia Community Foundation’s operations by promoting efficiency and freeing up valuable storage space both physical and electronic.

**STATEMENT:** The goals of this Policy are to:

- Establish which documents should be retained for reference and future use;
- Delete documents that are no longer necessary for the proper functioning of the Foundation;
- Organize important documents for efficient retrieval both electronically and in physical form; and
- Ensure that the Foundation’s directors, employees and volunteers understand their obligations in retaining documents, the length of their retention, means of storage, and when and how they should be destroyed.

The foundation’s record retention policies are based on a combination of legal requirements, the foundation’s by-laws, and the desire to keep records for historical purposes as determined by the foundation.

It is also important to also consider the impact of PIPEDA, Personal Information Protection Electronic Documents Act. This Act enforces the appropriate collection of data from donors, stakeholders, employees, volunteers to ensure only information required for their function is collected and held only as long as it is required and with the permission and knowledge of the individuals in accordance with *Policy 2.05 Ethical Fundraising and Financial Accountability*

**Frequency of action:**

Files to be reviewed annually on the dates identified in the chart for appropriate destruction or storage.

**Monitoring and Review** \*as required by change in any applicable legislation.

**References:**

- Canada Revenue Agency Information Circular IC78-10R5
- RC4108 – charities

<b>5.06 Records Retention</b>	Committee Oversight: Board of Directors	Effective date: February 2019
<b>Approval:</b> Board of Directors		Scheduled Review : Three Years
		Page 2 of 5

### “Books and records

A registered charity must keep adequate books and records in either English or French, at a Canadian address it has on file with us, so that we can verify official donation receipts issued, as well as its income and expenditures. A charity must also keep information that we can use to determine whether its activities continue to be charitable. This additional information will vary from charity to charity but could include, for example, copies of minutes of meetings, correspondence, publicity brochures, or advertisements.

The charity should retain its books and records as follows:

- duplicates of receipts must be retained for a minimum of two years from the end of the calendar year in which the donations were made;
- books and records, together with the accounts and vouchers, containing the summaries of the year-to-year transactions of the charity, must be held for a minimum of six years from the end of the fiscal period to which they relate.

When a registered charity loses its registration, the books and records must be retained for a minimum of two years after the date the registration is revoked; the following must be kept as long as the charity remains registered and for two years after the registration is revoked:

- all records of any donations received by a registered charity that are subject to a direction by the donor that the property given be held by the charity for a period of not less than 10 years;
- minutes of meetings of the executive;
- minutes of meetings of the members; and
- all governing documents and by-laws.

Books and records may be destroyed at an earlier time than outlined above if the Minister gives written permission for their disposal”

The table that follows provides details on storage procedures

SCF RECORDS							Retention 2019
PERMANENT RECORDS							
Record Type	Temporary Storage	Long Term Storage	E Storage (Y/N)	Drop Box (Y/N)	Paper Archive	Discard Date	Annual Archive Date
Direction for endowed funds	Fireproof	Secure Offsite	Y	N	Y	2 years after dissolution	
Minutes	Office files	Secure Offsite	Y	N	Y	2 years after dissolution	
Governing documents & Bylaws	Fireproof	Secure Offsite	Y	Y	Y	2 years after dissolution	
General Ledger	Office files	Secured	Y	N	Y	2 years after dissolution	

NON PERMANENT RECORDS							
Record Type	Temporary Storage	Long Term Storage	E Storage (Y/N)	Drop Box (Y/N)	Paper Archive	Discard Date	Annual Archive Date
OFFICE RECORDS		2 YEARS ONCE DORMANT					
Staff and Board Lists	In ED/Office Files	OFFICE FILES	Y	Y for current year	Y		January 15
Correspondence related to funds	FUND files	FUND Files	Y	N	Y	Dependent on nature of document	January 30
Record Type	Temporary Storage	Long Term Storage	E Storage (Y/N)	Drop Box (Y/N)	Paper Archive	Discard Date	Annual Archive Date
LEGAL RECORDS		7 YEARS ONCE DORMANT					
Contracts & Leases in effect	Fireproof	Fireproof	Y	Y		NONE while in effect	July 30
Contracts & Leases expired or completed	Office File drawer	Archive as needed	Y	N	N	YEAR 8	July 30
Insurance records, reports or claims	Fireproof	Fireproof	Y	Current year		YEAR 8	July 30
Legal correspondence	Fireproof	Archive as needed					
Litigation files	Fireproof	Archive as needed					
Deeds and manuals for currently owned property	Office File drawer	None	Y	N	N	Once no longer SCF property	
Record Type	Temporary Storage	Long Term Storage	E Storage (Y/N)	Drop Box (Y/N)	Paper Archive	Discard Date	Annual Archive Date
Accounting & Fiscal Records		7 years					
Budgets	Office		Y	Y 2 yrs		YEAR 8	March 1
Internal Financial statements and reports (quarterly)	Office		Y	Y 2 yrs		YEAR 8	March 1
Insurance policies (expired)	Office		N	N			
Audited Financial Statements	Office /Web page	Web Page	Y	Y 2 yrs	Y	2 Years after dissolution	
T3010	Office	Link on Website to CRA	Y	N			
Payroll							
• Payroll records	Office		Y	N		YEAR 8	March 1
• T4 and T4 Summaries	Office		Y	N		YEAR 8	March 1
Investments							
• Custodian statements	Office		Y	N		YEAR 8	March 1
• Investment Reports	Office		Y	N		YEAR 8	March 1
Gifts (Flowthrough)							
• Donations records	Office		Y	N			
• Donation receipts (chrono copy*)	Office		Y	N			
• Records of stock/bond transfers	Office		Y	N			
Bank Records							
• Bank statements & reconciliation	Office		Y	N		YEAR 8	March 1
• Cancelled checks	Office		Y	N		YEAR 8	March 1
• Deposit slips	Office		Y	N			March 1

<b>Accounts Payable</b>							
• Accounts payable ledgers & receipts	Office		Y	N		YEAR 8	March 1
• Travel & expense reports	Office		Y	N		YEAR 8	March 1
• Invoices from vendors	Office		Y	N		YEAR 8	March 1
<b>Capital and fixed assets</b>							
• Depreciation schedules	Office		Y			YEAR 8	
<b>Financial statements &amp; reports (monthly/quarterly)</b>	Office		Y			YEAR 8	
<b>Government Returns</b>							
• GST Returns (operations and investments)	Office		Y	N			
• EHT Returns	Office		Y	N			
• Property Tax Rebates	Office		Y	N			
• PST Returns	Office		Y	N			
<b>Property Appraisals</b>	Office		Y	N		YEAR 8	
<b>Depreciation schedules (retained property)</b>	Office		Y	N		YEAR 8	
<b>Correspondence with CRA</b>	Office			N			
<b>Record Type</b>	<b>Temporary Storage</b>	<b>Long Term Storage</b>	<b>E Storage (Y/N)</b>	<b>Drop Box (Y/N)</b>	<b>Paper Archive</b>	<b>Discard Date</b>	<b>Annual Archive Date</b>
<b>Personnel Records</b>							
Benefits administration (except pension)	Office if active		Y	N		Archive if terminated/inactive 7 years	April 1
Job descriptions	Office		Y	Y current			
<b>Personnel files</b>							
• Employment actions	Office while current		Y	N		6 years from end of fiscal period	
• Employment applications	Office while current		Y	N		6 years from end of fiscal period	
• Hiring, promotion, termination records	Office while current		Y	N		6 years from end of fiscal period	
<b>Record Type</b>	<b>Temporary Storage</b>	<b>Long Term Storage</b>	<b>E Storage (Y/N)</b>	<b>Drop Box (Y/N)</b>	<b>Paper Archive</b>	<b>Discard Date</b>	<b>Annual Archive Date</b>
<b>Grant Records</b>							
<b>Grant Files</b>	Office						
• Grant policy/procedure manuals	Office		Y	Y			
• Grants - recommended	Office		Y	Y as per report to board		6 years from end of fiscal period	
• Grants denied	Office		Y	N		6 years from end of fiscal period	
<b>Record Type</b>	<b>Temporary Storage</b>	<b>Long Term Storage</b>	<b>E Storage (Y/N)</b>	<b>Drop Box (Y/N)</b>	<b>Paper Archive</b>	<b>Discard Date</b>	<b>Annual Archive Date</b>
<b>Fund Files - CLOSED</b>							
• Fund Files- closed or dormant	Office		Y			6 years from end of fiscal period	June 1

• Prospect files closed or dormant	Office		Y				
<b>Publicity/Public Relations</b>							
• News releases	Office	Archive as needed	Y		Y		
• Pamphlets, brochures, newsletters, etc.	Office	Archive as needed	Y	Y 5 yrs	Y		
• Photographs, slides, video, clippings, etc.	Office	Archive as needed	Y	N			
• Special reports, studies	Office	Archive as needed	Y	Y 2 yrs			

The purpose of the policies in this section is to define the Foundation’s policies and procedures as related the employed staff, volunteers and occasional workers.

<b>6.01 Workplace Diversity</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two Years *
		Page 1of 1

**Policy Statement:** The Foundation is committed to being a leader in supporting and valuing the diversity of the people, organizations and communities we serve. Valuing diversity is recognizing and respecting human differences and similarities.

The Foundation is committed to employment and volunteer diversity. All employment decisions regarding recruitment, hiring, promotion, compensation, employee development decisions such as training, and all other terms and conditions of employment and all volunteer recruitment activities will be made without regard to race, religious beliefs, colour, gender, sexual orientation, marital status, physical and mental disability, age, ancestry or place of origin.

The Foundation will endeavour, where feasible, to eliminate systemic barriers to advancement and/or redress the under-utilization of designated groups.

Everyone at the Foundation has a role to play in supporting our commitment to diversity and employment equity. Each employee and volunteer, regardless of position, is responsible for applying the Foundation’s Workplace Diversity Policy on an ongoing basis. Each employee and volunteer is expected to treat others with dignity and respect and in a fair and non-discriminatory manner in all Foundation related activities.

**Monitoring and Review** \*as required by change in any applicable legislation.

References:

<b>6.02 Recruitment and Selection</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two Years*
		Page 1 of 1

**Policy Statement:** The Sarnia Community Foundation is committed to the principles of the Ontario Human Rights Code by employing the most qualified person without regard to race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, religion, sex, sexual orientation, age, marital status, family status or handicap.

**Selection Process:** Recruitment and selection processes will comply with statutory and legislative requirements. Final selection decisions will be made on the basis of hiring the best qualified person available and will adhere to the following process:

- Job description including qualifications will be established prior to the position being posted and advertised externally,
- A prescreening telephone interview may be utilized to assist in the hiring process,
- Interviews will use behavioral style questions and consistent selection criteria,
- A minimum of 2 references will be checked before an offer of employment is made,
- As a condition of employment, a successful candidate will have a criminal record check completed to ensure continued eligibility for employment,
- The offer letter will include all agreed upon arrangements i.e. salary, benefits, probationary period, working hours, vacation and an agreement to comply with all Foundation policies,
- All new employees will be expected to sign a confidentiality agreement and a conflict of interest declaration,
- The first three months of employment will be considered a probationary period,
- All candidates who have been interviewed will be sent a letter advising them of the outcome thanking them for their participation. The letter will be signed by the Executive Director

#### **Executive Director Position**

A Selection Committee will be established comprising a minimum of three members of the Board of Directors. The selection decision is the responsibility of the full Board of Directors, upon the recommendation of the Selection Committee.

#### **Staff Positions**

The Executive Director is responsible for the development of recruitment plans and selection of staff in accordance with this policy.

#### **Volunteer Positions**

The Executive Director is responsible for the development of recruitment plans and selection of volunteers in collaboration with committee chairs in accordance with this policy. Volunteer placement on the Board of Directors will be determined by the legislative act governing the Foundation and the policies of the board.

<b>6.03 Probation</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two Years*
		Page 1 of 1

**Policy Statement:** The purpose of probation is to provide a period of time during which the performance of a newly hired or promoted employee can be appraised based on performance standards established for the position.

**Length of Probation:** All employees will serve a probationary period for the first three months of their employment or promotion.

**Probationary Review:** It is the responsibility of the direct supervisor to monitor the performance of the employee during the probationary period. In the case of the Executive Director, this responsibility is undertaken by the Board of Directors. It is expected that the supervisor will provide periodic feedback to the employee during the probationary period. At the completion of the initial probationary period, the employee will be provided with a performance review. If the review is satisfactory, the employee will be provided with a letter acknowledging the successful completion of the probationary period. A copy of the letter will be added to the employee's personnel file.

**Extension of Probation:** If the three-month review is unsatisfactory, some circumstances may warrant the extension of the probationary period. In this case, the employee will be provided in writing with the reasons for the extension, the time that probation has been extended for and clear objectives to be accomplished. Probation may be extended up to three months. The supervisor must notify the Executive Director if probation is to be extended. At the completion of the probationary period extension, the employee will be provided with a review. If that review is satisfactory, the employee will be provided with a letter acknowledging the successful completion of the probationary period. A copy of the letter will be added to the employee's personnel file.

**Termination:** If the employee's performance is unsatisfactory, employment will be terminated, in writing, during or at the end of the probationary period.

**Monitoring and Review \*** - Subject to review as required

*References: ESA, 2000, Part XI; OHSC, R.S.O, c. H.19*

<b>6.04 Hours of Work</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two Years
		Page 1 of 1

**Policy Statement:** The success of the Foundation requires hours of operation which allow access for donors, stakeholders and the general public. Given the nature of the work of the Foundation, some activities may occur outside of standard hours and the Foundation recognizes employee flexibility in their hours of work.

*Hours of Work*

The Foundation has a standard work-week of Monday to Friday. The regular number of hours of work per week is 35 hours exclusive of lunch or as agreed to by the offer of employment. Flexible work schedules may be established as needed to carry out the work of the Foundation. All full time permanent employees are entitled to a one-hour lunch or rest period or a one half hour lunch and two fifteen minute breaks.

*Overtime and Lieu Time*

No overtime shall be planned or worked by support staff unless approved by the Executive Director. With a mutual agreement between the employee and the Executive Director, compensation for time worked in excess of the normal hours of work may be given in the form of lieu time. Scheduling of lieu time is subject to the approval of the Executive Director. Employees cannot accumulate more lieu time than would constitute a normal number of hours of work per week.

Monitoring and Review: As required

References: *Employment Standards Act (ESA), 2000, Part VII*

<b>6.05 Statutory Holidays</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors	Reviewed June 2018	Scheduled Review: With legislative change
		Page 1 of 1

The Foundation observes the following paid holidays in accordance with the Employment Standards Act:

New Year's Day	Alexander Mackenzie Day (Civic Holiday)
Good Friday	Labour Day
Thanksgiving Day	Victoria Day
Christmas Day	Canada Day
Boxing Day	Family Day

Part-time employees not scheduled to work on statutory holidays will be paid holiday pay in accordance with the Employment Standards Act. The amount of statutory holiday pay is determined by using the last four weeks' pay.

1. Employees gross weekly pay (including vacation pay) x 4
2. Divide the total by 20
3. Result is the gross amount of statutory holiday pay.

To be eligible for statutory holiday pay employees must work the last regular scheduled workday before the public holiday and the first regular scheduled day after the holiday.

<b>6.06 Vacation</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors	Reviewed June 2018	Scheduled Review: Two Years*
		Page 1 of 2

**Policy Statement:** The Foundation is committed to the health and well-being of staff as an important component in organizational success. Vacation time off can be a significant factor in contributing to employee performance and satisfaction.

### **Vacation**

Vacation time not taken in the year earned must be taken within the next three months of the following year unless approval to carry forward is given by the Chair of the Board and/or Executive Director. To ensure that adequate time away from work is taken, staff may not be given pay in lieu of vacation unless approved by the Executive Director.

### **Vacation Entitlement**

Vacation time off will be granted at a minimum as follows:

After one full year – Ten (10) days

After three full years – Fifteen (15) days

After seven full years – Twenty (20) days

Vacation for part time employees, either salaried or on hourly rates, will determined as per the entitlement guidelines, keeping in mind that paid holiday is a requirement of the Employment Standards Act. The Foundation may grant more than the minimum required by this policy on a case by case basis.

Temporary staff will be paid four percent (4%) vacation pay on gross earnings.

### **Vacation Approval**

Scheduling of vacation time off for the Executive Director shall be approved by the Executive Committee of the Board. All other employees will have their vacation time off approved by the Executive Director.

<b>6.06 Vacation</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors	Reviewed June 2018	Scheduled Review: Two Years*
		Page 2 of 2

### **Personal Care Days**

The Foundation acknowledges and supports employees of all faiths. The Foundation further acknowledges that employees may also require time to accommodate personal needs. Full time employees are entitled to five personal care days per year. These days can be used to accommodate time off for religious activities, the scheduling of health care appointments, to deal with short term child or adult care needs, etc. The scheduling of personal care days must be approved by the Executive Director or by the Chair of the Board in the case of the Executive Director and can be taken in increments of ¼ or ½ days. Personal care days not taken in the calendar year cannot be carried forward.

Monitoring and Review: As required

References: *Employment Standards Act (ESA), 2000, Part XI*

<b>6.07 Harassment Free Workplace</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Annual*
		Page 1 of 1

**Policy Statement**

The Sarnia Community Foundation is committed to providing a work environment that is free of harassment and supportive of the dignity, self-esteem and productivity of every employee. The Foundation will not tolerate any form of harassment of, or by, employees, stakeholders, volunteers, students, contractors, suppliers or other individuals associated with the Foundation while engaged in activities pertaining to the workplace.

**\*Monitoring and Review:** OHSA requires this policy be reviewed annually, dated within one year and posted. OHSA requires a separate or combined posted policy for Workplace Violence and Workplace Harassment.

The posted Workplace Harassment Policy Statement must make reference to “domestic violence”. Both Workplace Harassment and Workplace Violence procedures must define all types of workplace violence and harassment.

*References: OHSA, R.S.O. 1990, Chapter. 0.1, Part III 0.1, WSIA, Criminal Code of Canada*

<b>6.07a Reporting Violations</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Annually or as required *
		Page 1 of 1

**Policy Statement:** It is each employee’s personal responsibility to bring violations or suspected violations of the Foundation’s Code of Ethics to the attention of their supervisor. The Foundation’s policy prohibits any retribution against employees who come forward to make such reports. Whenever practical, all reports or allegations will be recorded and thoroughly investigated by management prior to judgments being made or action being taken in response to suspected violations.

The OHSA requires that there be a procedure for addressing, reporting (including separate form), investigating and conclusion (written decision) for both Workplace Harassment i.e. Direct Action, Seek Assistance, Mediation, Informal and Formal Complaint Process, Decision (written with time frame), and method of addressing any retribution.

In addition to the policy statements (Workplace Harassment, Workplace Violence or combined), separate procedures must be developed.

Monitoring and Review: must be completed at least annually and dated within one year

*References: OHSA, R.S.O. 1990, Chapter. 0.1, Part III 0.1*

<b>6.08 Leaves of Absence</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 4

### **Purpose**

The purpose of this policy is to outline both statutory obligations and internal SCF policy for accessing, requesting and granting specified leaves of absence.

### **Scope**

This policy applies to all Foundation employees regardless of position or status

### **Definitions**

**Medical Leave** – A leave of absence from work for personal medical reasons

**Personal Leave** – An unpaid leave of absence to attend to matters of a personal nature

**Pregnancy Leave** – Is up to 17 weeks of job-protected, unpaid time off work. To be eligible, your baby’s expected birth date (due date) must be at least 13 weeks after the commencement of your employment

**Parental Leave** – Is up to 13 weeks of job-protected unpaid time off work once a child is born or first comes into care. To qualify, you must have been employed by your employer for at least 13 weeks before the start of the leave. This leave applies to a birth parent, adopting parent and a person in a relationship with a parent of a child with plans to treat the child as their own

**Bereavement Leave** – Authorized leave, either paid or unpaid, for the purposes of dealing with the death of a family member

**Jury Duty** – Service as a juror in a legal proceeding

### **References**

*Employment Standards Act*

- *Pregnancy Leave – Part XIV; Sections 46, 47*
- *Parental Leave – Part XIV; Sections 48, 49*

*Ontario Human Rights Code*

### **Procedures**

#### **Medical Leave of Absence**

When an employee requires time off work for personal medical reasons the following process applies;

- Notify the Chair of the Board or Executive Director in writing, to the extent that you can, as to the date the medical leave is scheduled to commence

<b>6.08 Leaves of Absence</b>	Committee Oversight: Board of Directors	Effective date: October 2016
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required*
		Page 2 of 4

- Provide a medical note from a physician indicating the expected prognosis and return to work date
- Maintain contact with the Executive Director and/or Chairman of the Board of Directors throughout the leave
- Prior to the return to work date, provide the Executive Director or Designate, with a return to work clearance note from a physician or physical restrictions if accommodation is required

### ***Pregnancy Leave***

Shall be granted for 17 weeks as provided in the *Employment Standards Act*, and may begin no earlier than 17 weeks before the expected due date or on the date of the birth. Once an employee has commenced her pregnancy leave she must take it all at once. If the employee returns to work early she will forfeit the rest of her leave.

The employee shall attempt to give the Employer two (2) weeks' notice, in writing, prior to the day upon which she intends to commence her leave of absence, unless impossible. The employee will also provide the Employer with a certificate from a legally qualified medical practitioner stating that she is pregnant and giving the estimated day upon which delivery will occur. The employee must have started employment at least thirteen (13) weeks prior to the expected date of birth.

The employee may shorten the duration of the leave by giving the employer four (4) weeks' notice of her intention to do so. The employee shall furnish the employer with a certificate of a legally qualified medical practitioner stating that she is able to resume her work. Additional leave of absence may be taken under Parental Leave.

Upon the expiry of seventeen (17) weeks pregnancy leave, an employee may immediately commence parental leave as defined in this policy. The employee shall give the employer at least two (2) weeks' notice, in writing that she intends to take parental leave.

### ***Parental Leave***

An employee who becomes a parent and who has been employed for at least thirteen (13) weeks immediately preceding the date of birth of child or the date the child came into the care or custody of the employee, shall be entitled to parental leave.

An employee wishing to take parental leave shall give the employer written notice at least two weeks before the day the leave is to begin.

A "**parent**" includes: a birth parent; an adoptive parent (whether or not the adoption has been legally finalized) and, a person who is in a relationship of some permanence with a parent of the child and who plans on treating the child as his or her own.

<b>6.08 Leaves of Absence</b>	Committee Oversight: Board of Directors	Effective date: October 2016
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 3 of 4

A birth mother that takes pregnancy leave must begin her parental leave as soon as her pregnancy leave ends.

All other parents must begin their parental leave no later than 52 weeks after:

- the date their baby is born; or,
- The date their child first came into their care, custody and control.

Birth mothers who take pregnancy leave are entitled to take up to 35 weeks of parental leave. All other new parents are entitled to take up to 37 weeks of parental leave. Employees may decide to take a shorter leave if they wish. However, once an employee has started parental leave, he or she must take it all at one time. If he or she returns to work early they will forfeit the rest of their leave.

An employee wishing to end their parental leave earlier than originally planned may do so by giving the employer written notice at least four (4) weeks before the day he or she wishes to end the leave. Employees are required to notify the employer of their intention to return to work two (2) weeks prior to the expiry of the leave. An employee who takes parental leave shall not terminate his or her employment before their leave expires or when it expires without giving the employer at least four (4) weeks' written notice of the termination.

### **Bereavement Leave**

Bereavement Leave will be granted as a result of the death of a family member. This includes a parent, step-parent, foster parent, child, grandchild, grandparent, step-grandparent, spouse of your child, brother and sister, aunt and uncle, cousin or others as specified.

The Chair of the Board of Directors and/or Executive Director reserves the right to determine the length of the leave

### **Personal Leave**

Personal leaves of absence are unpaid and must have the approval of the Chair of the Board of Directors and/or Executive Director. Personal leaves will be granted up to sixty (60) days with and extension option as approved by the Chair of the Board of Directors and/or Executive Director. Personal leave includes time off to deal with urgent family matters and/or other matters as approved.

### **Jury Duty**

An employee who is called for Jury duty or to testify in court will be granted the necessary time off from work. Permanent full time and Permanent Part Time employees performing jury duty will receive their normal pay for time absent from work, less any payment made by the court for lost wages. Any compensation from the court for travel, meals or other expenses belong solely to the employee

<b>6.08 Leaves of Absence</b>	Committee Oversight: Board of Directors	Effective date: October 2016
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 4 of 4

***Leave to Vote***

For federal, provincial and municipal elections, employees who qualify as electors, and whose work schedule does not allow time to vote, are entitled to 3 consecutive hours off while the polls are open to vote. The employee will not lose any wages as a result of such time away from work.

Monitoring and Review: as required

<b>6.09 Expenses and Allowances</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review : Annual with Budget Process
		Page 1 of 1

**Policy Statement:** The Foundation provides for reimbursement of legitimate business expenses for the items and rates as listed below. Rates for allowable expenses including mileage will be reviewed on an annual basis and amended as needed.

### 1. Mileage

Staff required to use their vehicle on approved Foundation business, will be reimbursed for business mileage at the rate equal to that set by the provincial government and be subject to the same conditions regarding the use of a rental vehicle versus a personal vehicle. Approval for the use of the vehicle and reimbursement that results must be as a result of out of town travel required for conferences or training and must be obtained in advance.

### 2. Transportation

For approved travel, other than a personal vehicle, the Foundation will pay the equivalent of an economy class fare (air, train, ferry, or bus) and in the case of a vehicle rental, the compact rate.

### 3. Accommodation

When out of town travel is required for Foundation related purposes, staff will be reimbursed for a standard hotel room in a basic hotel.

### 4. Meal Expenses

Meal expenses when deemed necessary and with prior approval will be allowed. When travelling on Foundation business, the daily maximum rate for meals is \$60.00. There will be no reimbursement for alcoholic beverages

### 5. Other Allowable Expenses

Reimbursement will be made for all business expenses and for other miscellaneous expenses incurred, including taxi fare, airport transfer, parking charges. When an employee is absent on approved travel for more than 5 working days, one personal long distance call per day and dry cleaning will be allowed. Personal purchases such as mini-bar items, or movies will not be covered.

### 6. Expense Reports

All Expense Reports with receipts, where applicable, are to be filed monthly.

References:

<b>6.10 Disciplinary Procedures</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 2

**Policy Statement:** The Sarnia Community Foundation endorses a progressive disciplinary approach to inappropriate behaviour. This process assists employees to overcome and to change behaviour that is deemed to be inappropriate.

All inappropriate behaviour will be investigated with discussion with all parties involved before any disciplinary action is taken. Note that separate investigations and separate warnings will be issued for different disciplinary infractions. Depending on the severity of the inappropriate behaviour, steps in the process may be bypassed. The steps in the disciplinary process are outlined below:

**Step 1 - Verbal Warning**

- a meeting takes place to discuss the concerns with the intent on immediate corrective action,
- a Disciplinary Notice is completed; a copy is given to the employee and a copy is placed in the employee's file.

**Step 2 - Written Warning**

- a meeting takes place to discuss the concerns and a letter is issued containing details of the employee's inappropriate behaviour; the letter should contain a reminder regarding the policies and procedures that have been violated and that further infractions will result in further disciplinary action,
- a Disciplinary Notice is completed; a copy is given to the employee along with the disciplinary letter and copies of each placed in the employee's file.

**Step 3 - Second Written Warning**

- a meeting takes place to discuss the concerns and a second letter is issued containing details of the employee's inappropriate behaviour; the letter should contain a reminder regarding the policies and procedures that have been violated and that further infractions will result in further disciplinary action up to and including termination,
- a Disciplinary Notice is completed to ensure the employee is aware that this is a Second Written Warning; a copy is given to the employee along with the disciplinary letter and copies of each placed in the employee's file.

**Step 4 - Dismissal**

- The Executive Director or Chair of the Board, depending on the position, will be consulted before a decision about termination is made,

<b>6.10 Disciplinary Procedures</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 2 of 2

- a meeting takes place; the employee is advised of the inappropriate behaviour and a termination letter is given to the employee.

Disciplinary steps enforced must be clearly documented in order to support the action taken.

Actions that may warrant disciplinary action include but are not limited to:

- failure to comply with policies and procedures,
- misuse of property, e.g. photocopier, fax, computer,
- neglect of job functions and responsibilities,
- failure to report for work,
- lateness or leaving an assignment,
- excessive absenteeism,
- inappropriate behaviour or communication with a co-worker,
- conducting personal business while working,
- inability to meet expected work ethic,
- inappropriate disclosure of personal information or personal health information,
- negligence or gross misconduct,
- failure to comply with previous disciplinary warnings,
- failure to meet employee performance standards,
- unsuccessful completion of the probationary period.

Immediate dismissal or suspension, with or without pay, while an investigation is underway, is warranted for offences that include but are not limited to:

- indecent and immoral behaviour or conduct,
- insubordination,
- breach of confidentiality and/or privacy,
- workplace harassment,
- workplace violence.

Monitoring and Review: As required

References:

<b>6.11 Resignation and Termination</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 2

**Policy Statement:** Fair and reasonable consideration and treatment is applied to all employees leaving the Foundation after the probationary period has passed.

### 1.0 Resignation

Employees are expected to:

- give 2 weeks written notice of resignation and when possible, provide longer notice, unless other time frames are written into a contractual arrangement
- return all Foundation property

Employees are expected to leave all Foundation files, both paper and electronic, at the Foundation and provide sufficient documentation of their activities to the date of resignation for any member of the Foundation staff to complete pertinent material.

An employee is considered to have resigned, if they:

- do not return from a leave or vacation at the time specified,
- refuse a comparable position upon return from a leave,
- have an unexcused or unreported absence

### 2.0 Termination

#### 2.01 Involuntary Termination

Employees whose employment is involuntarily terminated for reasons such as workforce reductions, position elimination, etc. will receive Notice of Termination for the equivalent period of the notice as outlined in the Employee Standards Act 2000. All involuntary terminations will be set forth in the terms and conditions of the separation.

#### 2.02 Termination “for cause”

An employee who is discharged from employment for unacceptable job performance or violation of a Foundation policy will be considered to have been terminated “for cause”.

The following list contains examples of employee behaviour that will be considered “for cause”, but is not limited to:

- breach of confidentiality,
- falsification of personal or Foundation records,
- Performance of assignment(s) while under the influence of alcohol or mind altering drugs,
- harassment,
- theft,

continued page 2

<b>6.11 Resignation or Termination</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 2 of 2

- walking off the job without approval,
- gross misconduct or insubordination,
- unauthorized use of property
- Not attending the work place for three consecutive days without notifying their direct supervisor.

Employees will not be terminated if they are:

- on a pregnancy, parental, emergency or family medical leave,
- refusing unsafe work.

Monitoring and Review: As required

References:

<b>6.12 Occupational Health and Safety</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** The Sarnia Community Foundation is vitally interested in the health and safety of its employees. Protection of employees from injury or occupational disease is a major continuing objective. The Sarnia Community Foundation will make every effort to provide a safe, healthy work environment. All supervisors and employees must be dedicated to the continuing objective of reducing risk of injury.

For the purposes of this policy the Executive Director is to be considered the supervisor of health and safety in the workplace. Additional supervisors may be appointed.

Supervisors will be held accountable for the health and safety of employees or volunteers under their supervision and are responsible to ensure that equipment is safe and that employees or volunteers work in compliance with established safe work practices and procedures. Supervisors will be required to be familiar with the Occupational Health and Safety Act. Employees/Volunteers will receive training in their specific work tasks to protect their health and safety.

All employees/volunteers have a responsibility to observe all health and safety rules and procedures as well as all applicable legislated standards and guidelines and shall continually work towards reducing risk of injury. It is the responsibility of the employee/volunteer to report all unhealthy or unsafe conditions to their supervisor.

Volunteers, visitors, contractors and subcontractors, and their workers must meet all legislated requirements and standards, policies and procedures of The Sarnia Community Foundation.

It is in the best interest of all parties to consider health and safety in every activity.

Monitoring and Review: requirement is to post, dated within one year and reviewed annually  
References: *Occupational Health & Safety Act, R.S.O., 1990, Chapter.01, Section 25 (2) i,k,j; O.Reg. 851*

See below (Section 25 i,j&k):

- (i) post, in the workplace, a copy of this Act and any explanatory material prepared by the Ministry, both in English and the majority language of the workplace, outlining the rights, responsibilities and duties of the workers;
- (j) prepare and review at least annually a written occupational health and safety policy and develop and maintain a program to implement that policy;
- (k) post at a conspicuous location in the workplace a copy of the occupation health and safety policy;

<b>6.13 Use of Technology</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 2

**Policy Statement:** The Foundation provides electronic and computer equipment for the employee’s use in completing their job responsibilities. The Foundation’s goal for technology is to help our donors and staff by providing the right information and technology at the right place and the right time. We have a commitment to protect our information assets to respect our donors’ rights to privacy and confidentiality.

Technology resources of the Foundation include but are not limited to email, internet, telephone, cellular services, text messaging and other technologies. The primary purpose of the Foundation’s technology resources is for Foundation business communication. Employees and volunteers are expected to use technology resources with good judgment and responsibility. These resources are not to be used for any purpose that violates the Ontario Human Rights or Criminal Codes.

An email message is a business record the same as a memo or letter is a business record. Therefore, email communication should be treated in the same manner as other business communication in that information that would not be released in hard copy form (with the Foundation’s logo) should not be released in electronic form.

No information on the internet should be distributed, viewed, copied or saved which is not related to Foundation business or not in compliance with policies or applicable legislation.

No email, text or voice mail message should be created, sent or saved that contains intimidating, pornographic, hostile or offensive material that is prohibited according to the Ontario Human Rights or Criminal Codes.

All communications and information transmitted, received, or stored using Foundation resources is Foundation property and as such the Foundation has the right to inspect the contents of any voice-mail, email, text messages and internet searches in the course of an investigation.

**Procedures**

- a. The Executive Director will be responsible for creating, maintaining and deleting e-mail accounts.
- b. E-mail is a corporate resource and personal use must be kept to a minimum. It follows that email is not private, and may be reviewed by authorized individuals, including supervisors.
- c. It is the responsibility of the individual users to provide good housekeeping of their email files. Note: deleting a message/file may not fully eliminate it from the system.

<b>6.13 Use of Technology</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 2 of 2

- d. When sending messages, employees shall identify themselves clearly and accurately.
- e. The computer system should not be used to communicate anything improper or illegal.
- f. Permission for equipment usage for personal reasons will be upon the approval of the Executive Director. If approval has been obtained for personal use, all work will be performed in the employee's lunch breaks or after hours if appropriate.
- g. Computer use to exclude the installation of personal hardware or software applications to Foundation equipment.
- h. Employees will sign a consent form indicating their understanding of the Foundation's policy. They must understand that violation of the policy may result in disciplinary action.
- i. It is the responsibility of the Executive Director to monitor personal usage of any Foundation computer.

Monitoring and Review as required

References:

<b>6.14 Cell Phone Usage</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** The purpose of this policy is to outline the appropriate use of personal or foundation cell phones in the course of foundation business.

**Applicability**

This policy applies to all Sarnia Community Foundation personnel. This policy about cellular phone usage applies to any device that makes or receives phone calls, leaves messages, sends text messages, surfs the Internet, or downloads and allows for the reading of and responding to email whether the device is company-supplied or personally owned.

Employees are required to comply with the laws of Ontario with respect to cell phone use or any other activity while driving.

The foundation is aware that employees utilize their personal or foundation-supplied cellular phones for business and personal purposes. At the same time, cell phones are a distraction in the workplace. To ensure the effectiveness of meetings, and as a professional courtesy to others, employees are asked to leave cell phones at their desk. On the unusual occasion of an emergency or anticipated emergency that requires immediate attention, the cell phone may be carried to the meeting on vibrate mode.

<b>6.15 Insurance for Employee/ Volunteer Use of Own Auto</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** The purpose of this policy is to outline the employee’s/volunteer’s and the foundation’s insurance coverage when an employee or volunteer uses their own auto for foundation business.

When an employee/volunteer is using their personal vehicle while on foundation business, their personal auto insurance is the primary insurer. The foundation’s limit for non-owned automobiles is \$2 million. This is paid in excess of the underlying automobile insurance for the owner of said vehicle.

Example: If the employee/volunteer has an underlying liability limit of \$1 million (as is typical) and uses their vehicle for SCF purposes and a claim is substantiated in the amount of \$2.5 million, the owner’s automobile policy would pick up the first \$1 million and the foundation’s insurance would pick up the additional \$1.5 million.

<b>6.16 Contact with the Media</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** The purpose of this policy is to outline the protocol for foundation contact with the media

### **Applicability**

This policy applies to all Sarnia Community Foundation personnel, both staff and volunteers.

The Chair of the Foundation Board of Directors is the official spokesperson on governance and policy issues. Both the Chair and the Executive Director should speak on major announcements.

The Executive Director is the spokesperson on operational issues. The Executive Director is the media contact.

Should other staff or directors be contacted by the media for comment on operational issues, they are to refer the media to the Executive Director who will respond and/or refer appropriately.

Should directors be contacted by the media for comment on governance or policy issues, they are to refer to the media to the Chair of the Board who will respond and/or refer appropriately.

<b>6.17 Outside Employment &amp; Participation in Community Activities</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

The Foundation recognizes the right of its employees to privacy and to make use of personal time outside of working hours as they see fit. However, outside employment opportunities should be carefully considered to ensure the employee’s ability to perform their responsibilities at the Foundation are not adversely affected. Employees may engage in outside employment that complies with the following:

- a. All outside employment and associated activities must be kept separate from the employee’s Foundation responsibilities.
- b. Employees are prohibited from using time, tools, equipment, materials, personnel or information obtained through the Foundation for outside activities.
- c. Where the possibility of a conflict of interest exists, an employee should discuss these activities with their supervisor prior to engaging in such activities.
- d. The outside employment should not embarrass or discredit the Foundation.
- e. Soliciting Foundation donors and volunteers for outside employment is strictly prohibited.

The Foundation strongly encourages individuals to participate in community activities that promote the general welfare of the community in which we work. Employees, who participate in such activities on or off company time, must recognize that they are representatives of the Sarnia Community Foundation and should act accordingly.

<b>6.18 Personal Use of Foundation Equipment / Solicitation</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** The Foundation’s resources should be used for the benefit of the Foundation and not for personal financial gain.

Employees will be allowed personal use of Foundation equipment provided:

Advance approval by the Executive Director is obtained.

- a) The item is portable.
- b) The item is non-consumable.
- c) The cost to the Foundation is negligible.

Use of Foundation resources for community or charitable activities must be approved in advance by the Executive Director.

Foundation employees must provide their dedication during the performance of job responsibilities to ensure the fulfillment of the goals and objectives of the Foundation.

- a) Employees must refrain from any activity directed toward private gain during working hours. Normal working hours do not include unpaid break periods.
- b) Collection of gifts for fellow employees and Foundation supported solicitations, for sale of merchandise raffle tickets, club memberships or organizations is permitted provided the time does not interfere significantly to the productivity of employees and the activity has been approved by the Executive Director.

<b>6.19 Accuracy of Records</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** The Foundation’s business transactions must be properly authorized and be completely and accurately recorded in the company’s books and records.

- a) Altering or destroying data in an attempt to produce false or misleading records or reports is strictly prohibited.
- b) Reports and evaluations must fairly represent all information relevant to the decision being requested or recommended.
- c) Undisclosed funds or accounts may not be established for any purpose.
- d) Record retention policies established by law or the Foundation must be adhered to.
- e) In the event any falsification of Foundation records or transactions occurs, the employee may be subject to disciplinary action up to and including dismissal.

<b>6.20 Fitness for Duty</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** For the health and safety of all Foundation employees, the use of illegal drugs is strictly prohibited during working hours. The responsible consumption of alcohol at Foundation events and other functions where employees represent the Foundation is expected at all times.

### ***Use of Illegal drugs***

The use, sale, purchase or possession of illegal drugs while on the job or Foundation property is strictly prohibited.

- a) Employees may not report to work under the influence of illegal drugs.
- b) Employees are required to immediately notify their supervisor of any suspected instance of use, possession, or knowledge of someone under the influence of such substances on Foundation property.
- c) Prescribed medical treatment with a controlled substance should be reported to the employee's supervisor when an employee's ability to perform the job assignment in a safe manner is affected. It is critical for the Foundation to know such use is occurring, as a temporary job reassignment may be necessary.

### ***Use of Alcohol***

The Foundation does not provide funds for the purchase of alcohol at Foundation sponsored activities. However, employees may consume alcohol if they so choose under the following guidelines:

- a) Employees are expected to make travel arrangements at functions where they are representing the Foundation and at which they are consuming alcohol, such as: assign a designated driver, take alternate transportation, arrange to stay in a hotel
- b) An employee may be asked to stop consuming alcohol if it is believed they are exhibiting inappropriate behaviour.

<b>6.21 Pay Administration</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 1

**Policy Statement:** The Sarnia Community Foundation is committed to the timely and accurate remuneration of employees.

***Method of Compensation***

All permanent full time employees will be paid by cheque or direct deposit 26 times per year, every other Thursday for work performed during the two weeks preceding the pay date.

All part time employees will be paid at an hourly rate by cheque or direct deposit 26 times per year, every other Thursday for work performed during the two weeks preceding the pay date.

Alternate arrangements to this procedure may be undertaken should a contract have been in force prior to the acceptance of this policy by the Board of Directors.

Monitoring Methodology:  
Subject to review as required

<b>6.22 Volunteer Involvement and Recognition</b>	Committee Oversight: Board of Directors	Effective date: October 2019
<b>Approval:</b> Board of Directors		Scheduled Review: Two years or as required *
		Page 1 of 3

**Preamble:** The success of the Sarnia Community Foundation is dependent on the work of its volunteers, whether at a policy or direct service level. A respectful, meaningful working relationship between staff and volunteers is critical to the success. It is important for volunteers to be clear on their role and responsibilities and how these relate to the mission of the foundation. These policies and procedures define the support and involvement of volunteers.

### Statement

1. The organization has one or more clearly designated individuals (volunteer or paid staff) with appropriate experience, skills, or qualifications who are responsible for volunteer involvement. Each volunteer is paired with a member of the foundation staff or board member.
2. Volunteer assignments address the mission or purpose of the organization and involve volunteers in meaningful ways that reflect their abilities, needs, and backgrounds.
3. Volunteer recruitment incorporates internal and external strategies to reach out and involve a diverse volunteer base.
4. The foundation has an appropriate screening process for volunteers.
5. Each volunteer is provided with an orientation to the organization, its policies and practices, and receives training appropriate to the volunteer assignment and his/her individual needs.
6. Volunteers receive a level of supervision appropriate to the task and are given regular opportunities to offer and receive feedback.
7. The contributions of volunteers are acknowledged and recognized.
8. The impact and contributions of volunteers and the volunteer program are regularly evaluated.
9. Volunteers are welcomed and treated as valued and integral members of the organization's team.

### Assumptions & Principles

1. All volunteers want to be recognized for their contributions in some way, regardless of what they may say publicly
2. Some volunteers do not want their names publicized
3. Volunteer recognition is critical to the success of the Sarnia Community Foundation in building its asset and volunteer base
4. Our Foundation must be seen as fiscally responsible with respect to recognition expenditures
5. Recognition of volunteer efforts can be done effectively without expensive gifts
6. Recognition must be timely following completion of a specific task or project

<b>6.22 Volunteer Involvement and Recognition</b>	Committee Oversight: Board of Directors	Effective date: October 2016
<b>Approval:</b> Board of Directors	Reviewed June 2018	Scheduled Review: Two years or as required *
		Page 2 of 3

7. Recognition must reference the individual contributions of the volunteers to the successes of the projects or tasks
8. To be effective, recognition of volunteers must be on-going

<b>Volunteer Recognition Procedures</b>							
Recognition Given	Board Member	Committee Member	Ad hoc Committee Volunteer	Chair	Other Officers	Other Volunteers	Former Board Member
Annual recognition event (sponsored)	yes	yes	yes	yes	yes	yes	
Thank you letter from Chair upon completion of task		yes	yes			yes	
Display name in Annual Report	yes	yes	yes	yes	yes	yes	
Feature story annual report	Possible	Possible	Possible			Possible	
Service Certificate							
- 3 year		yes	yes			yes	
- 5 year		yes	yes			yes	
- 10+ years		yes	yes			yes	
Completion of term certificate	yes			yes	yes		
Completion of term gift (value TBD by Board)	yes			yes	yes		
Condolences to family upon death of volunteer							
- Expression of Sympathy	yes	yes	yes	yes	yes	yes	yes
- Donation to expressed charity of choice	yes			yes	yes		

## Appendix A- Succession Planning and Board Member Recruitment Process

The overall process involves three major steps

**1. Succession Plan** - A succession plan shall be established and updated on an annual basis. Succession planning is an ongoing process should start immediately following the installation of new board members in January.

1. Identify needs for board member replacement that will be required at year end, i.e. Skills, experience, geographic and demographic.
2. Establish a list of potential board members both from within the organization (volunteers) and new to the organization.
3. Prioritize any duplicates for specific skill positions

This step should be completed during the first quarter of the year.

**2. Determine the willingness of potential candidates to join the Board**

The willingness of potential candidates to become board members must be determined before the involvement of the Nominating Committee. Potential candidates must be provided with information that will enable them to determine their ability to meet the commitment required of a board member.

1. Information on the Foundation
2. Responsibilities of a board member
3. Time commitment
4. Etc. Etc.

This step should be completed during the second quarter of the year.

**3. Obtain Nominating Committee Approval**

When a full slate of potential board members has been obtained the Nominating Committee should be convened and asked to approve the list.

This step should be completed during the third quarter of the year.

New board members can then be advised of their selection and their willingness to serve reaffirmed during the fourth quarter.

#### 4. Typical Schedule

1	Succession Planning	Timing	Responsibility
1.1	Set up Succession Planning Process	January Board Meeting	Chair
1.2	Needs discussed and board members input collected re potential board members	February Board Meeting	Executive
1.3	Potential board member list reviewed with board	March Board Meeting	Executive
2	Determine Willingness		
2.1	Information package prepared	April	Staff
2.2	Approach potential board members	May	Executive
2.3	Status report to Board	June Board Meeting	Executive
3	Nomination Committee Approval		
3.1	Convene Nominating Committee	Sept/Oct	Staff
3.2	Status report to Board	October Board Meeting	Executive
4	Advise New Board Members		
4.1	Meet with new board members to advise of approval and installation, review duties, begin orientation etc.	November	Executive

## Appendix B - Orientation Schedule

Sarnia Community Foundation - Orientation Schedule							
<i>Note: Numbers in columns indicate week of employment, appointment or assignment</i>							
Person Being Oriented							Comment
Orientation Activity	Director	Executive Director	Other Staff	Committee Volunteer	Office Volunteer	Other Volunteer	
	<i>Note 1</i>	<i>Note 2</i>	<i>Note 3</i>	<i>Note 4</i>	<i>Note 3</i>	<i>Note 5</i>	
<b>Administration</b>							
Office/desk/workstation/keys		1	1		1		<i>Note 1: Orientation by Board Chair/ED/Committee Chairs</i>
Telephones		1	1		1		<i>Note 2: By Board Chair/Outgoing ED</i>
Internet/e-mail	1 to 4	1	1	1	1	1	<i>Note 3: By ED</i>
Building Access		1	1		1		<i>Note 4: By Committee Chair/ED</i>
Conference Room	1 to 4	1	1	1	1	1	<i>Note 5: By ED</i>
Mail/Shipping		1	1		1		
Business Cards		1					
Building Safety and Emergency Procedures		1	1		1		
Accessibility Policy	1 to 4	1	1	1	1	1	
Office Supplies		1	1		1		
Expense Reports		1	1				
Introduction to other staff	1 to 4	1	1	1	1	1	
Facility Tour (rest rooms, mail room, copiers etc)		1	1		1		
File Sharing (Dropbox)	1 to 4	1	1	1	1		Dropbox is major mechanism for communication
<b>Human Resource Policies</b>							
Hours of work		1	1		1		

Vacation & Sick leave		1	1				
Holidays		1	1		1	1	
Overtime		1	1				
Performance review		1	1				
Dress code		1	1		1	1	
Discipline		1	1				Progressive discipline system
Security		1	1			1	
Confidentiality	1 to 4	1	1	1	1	1	Affidavit required
Harassment Policy	1 to 4	1	1	1	1	1	
Privacy	1 to 4	1	1	1	1	1	Affidavit required
Personal Conduct			1	1	1	1	
Pay Periods, method of pay		1	1		1		
Probationary Period Explanation		1	1				
<b>Governance</b>							
Strategic Plan Overview	1 to 4	2	2	2			
Foundation's Current Year Objectives	1 to 4	2	2	2	2	2	
Committee Structure & Terms of Reference	1 to 4	2	2	2	2		
Job Description		2	2		2		
Board meeting schedule, code of conduct, agenda process etc.	1 to 4	2					
Foundation's History	1 to 4	2	2	2	2	2	
Foundation's Performance	1 to 4	2	2	2	2	2	
Policy Manual	1 to 4	2	2				
Board Manual	1 to 4	2					
Fiduciary Responsibilities	1 to 4						

Code of Ethics and Conflict of Interest Affidavit	1 to 4	2	2	2	2		
<b>Financial</b>							
Types of funds	1 to 4	2	2	2			
CRA requirements	1 to 4	2					
Investment Policies	1 to 4	2		2			
Investment Management	1 to 4	2		2			
Budget	1 to 4	2	2	2			
Authority	1 to 4	2	2				
<b>Work Plan</b>							
Initial Assignments		2	2		2		
Work Plan and Objectives		2	2		2		
Progress review		4 to 12	4 to 12		4 to 12		

## Appendix C Succession Planning Matrix

Key Role	Short Term Vacancy/Succession (unplanned)	Longer Term Succession (planned)
Executive Director	<ul style="list-style-type: none"> <li>Executive Committee to recommend short term plan to the Board</li> <li>Chair/VC and selected Directors spend time with outgoing ED to list critical tasks; duties temporarily split between Chair/Vice Chair and experienced directors</li> <li>Start aggressive search for permanent replacement candidates undertaken by the Chair/Ops Committee... eg. Best fit for required skills</li> </ul>	<ul style="list-style-type: none"> <li>Executive Committee pursue candidates to interview and recommend the selection to the Board for approval</li> <li>Orientation/overlap period with outgoing ED of about 2-4 weeks as appropriate</li> <li>Reference Board Policy 6.02 re selection process for the ED.</li> </ul>
Treasurer	<ul style="list-style-type: none"> <li>Executive Committee to recommend short term plan to the Board</li> <li>Financial statements continue to be provided by office assistant</li> <li>ED and F&amp;A Committee Chair provide oversight and communication to the Board                             <ul style="list-style-type: none"> <li>Quarterly statements</li> <li>Audit support as necessary</li> <li>Short term accounting support as needed</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Executive Committee recommends path forward to the Board                             <ul style="list-style-type: none"> <li>Treasurer is a Board member?</li> <li>Treasurer is the F&amp;A Chair?</li> </ul> </li> <li>F&amp;A Committee/Chair recommends longer term accounting and audit support as needed</li> </ul>
Committee Chairs	<ul style="list-style-type: none"> <li>Unplanned Committee Chair vacancies will be filled by best qualified Board member on that Committee with input from the Executive Comm./Board</li> <li>Executive Comm. and Board to approve longer term appointments</li> </ul>	<ul style="list-style-type: none"> <li>Annual plans for Committees developed by the Chair/ Executive Committee and communicated to the Board for endorsement/approval</li> <li><b>Plan for 2020 Board and Committee Chairs:</b> <ul style="list-style-type: none"> <li>Developed by Executive and Approved by Board</li> <li>Q3/Q4 annually</li> </ul> </li> </ul>

(Passed- November 2019 Board Meeting)

**Preamble**

Policy 1.08 requires that staff performance reviews shall be carried out annually. The performance review process will be conducted by the January following the appraisal year, including discussion with staff by the end of January. The Board Chair is responsible for the Executive Director's appraisal and the Executive Director is responsible for all other staff appraisals.

Review of the compensation budget shall occur at the November board meeting. The final salary adjustment to staff will be communicated with the performance review.

Exceptions to the above may be considered at the discretion of the board or Executive Committee.

**Compensation Review Methodology**

- The Executive Committee is responsible for recommending the Executive Director's compensation to the Board.
- Where possible, not for profit benchmarking data should be assessed. The **Community Foundations of Canada (CFC) biannual Compensation Survey, or equivalent** for the appraisal year should be used to provide the compensation benchmarks. This survey is typically available at about mid-year for the previous year's data.
  - The mean compensation for the **Executive Director**, based on each of the following organizational factors, shall be used to determine the appropriate benchmark for comparison:
    - **Assets managed (key)**
    - **Grants issued (key)**
    - **Staff supervised (key)**
    - **Geographic region (Ontario)**
    - **Years in position**
- If the scope of the position changes significantly, this data may also be used to reassess the mean compensation.
- In years when the benchmarking data is unavailable, data available such as CPI, conference board of Canada, COLA, local non-union and not for profit settlements, etc. should be assessed.
- The annual adjustment may be above or below recommended budget at the discretion of the board depending on performance or other factors.
- Compensation level for the current calendar year, if different from the budget figure, shall be approved by the Board at its January meeting.
- Compensation adjustment, if any, shall be retroactive to January 1<sup>st</sup>.