



**FAMILY OF
WOODSTOCK, INC.
GOVERNANCE
MANUAL**

Board Approved: March 20, 2017

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Family of Woodstock, Inc. (Family) is a multi-program human service Agency providing services throughout Ulster County. Founded in 1970, Family's principle focuses are **crisis intervention services** - Family runs one of the oldest continuously operating 24-hour-a-day emergency switchboards in the country, which is county-wide and toll free; and walk-in centers in Woodstock, New Paltz, Ellenville and Kingston - **emergency shelters** - Family House, a 14-bed runaway and homeless youth facility; the Darmstadt Shelter for the Homeless, a 19-bed shelter for men and women, primarily in recovery; the Family Inn, a 27-bed shelter for homeless families; the Washbourne House, a 17-bed domestic violence shelter, for survivors and their children; and MidWay, two supervised transitional living residences for up to six homeless adolescents each, and, when necessary, their children - **child care programs** - Family's Child Care Connections program serves families, child care providers and the community in Ulster, Columbia and Greene Counties; and Child Care Subsidy Administration for the Department of Social Services of Columbia County - **case management services** - to such discreet populations as adults and adolescents struggling with issues of substance abuse and/or mental health; individuals involved with the criminal justice system; homeless individuals and families; survivors of domestic violence; as well as the general public - **and food programs** - extensive food pantries at the walk-in centers in Woodstock, New Paltz and Ellenville and at the domestic violence shelter; and distribution of donated produce and food from local farmers to the county's food pantries and feeding programs. The Agency is leading a coalition whose goal is to improve the storage of donated foods throughout the county and better share resources in the network of food pantries.

Family provides non-residential services to survivors and perpetrators of domestic violence including: an advocate at the Ulster County Family Court; groups for men and women who have been violent with a family member through the Evolve program; and supervised visitations authorized by the Family Court for non-custodial parents. The Agency is leading the effort to expand strength-based and prevention programs which grow healthier individuals and communities, working with many of the county's school districts, sponsoring Kingston Cares, a community collaborative focused on the area covered by the Kingston City School District, and participating in collaboratives in New Paltz and Ellenville. Family advocates for the creation of affordable housing and has taken responsibility to provide reentry support for those returning to the County from state prison. To assist with this effort, the Agency provides long term housing support for individuals and families whose heads of households struggle with significant disabilities. Family is also providing leadership in an effort to identify and respond to the difficulties seniors are having in staying in their own homes as they age. Family assists with vocational training and employment support for those we serve. The goal of Family's programs is to assist people to achieve self-sufficiency and self-respect.

PART 1 INTRODUCTION

1.1 Mission Statement

Family of Woodstock, Inc. is a network of individuals, paid and volunteer, whose mission is to provide confidential and fully accessible crisis intervention, information, prevention, and support services to address the needs of individuals and families. The scope of the Agency's vision allows us to bring to bear resources to address a broad spectrum of human problems.

We believe that the common ground which unites us, both helper and helped, is greater than the differences which divide us, and that everyone deserves the respect and support of our larger community.

We seek to embody and model the qualities of caring and respect within our organization and with those whom we serve.

We maintain an attitude which is non-judgmental and non-directive, so that all individuals are encouraged to resolve problems in a way that honors their own cultural, religious, socioeconomic and value systems.

We endeavor to empower each person to find their own solutions to the challenges before them.

In this work, we are committed to search all avenues for assistance, creatively combining resources, as needed.

In addition to assisting individuals and families, we continually seek to improve the quality of life in our community by addressing gaps in services and by advocating for more comprehensive, effective, culturally appropriate and humane responses to people's needs.

1.2 Family History

Family of Woodstock, Inc. (hereinafter referred to as Family) is a community of people committed to helping individuals and families to help themselves. Incorporated in 1971 as a not-for-profit organization under Section 501(c)(3) of the Internal Revenue Service law, Family assists people in Ulster County and surrounding counties through a broad spectrum of programs. The scope of the organization has greatly increased over time, but Family's intent remains the same – to provide the support and the resources people need in order to cope with their own issues. The Agency is committed to the concept of self-help. We cannot solve problems for people, but we try to give them support and information that can help them discover for themselves what they really want and how to get it.

From its beginnings, Family has relied heavily on volunteers to accomplish the Agency's mission. Reference in this *Governance Manual* to "staff" refers to both paid employees and volunteers, and all policies apply to both equally unless otherwise specifically noted.

1.3 Management Rights

The Agency has established numerous committees and opportunities for staff to provide input and guidance in important decisions regarding the operation of the Agency, and staff are encouraged to be involved in their programs and in Agency-wide committees.

The rights and responsibilities to operate and manage the business and affairs of Family of Woodstock, Inc. are vested exclusively in the Management and the Board of Directors of Family, and the Agency not exercising any of these rights shall not be construed as a waiver of them.

These rights and responsibilities include, by way of illustration and without being limited by past practice or otherwise, the right to:

- hire, assign, promote, transfer, furlough, lay off, evaluate, and discipline employees for just cause;
- select, test, train and determine the ability and qualifications of employees;
- determine, control and change work practices and schedules, work and shift assignments, hours of work, the size, composition and organization of the workforce, and job classifications, descriptions, content and standards;
- implement and comply with regulations and requirements issued by any government agency;
- make, modify and enforce reasonable rules of employee conduct and safety;
- determine, control and change the quality and nature of products, materials and services;
- introduce new or improved methods, equipment, techniques and processes;
- contract and subcontract for services; and
- exercise all other rights pertaining to the operation and management of the business and affairs of Family of Woodstock, Inc.

1.4 Consumer/Client Definition

A consumer/client is anyone who receives services from a program of the Agency. For Family of Woodstock's purpose, these individuals are not considered former clients, regardless of the funding source that pays for their assistance, until services have not been provided by that program for six months. During that six-month period they are considered an active consumer/client of that program.

The degree to which any consumer/client can involve themselves in the specific program they are working with or other Family programs must be determined on a case-by-case basis based on the level of involvement and the services rendered by the program for that individual. This limitation holds for six months after the person no longer receives direct service from the program.

1.5 Staff Suggestions/Communication

Family welcomes staffs' suggestions to improve the quality of customer care, safety and or work processes. The Agency encourages all staff to take the initiative to participate in the communication process by:

- Participating in regularly scheduled program
- Submitting ideas and articles for Items of interest, Family Ties or other Family publications
- Participating in periodic meetings with Family's leadership, including participating in Agencywide committees established by Family
- Offering suggestions directly to Agency leadership
- Responding to staff surveys

Constructive suggestions often enhance the safety and ease of job performance for many staff.

PART 2 BOARD of DIRECTORS

2.1 Role of the Board of Directors

The property, affairs, activities and concerns of the corporation shall be vested in a Board of Directors. It is the responsibility of the Board to oversee all aspects of the Agency's operations, to maintain proper governance, and ensure compliance with all relevant laws, regulations and standards in the performance of its programs. Toward this end, the Board will recruit, hire, supervise and support an Executive Director who will oversee the day to day operation and report to the Board of Directors on all relevant matters. The Board shall on an annual basis review the performance of the Executive Director.

On an annual basis the Board will review and/or upgrade as appropriate the following:

- Agency Budget and Fund Development Plan
- The Agency's Audit Report
- Annual Agency and Programmatic Strategic Plans
- Annual Report
- Board Policy Manual
- By Laws
- Agency's Programmatic Procedures Manuals
- Personnel Manual
- Financial Procedures Manual

Each Board member must choose one Agency program or area to which the member will serve as a liaison to and from the Board of Directors. Toward this end the member will meet with the respective program leadership on a regular basis and discuss programmatic needs and consumer service issues. The Board member will represent the program in Board discussions.

2.2 Officers

The officers of the corporation shall be a President, a Treasurer, and such other officers, including one or more Vice-Presidents and Secretaries as the Board of Directors may from time to time appoint or elect. The officers of the corporation shall have the following powers and duties:

President: The President of the Board of Directors shall preside at all meetings of the Board of Directors. In the President's absence, the Vice President or other officer present shall preside. The President will also have the responsibility of calling special meetings of the Board of Directors as outlined in Article III Section VI of the Agency's By Laws. The President also has responsibility to chair the Board of Directors' Executive Committee.

Vice President: The Vice President is responsible to substitute if the President is not available and is a member of the Board of Directors Executive Committee. At the discretion of the full Board, a second Vice President can be designated to share the responsibilities of the Vice Presidency.

Treasurer: The Treasurer shall have the care and custody of all funds and securities of the corporation, and shall deposit the same in the name of the corporation in such bank or banks as the Board of Directors may designate, and shall disburse the same under such rules and regulations as may be made by the Board of Directors. The Treasurer will chair the Finance/Buildings/Properties Committee.

Secretary: The Secretary, or designated substitute, shall ensure that the minutes, including the details of all votes, are taken and recorded for all Board of Directors meetings. The Secretary will acknowledge, when necessary, that a specific action of the Board has been taken. The Secretary of the Board shall prepare an official roll of the voting members for all Agency elections and rule on any disputes about eligibility for voting. At the discretion of the full Board, a second Secretary can be designated to share the responsibilities of the Secretary.

2.3 Sub-Committees

Each board member will be responsible to participate in at least one subcommittee of the Board of Directors. Each committee will determine its meeting schedule and be responsible to submit written minutes and report to the Board of Directors on its ongoing progress and issues at each regularly scheduled Board meeting. The following are the standing Committees of the Board of Directors:

Executive Committee: there shall be an Executive Committee of the Board of Directors which shall manage the corporation in between meetings of the Board. The size of the Executive Committee shall be fixed each year by the newly elected Board of Directors at the first meeting of the Board following the Board election, and shall consist of the officers of the Board and one or more additional Board members as may be selected by the Board as a whole.

Committee on Membership, Nominating and By-Laws: there shall be a Committee on Membership, Nominating and By-Laws whose responsibilities are to review and bring recommendations to the Board, on an annual basis, of changes or additions to the by-laws, and shall be responsible to conduct and develop a slate of Board of Directors for the annual election. A more detailed description of the Committee's duties are outlined in Article II, Section 2 of the Agency's By-Laws.

Personnel: there shall be a Committee responsible to update the personnel manual as needed; oversee, evaluate and consult with Executive Director on personnel issues as they arise; and serve as fact-finding committee on personnel issues as needed.

Finance/Audit/Buildings/Benefits/Properties: there will be a Committee responsible to oversee the Agency's finances, annual audit, retirement benefits, buildings and properties. They will consult on a regular basis with the Executive Director, Chief Financial Officer, and Team Leader for Finance regarding the annual budget and current fiscal status, significant financial policies and operational decisions, benefits, and the Agency's annual audit. The Committee will provide expertise to the Board of Directors in presentations of financial reports, and will review the Agency's property management and policies, and give direction to the Executive Director on the utilization of all properties. The committee will select and consult with independent auditors on an annual basis to review and discuss any material risks and weaknesses in internal controls identified by the auditors in completing both the fiscal and retirement audits. Any restrictions on the scope of the auditor's activities or access to restricted information, any significant disagreements between the auditor and management, and the adequacy of the Agency's accounting and financial reporting processes will be identified and discussed.

Quality Assurance: there shall be a Committee responsible to assure the quality of services provided throughout the Agency. The Committee will review the statistics and outcomes achieved by each program. As part of this effort the Committee will coordinate the efforts of each Board Member to conduct a focus group or review client satisfaction surveys for each program area and will review each program's strategic plans on an annual basis.

Other Sub Committees: the Board shall from time to time appoint additional subcommittees to address specific issues. These committees may be time limited or given standing committee status. The Board will, with regard to each committee, determine responsibilities, the number of members, and the manner in which the Chair will be selected.

Advisory Committees: the Board of Directors may appoint study groups or advisory committees to review specific issues and advise the Board on appropriate action. The make-up, responsibilities and duration of activities will be determined by the Board at the time of creation and will be reflected in the Board's minutes.

Programmatic Steering Committees: some of Family's programs shall have an advisory steering committee consisting of all persons who the program leadership feel qualify either because of their expertise with the services provided by the program or because of their active involvement with the program or community. These steering committees will serve as advisory to the Board of Directors and do not have authority to authorize major changes to the given program without the review and approval of the Board of Directors.

2.4 Board Elections

The Chairperson of the Membership, Nominating and By-Laws Committee will solicit input for Board of Directors nominees from the current Board of Directors, Program Advisory Boards and/or Agency Program Directors and paid and volunteer staff.

Voting members are certified twenty days prior to the Annual Meeting (third week of May or within sixty days thereof). Ballots are distributed after that certification and the election is finalized at the Annual Meeting.

For detailed discussion of the procedures for conducting the election of the Board of Directors see the Agency's By Laws Article II Section III A.

2.5 Attendance at Board Meetings

It is expected that Board Members will attend Board meetings and subcommittee meetings on a regular basis and will excuse themselves if unable to attend. However it is also recognized that Board members have other responsibilities and that issues such as health concerns, family emergencies, inclement weather, work responsibilities and vacations may preclude attendance. In such instances, Board Members will be encouraged to conference in to the meeting and, in instances where a particular issue requires immediate action, the Board leadership may poll absent Board members to gain their input and meet quorum requirements to proceed.

2.6 Appointment of Interim Board Members

In instances where a Board of Director position becomes vacant in between board elections the Board may at its discretion appoint a replacement board member to hold the position until the next board election.

2.7 Orientation of the Board Members

At the first Board meeting following the Annual Election and Meeting, the Board will receive Orientation concerning the Agency. This orientation will include:

- Board Responsibilities
- By-laws
- History of the Agency
- Agency Programs and current level of services
- Introduction to the Agency leadership including Team Leaders and Program Directors
- Signing of Job Descriptions, and conflict of interest statements

2.8 On-Going Board Development

It is the responsibility of the Membership/Nominations/By Laws subcommittee of the Board to develop a Board Membership. It is the intent of the Agency to have a Board of Directors that has the skills and experience to supervise and direct the organization with broad areas of service. Considerations include past experience with the services provided, and expertise in management, fundraising and fund development, administration and program development, as well as

membership that reflects the diversity of those served and knowledge of the various communities that the Agency operates in. Since the Board is made up of individuals with significantly varying knowledge and expertise, it is the intent of the Agency to provide information and opportunities for Board development throughout the year. Toward this end, the leadership of the Agency and the Board of Directors regularly provide the Board with the following:

- Regular presentations at Board meetings by the leadership of each program area which not only give detailed information about the program and the issues its facing, but also discuss local and national trends and the philosophy underlining the delivery of services.
- The Board is sent articles and studies relating to areas in which the Agency provides services, which document national trends, suggest innovative approaches, inform on issues of funding and regulations, or have relevance to the issues of administering and advancing the stability of non-profit entities.
- Information on all available trainings that relate to the governance of not for profit organizations.
- Information on trainings that discuss current issues, trends and service developments in the areas in which the Agency is a major provider.
- Information on community events, etc. relevant to programming

2.9 Removal of Board Member

In instances where a Board Member is not able to attend Board of Directors meetings over a period of months and is not providing any other regular service to the Board of Directors, the Board may direct the Chair of the Membership, Nominating and Bylaw Committee to encourage the member to become more active, and if that is not possible, to resign his/her position on the Board. If the individual refuses, the matter should be brought to the whole Board for further action. In instances where a Board member does not adhere to Family's Ethics, Conflict of Interest or Confidentiality policies, it will be brought to the full Board for disciplinary action up to and including removal from the Board.

2.10 Role of the Executive Director

The Executive Director is responsible to the Board of Directors for implementation of the mission and goals of the Agency and the promotion of the philosophy of the organization. The Director represents the corporation in the community at large, promoting Family's public image and developing and maintaining programs that address the needs of the community and the Agency's consumers, either by creating programs run by Family itself or in cooperation with other agencies. In this context the Director is expected to function as a community organizer among other tasks that may be necessary in order to carry out this aspect of the position. The Executive Director shall:

- Maintain relations with the Agency's funding sources and its programs for fiscal, programmatic and planning purposes;
- Supervise all Family Team Leaders, and, in conjunction with them, Program Directors, and have oversight of all personnel matters;
- Oversee the growth of the Agency as a whole and individual programs;
- Ensure that each staff-person is properly trained and oriented to their position; Supervise overall fiscal management of the Agency, having authority to sign contracts, mortgages and other legal documents on behalf of the Agency;
- Act as a liaison with auditors and accountants, and be responsible for implementing and maintaining all required fiscal controls, both internal and external; and,
- Raise funds for the benefit of the Agency.

The Executive Director shall report either orally or in written form to the Board of Directors on a monthly basis on all significant issues and achievements occurring during that time frame and, in general, will be responsible to ensure that the Board is informed on all issues of significance to the Agency.

2.11 Strategic Planning Process

Annually, the Executive Director and Team Leaders are to meet with each program's staff. At that meeting they will:

- review feedback from consumers, providers and stakeholders;
- review the program's statistical reports;
- solicit input from the staff on strengths and weaknesses of the program; and,
- identify unmet needs.

Using the above information the Executive Director, Team Leaders, Program Directors and Board Liaisons will develop a strategic plan for each program. The plan will include the following:

- staffing;
- projected program changes;
- physical plant issues;
- measurable goals and objectives;
- strategies to achieve the objectives;
- action plan; and, • evaluation processes.

The Executive Director and/or Team Leaders will present to the Quality Assurance subcommittee gathered input, confirm changes and ask that the plan be recommended to the Board for approval on an annual basis.

All Board meetings will include at least one presentation from a program on the progress it has made toward achieving the goals in the program's strategic plan.

PART 3 CONDUCT: ETHICS - CONFIDENTIALITY

3.1 Ethics Policy

It is the policy of Family to carry out its mission in accordance with the strictest ethical guidelines and to ensure that Family's employees, Board of Directors and volunteers conduct themselves in a manner that fosters confidence in the integrity of the Agency, its processes and its accomplishments.

Family and its employees must at all times abide by the rules, regulations, federal, state and local laws under which it operates. Employees must conduct themselves in a manner that avoids favoritism, bias, and the appearance of impropriety, and maintain the highest professional standards.

3.2 Licensures and Approvals

Family is a registered charitable organization under the laws of New York State. It has received 501(c)3 designation as a not-for-profit agency by the United States Internal Revenue Service.

The Agency is committed to seeking licensure in any program area in which it is required and to maintain its not for profit status and all legal and funding source requirements for all of its programs.

3.3 Confidentiality

Confidentiality is essential to all of Family's operations. The Agency cannot help people unless they know that they can trust the staff. Family is bound by personal commitment, as well as federal and state laws and regulations (including Federal Substance Abuse laws 42CFR, Part II; NYS Mental Hygiene laws Title E Article 33'33.13; Domestic violence laws 18 NYCRR452.10; Federal Runaway and Homeless Youth Act of 1974; the New York State Runaway and Homeless Youth Act of 1978; and Federal HIPPA requirements.) not to reveal to people outside of the Agency staff any information gained in a helping relationship, without the permission of the person whose information is at issue. Among Agency and program staff the concept of "need to know" will inform decisions as to what information will be shared and with whom such sharing is appropriate to serving the best interest of the client. When there is confusion or disagreement whether specific information will be shared either within a program's staff or with staff from another program within the Agency, the issue should be brought to the appropriate Team Leader and/or Executive Director for clarification.

It is the Agency's policy to assist consumers to access all services for which they may be eligible. This may involve sharing or clarifying information with staff of other agencies. This sharing may not occur without the written permission of the person seeking assistance, except in situations covered by a qualified service agreement which maintains the same level of confidentiality for both parties.

There are instances in which the law mandates that the Agency violate these rights of confidentiality, namely:

- When a staff member, in transacting Family business, has first-hand information that causes reasonable suspicion that child abuse or maltreatment by a parent or guardian has occurred, it is the responsibility of the staff person and/or the Agency, as mandated reporters, to make a child abuse report to Agency the State Central Registry of Child Abuse and Maltreatment within 24 hours of the staff gaining the information. (Refer to the section on Mandated Child Abuse reporting.) In instances where the abuse was committed by a person other than the parent or guardian, staff must report the information to local police authorities.
- In instances where a staff member of a program has behaved inappropriately toward a client, or where a serious incident occurred at a residential program, leadership of the program is responsible to notify the Justice Center so that the incident or action of the staff can be investigated. Confidential client information may be revealed to the Justice Center as part of this process.
- When the individuals seeking help reveal a concrete plan to kill themselves or someone else, the Agency must take appropriate steps to protect the individual or intended victims.
- When Child Care Connections staff have any information of a regulated child care program not operating within their regulations or information of an illegal child care program, it is a requirement of the New York State Office for Children and Family Services that the staff person of the program reports such information, as children may be at risk, if being cared for in such programs.
- When an individual in the Evolve program reveals having violated an order of protection, the facilitators are required to report it to the criminal justice agency involved.
- When a staff person learns that a youth is being trafficked, either for labor or sexually, it is the responsibility of the staff person to report that to the leadership of the county's Safe Harbour program about the abuse.

Other than the instances above, Family will only turn over information of a confidential nature without the consumer's permission if ordered by a judge, if a consumer commits a crime against the agency or in cases of a medical and/or mental health emergency. In such instances, Family's attorney will respond to appropriate subpoenas and discuss with the court officials whether the circumstances justify the violation of the consumer's confidentiality. In instances where a Family staff person is presented with a subpoena, that subpoena will be immediately sent to the Administrative Office to the attention of the Executive Director. In no instance will the staff person turn over confidential material to anyone without the previous approval of the Executive Director or Family's attorney.

Often the Agency gains information of a confidential and personal nature about individual staff members. Staff with access to such information must show significant sensitivity and diligence to ensure that the right to privacy and confidentiality is upheld for all staff. As a condition of

employment, all employees, volunteers and consultants are required to commit to uphold the Agency's confidentiality policy and must so indicate by signing a Confidentiality Statement. Violations of this commitment will be subject to disciplinary actions, up to and including immediate termination.

3.4 Conflict of Interest

Family, its Board of Directors, its employees and volunteers must at all times abide by the rules, regulations and laws under which it operates. Employees must conduct themselves in a manner that avoids favoritism, bias, and the appearance of impropriety and maintains the highest professional standards.

The purpose of the following policy and procedures are to complement Family of Woodstock, Inc.'s By-laws to prevent the personal interest of staff members, Board members, and volunteers from interfering with the performance of their duties to, or resulting in personal financial, professional, or political gain on the part of such persons at the expense of the Agency itself, its members, supporters, consumers and/or other stakeholders.

Definitions: Conflict of interest is a situation in which one who is in a position of trust, has, whether in appearance or actual, competing professional or personal interest. Such competing interests can make it difficult to fulfill his or her duties or decision making impartially. Persons in a position of trust include staff members, officers, and board members. Officer means an officer of the Board of Directors. Volunteer means a person - other than a board member - who does not receive compensation for services and expertise provided to Family. Staff Member means a person who receives income from the payroll of Family. Supporter means a corporation, foundation, individual, 501(c)(3) nonprofit, or other nonprofit organization who contributes to the Agency.

It is a policy of the Agency that:

1. Prior to initial election and annually thereafter, each director shall submit to the secretary a signed written statement identifying:
 - a) any entity of which the director is an officer, director, trustee, member, owner or employee, with which the Agency has a relationship;
 - b) any transaction in which the Agency is a participant and in which the director might have a conflicting interest.

The secretary must provide copies of all such statements to the chair of the Board.

2. Full disclosure, by notice in writing, shall be made by the interested parties to the full Board of Directors in all conflicts of interest situations, including but not limited to when:
 - a) A board member is related to another board member or staff member by blood, marriage or domestic partnership.

- b) A staff member in a supervisory capacity is related to another staff member of the same program.
- c) A Board or staff member, or an organization in which a board or staff member has a significant interest in or connection to, stands to benefit from a transaction or staff member of such organization receives payment from any subcontract, goods, or services other than as part of her/his regular job responsibilities, or as reimbursement for reasonable expenses incurred as provided in the bylaws and Board policy.
- d) A Board or staff member's organization receives grant funding from Family.
- e) A Board member or staff member is a member of the governing body of a contributor to Family.

In situations where appropriate disclosure is not made:

- a) The Executive Director must take appropriate disciplinary action against the staff person up to and including termination.
 - b) The full Board must take appropriate disciplinary action against the Board member up to and including removal from the Board.
3. Following full disclosure of a possible conflict of interest or any condition listed above, the Board of Directors shall determine whether a conflict of interest exists and, if so, the Board shall vote to authorize or reject the transaction or take any other action deemed necessary to address the conflict and protect Family's best interests. Both votes shall be by a majority vote without counting the vote of any interested director, even if the disinterested directors are less than a quorum, provided that at least one consenting director is disinterested. There is a prohibition of any attempt by the conflicted person to influence improperly the deliberations or voting on the matter.
 4. A Board member or Committee member who is formally considering employment with Family must take a temporary leave of absence until the position is filled. Such a leave will be taken within the Board member's elected term which will not be extended because of the leave. A Board member or Committee member who is formally considering employment with Family must submit a written request for a temporary leave of absence to the Secretary of the Board, indicating the time period of the leave. The Secretary of the Board will inform the Chair of the Board of such a request. The Chair will bring the request to the Board for action. The request and any action taken shall be reflected in the official minutes of the Board meeting.
 5. An interested Board member, officer, or staff member shall not participate in any discussion or debate of the Board of Directors, or of any committee or subcommittee thereof in which the subject of Family discussion is a contract, transaction, or situation in which there may be a perceived, or actually be, a conflict of interest, except to provide clarification. However, if the

involvement in the discussion is objected to by any present Board or Committee member, the Board member in question's participation may be further limited.

6. Anyone in a position to make decisions about spending the Agency's resources (i.e., transactions such as purchases, contracts) – who also stands to benefit from that decision – has a duty to disclose that conflict as soon as it arises (or becomes apparent) and not participate in any final decisions. No related party with an interest in a related party transaction may participate in deliberations or vote on the related party transaction, except that the Board or an authorized committee may request that such related party present information concerning the transaction at a meeting of the Board or such committee prior to commencement of deliberations or voting thereon.
7. A copy of this policy shall be given to all Board members, staff members, volunteers or other key stakeholders upon commencement of such person's relationship with Family or at the official adoption of the stated policy. Board members, officers, staff members, and volunteers shall sign and date forms which acknowledge that they have read the policy at the beginning of their term of service or employment and each year thereafter. Failure to sign does not nullify the policy.
8. This policy and disclosure form must be filed annually by all specified parties with the support staff of the board.

PART 4 CONDUCT: CONSUMERS

4.1 Mandated Child Abuse Reporting

All staff members who provide direct services to consumers are designated as mandated reporters of child abuse and maltreatment under the Child Protective Services Act of 1973 (Section §411, Article 6, Title 6 Social Services Law). All Family staff are required to immediately report to their supervisors all suspected incidents of child abuse and maltreatment. If, while in the performance of work at Family, there is reasonable cause to suspect child abuse or maltreatment may have occurred, a report must be made to the New York State Central Registry regarding all incidents involved. This report must be made by the staff handling the case who must also notify the Program Director or supervisor. If the staff person is unwilling to file the report it must be made by the supervisor.

The Agency is legally responsible to cooperate in investigations of alleged child abuse and maltreatment, whether or not the allegations are reported by Agency personnel. The Program Director or his/her designee, in consultation with the Team Leader or Executive Director, shall be responsible for examining the credentials of the investigating Agency's representatives. They shall also determine what information is needed to assist the investigation, what information must remain confidential, and the extent to which the situation requires emergency intervention.

All staff who provide direct services to consumers will receive training in the identification of child abuse and maltreatment within the orientation period of employment and will be required to attend a related training every year. All staff shall be provided with written information explaining the mandatory reporting requirements set forth in Sections § 411-420 of the Social Services Law. Pursuant to Section § 419 of the Social Services Law, any person participating in good faith in the making of a report and the taking of photographs for the purpose of documenting an alleged incident shall have immunity from any liability, civil or criminal, that might otherwise result by reason of such actions.

Failure to comply with provisions of this policy may result in disciplinary action, up to and including, but not limited to suspension and/or termination.

4.2 Justice Center

The New York State Justice Center was created to prevent abuse of low functioning individuals particularly in residential programs.

Incidents involving the maltreatment, abuse or neglect of a client must be reported to the Justice Center's Vulnerable Persons' Central Register (VPCR) to be investigated by either the Justice Center or by one of the following state agencies: OMH; OASAS; OPWDD; and OCFS.

In addition, newly hired staff, who have a significant opportunity to be alone with clients, must be reviewed by Justice Center staff to ensure that they have not previously been found guilty of abusing a client or of committing a crime.

Incidents must be reported to a supervisor immediately so a report can be made and supervisors must notify and send documentation to the Team Leader of Quality Assurance and the Executive Director immediately.

4.3 Staff/Consumer Relationships

As helping professionals, staff (paid and volunteer) must limit to the greatest extent possible any relationship which negatively impacts on the ability of the program to provide needed services to a consumer. Friendships, business or intimate relationships may hamper the ability of a consumer to receive appropriate services from the Agency. Such relationships could lead consumers to believe they have a privileged connection to the program and/or Agency or could lead other consumers to believe that they are not receiving equivalent services because of another consumer's special relationship with a specific staff person.

Staff must place the needs and goals of the consumer above their own, avoid exploiting trust, promoting dependency, or creating dual role relationships. Staff are prohibited from establishing new personal or business relationships with consumers of services within their program area within 6 months of them seeking service from that program unless discussed with the leadership.

In instances where a staff person has a pre-existing relationship with a person seeking services within a program service area, that staff person must inform the leadership of the program of the existing relationship. The leadership must then formulate a plan to effectively minimize the impact the relationship could have on the consumer's relationship to Family. In formulating such a plan consideration should be given to the level of involvement of the consumer to the program as well as the degree to which the relationship impacts on the ability of other staff to provide the needed services in an even handed and non-biased manner. In the case of adolescents who often transition from one Agency program to another, the limitations on the development of a staff/client relationship must continue until the client is 18 and cannot occur before 6 months after they stop seeking services from the Agency.

The following considerations are paramount:

- Sexual intimacies with a consumer of Family's services by a Family staff member who is directly involved in the delivery of that service are expressly prohibited. If a consumer behaves as if sexually attracted to a staff person, that staff person must consult with the program's supervisor about the proper course of action. It is the staff person's responsibility to maintain an appropriate professional relationship and to reject open and direct advances, while preserving at all times

the consumer's self-esteem. It is the Program Director's responsibility to ensure that the relationship does not compromise the staff person's safety or comfort.

- If in the judgment of the supervisor, a pre-existing relationship has the likelihood of compromising the ability of an involved consumer to continue to comfortably receive services, the supervisor must replace that staff person as a deliverer of helping services and ensure that the relationship does not compromise the ability of the consumer to receive services from other staff.
- It is inappropriate for staff members to accept money for themselves in exchange for services or even in acknowledgment as thanks for help received from Family. A worker may accept small tokens, if offered. Care must be taken, however, and advice sought, before accepting gifts that may constitute potential manipulation, or lead to a complaint of exploitation, or be seen by the consumer as a change in relationship.
- Staff may not enter into any legal relationship with a consumer of services from any program of Family's such as executor of a will, attorney-in-fact under a power of attorney, health care agent under a living will, or representative payee, without the written consent of the Executive Director.
- Staff should not hire an active client of their program to perform personal work for them, whether paid or voluntary. It is true that clients often assist the program by volunteering to help, but this is different than assisting with personal needs or business of a staff person.
- The prohibition against developing personal relationships with an active client of the staff person's program extends to social media connections such as Facebook, Twitter, Instagram and LinkedIn. If a prior online relationship exists, it should be brought to the staff person's supervisor and consideration should be given as to whether that social media relationship should be maintained while the client is receiving services from the program.

If the leadership cannot arrive at a workable plan to minimize the impact on the program's ability to deliver services, alternate means to assist the consumer in receiving the needed service could include referral to another program within the Agency or referral to an appropriate program outside the Agency.

Each program or program service area must define the degree to which receiving services would prohibit a consumer from participation in employment or volunteer opportunities with the program or other programs of the Agency. Occasionally the Agency may allow or even encourage a consumer to take a position of employment or training within the Agency, when that person is still receiving services from the program or another program of the Agency. In such instances the Program Director or Directors involved must meet and discuss with both staff and consumer the parameters involved in defining the differences of their responsibilities and rights as an employee, and the limitations as a result of the continued consumer relationship to the Agency.

In situations of advocacy within the Agency, staff must notify the Director of the program with which they are advocating, of any special relationship which exists or is pending. When questions arise concerning appropriate relationships or undue advocacy, staff are directed to contact their supervisor, Team Leader, Executive Director and/or the Board of Directors to seek clarification. Failure to inform program leadership of any relationship with a consumer may result in disciplinary action up to and including, but not limited to, suspension or termination.

4.4 Consumer Complaints

The Agency is committed to providing quality services to all of its consumers. Towards this end, each program must inform their clients about their rights and the procedures to submit a formal complaint or to appeal a decision that affects them directly.

In instances where a consumer expresses dissatisfaction or frustration with the quality of services provided or feels that they have not been helped, the staff person involved should first attempt to remedy the situation.

In instances where the consumer is still unsatisfied or is unwilling to work further with the staff person, the consumer has the right to appeal to the staff person's supervisor, to the Program Director, to Agency supervisory staff including the Executive Director and ultimately to the Personnel Committee of the Board of Directors.

In those cases where an appeal is desired, the consumer should be encouraged to document the complaint in writing in as much detail as possible. If a consumer is uncomfortable to write out the concern, the individual should be allowed to present the complaint orally. If a face to face meeting with the supervisor cannot be arranged, the consumer should leave as detailed a message as possible on the supervisor's voicemail.

It is the responsibility of the supervisor to thoroughly research the situation that led to the complaint and attempt to remedy it, if possible. The findings of that research and any changes to the situation supported by the supervisor should be documented in writing and given to the consumer, and a record of it should be maintained in the programs files.

If the consumer is dissatisfied with the decision and/or the recommended changes, the individual can resume the complaint policy by appealing to the next level of supervision, as described above.

PART 5 SUPERVISION

5.1 Role of the Supervisor

Family's Board of Directors and management ensure that all staff are supervised. The purpose of supervision is:

- to improve the quality of services provided by staff members and expand their knowledge;
- to monitor the performance of staff members in basic job requirements to ensure standards are being met;
- to ensure staff participate in professional development activities;
- to provide an environment in which staff members feel comfortable to raise issues, ask for clarification, and thereby further develop their skills, knowledge, professional attitudes and judgment; and
- to acknowledge a job well done, personal growth and achievement.

The supervisor supports Family in its primary mandate of serving the public, upholding the Agency's mission, and thus the supervisor acts as an extension of the Agency in ensuring services are delivered effectively and at an appropriate level. The supervisor has the authority to direct the supervision process. For example a supervisor may conduct file reviews, monitor and require the sharing of case notes, etc., and, if applicable, overrule staff members decisions and judgments when necessary. This must be done in a clear, open, respectful and fair manner and should, whenever possible, be done in writing.

All full time employees must have at least a monthly meeting with their supervisor. The meeting must be documented and kept on file. All employees must have annual performance appraisals.

5.2 Responsibilities of the Supervisor

Specifically, a supervisor will guide supervision of each staff member in the following ways:

- review job descriptions with the staff member;
- establish the goals of supervision with the staff member;
- provide the supervisor's immediate supervisor with on-going oral evaluation of the staff member during the orientation period and a written evaluation of the staff member's initial performance 90 days after the staff member has begun the job and annually thereafter;
- after the orientation period, meet with full time staff member (and others as determined by the program) for a minimum of one hour monthly and make time available for discussions between formal sessions as needed;

- provide guidance regarding administrative issues;
- monitor the work of the staff member using a variety of assessment methods including periodic direct review;
- be prepared to assess and intervene in problematic situations that require a level of skill not yet mastered by the staff member;
- evaluate performance annually with the staff member and document this utilizing the standard Family performance review format;
- encourage and facilitate the staff member's continuing education and acquisition of skills and document this process as part of performance reviews, including making recommendations as to the appropriateness of promotions;
- develop an annual professional development plan with the staff member;
- inform the immediate supervisor and the staff member if, in the program supervisor's opinion, initial corrective measures have not been effective.

5.3 Chain of Command

Family's path of supervisory responsibility follows a set course:

- the Board of Directors supervises the Executive Director;
- the Executive Director supervises the Team Leaders;
- Team Leaders and the Executive Director supervise specific Program Directors and their programs;
- Program Directors supervise all of their program and staff; and
- Assistant Program Directors supervise program staff as directed by the Program Director.

Program Directors may delegate supervisory responsibility to other staff members as needed. Each program's functioning is devised to best support its own structure, mission and goals.

Any grievance that a staff member has shall be taken to the employee's immediate program supervisor first. If the issue is unresolved at that level, it can then be raised to the next level of supervision. Established procedures can be used to access supervision up to and including the Personnel Committee of Family's Board of Directors. All decisions at that level are final.

5.4 Staff Development

In recognition of the constantly changing nature of consumer issues and funding source requirements, Family is committed to providing a high level of skill development for new and veteran staff. Each program is responsible to assess its own training needs on an annual basis and to work with the Agency's Training Committee to create an annual Agency training calendar. Both the Personnel Committee of the board and the Quality Assurance Committee ensure that staff development is occurring throughout the Agency.

Individual skill development plans should be created as part of the ongoing supervisory process. Each staff member should dedicate a minimum of fifteen hours a year to Staff Development.

In both general and individualized plans, the Program Director will clearly indicate which trainings are required and which are voluntary, as well as which are to be done on Agency time and paid for by the Agency and which are the choice and responsibility of the staff. Staff may need to consult with their supervisors to flex their time to participate in these trainings.

5.5 Supervision of Volunteers

The concept and execution of volunteer supervision is essentially no different from that of any other Agency staff. The same care and skills for building and maintaining interpersonal relationships are required.

Volunteers in the Agency fall into different categories. These include volunteer staff, school interns, community service workers, people paid by other agencies, and people mandated to do work from various community organizations and agencies. For those who are sent by other community organizations or agencies, the Agency will provide on-going supervision in accordance with procedures which have been agreed upon by both agencies.

Volunteers must demonstrate a level of job-specific skill and responsibility, although some allowances must be taken into consideration when supervising volunteer staff. Motivations and priorities of volunteers vary and need to be taken into consideration.

The supervision system must be made clear. Who is supervised by whom and how often that supervision will occur, and the balance between informal and formal supervision will be determined by individual programs.

Special thought should be given to the recognition of volunteers. Appreciation and acknowledgment of volunteers should be expressed both formally and informally. Written acknowledgements as well as verbal appreciation of the willingness to give of one's time are critical components of volunteer supervision.

5.6 Supervisors' Forum

The Supervisors' Forum was developed to provide additional support to the Agency's supervisors. A supervisor who is dealing with a challenging issue with one of the program's staff members, who has already discussed the issue with the individual's direct supervisor and has not been able to reach a resolution of the issue, may request a Forum by completing the Forum Request Form. All Forum requests shall be given to the Team Leader of Quality Assurance, who is responsible to then make sure the Forum takes place in a timely manner. The forms can be accessed at:

V:\POLICIES AND PROCEDURES\Supervisors' Handbook\SUPERVISORY HANDBOOK FORMS\SUPERVISORY FORUM

A meeting time would then be set up with three individuals who have supervisory duties in other programs, the supervisor making the request and the supervisor's direct supervisor. The challenging issue would then be discussed as peer supervisors to give the person support and direction in a non-threatening manner.

Note: The Forum is not a means of resolving issues with one's direct supervisor, nor is it a substitute for the formal employee grievance procedure. It has been developed to support the Agency's supervisors. Issues involving personnel concerns should be brought to the Team Leader or the Executive Director to determine the most appropriate process to address them.

PART 6 MISCELLANEOUS

6.1 Record-keeping and Retention

The Agency is required by its various funding sources and the local, state, and federal agencies that supervise its activities to maintain records for an established period of time.

Since the Agency is generally required to keep financial and some programmatic records for 6 years after the end of the year just completed, the Agency has set a policy of maintaining all programmatic and fiscal records for seven years.

It has also established a policy to maintain all personnel records or legal matters, accidents and injuries on an ongoing basis. These records must be available in a format that is retrievable in instances where an audit may be conducted, an issue may be in litigation or investigation or backup of expenditure is required to confirm appropriate expenditure and reimbursement.

When the Program Director determines that records are no longer required to be kept, it is the Agency's responsibility to ensure that the information in the records is disposed of in a matter to protect the confidentiality of the information contained therein. Towards that end, all records containing personal or confidential information will be shredded prior to disposal.

6.2 Agency Archives

The Agency is proud of the programming that it has developed and the accomplishments that the programming has achieved. In order to retain a record of its accomplishments, the Agency has established and maintains an archive of articles, reports and accomplishments throughout its history. To support this record, each program is expected to submit to the Agency's archivist documents, photos and other relevant information which documents the history of each specific program. It is hoped that this material will someday be used to document the remarkable accomplishments and history of Family.

6.3 Fund Development

To the greatest extent possible, the staff of each program have the responsibility to maximize the available resources to provide the services and to expend funds to carry out the mission of each component in the most cost effective manner possible.

Each program will, on an annual basis, develop with the Agency's leadership a budget which details the expected expenditures and projects potential income into the program.

For programs which have expenditures greater than the projected revenue from sources other than fundraising events or contributions, the program leadership will be expected to develop a plan to make up the short fall either by holding fundraising events specific to the program, soliciting individuals to help pay for program activities, or actively participating in Agency-wide fundraising events, activities and solicitations.

Programs expecting to benefit by Agency-wide efforts will be expected to actively participate in the Agency's fundraising committee. Agency-wide income from fundraising events and contributions will be distributed to programs which have a short fall as needed and available.

6.4 Fees for Service

It is the intent of Family to provide broad access to the services it sponsors.

Whenever possible, those services will be provided free of charge to the consumers and, in instances where a fee must be charged, the cost will be held to a minimum.

The use of sliding fee scales, scholarships and in-kind assistance will be used as alternative payment methods to ensure that no one will be denied access to the services because of financial considerations.

6.5 Community and Education

While the primary function of the Agency is to develop and provide services to meet the needs of individuals in the community, an additional important function is to inform the community's leadership and the general population on issues which are impacting on the wellbeing of the community.

Towards this end, Agency staff, from all areas of concern that the Agency works in, should develop and present materials, including an annual report, to inform the community of the current state of affairs, any serious concerns in their area, and suggest possible remedies and ways that the situation may be improved.

This information dissemination function should be conducted utilizing the Agency's website and newsletter, as well as the local media and public presentations to relevant leadership.

6.6 Materials Review

All policies, procedures and promotional materials will be reviewed by all program and Agency leadership on at least an annual basis to ensure that it is accurate and aligned with current policy and procedures and represents effectively the values and policies of the Agency.

Major policy statements such as the personnel and financial procedures manuals, and the Bylaws will be reviewed by the specific Board of Director committees as detailed in the By-laws. Recommendations for change to these policies will be brought to the Board of Directors for approval.