



NEWFOUNDLAND & LABRADOR  
**DENTAL ASSISTANTS ASSOCIATION**

**POLICIES**

JANUARY 2023

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## **Section 1: Governance Process**

*How the Executive Committee conceives, carries out, and monitors its own tasks.*

### **1.1 Governance Principles**

The Executive Committee will focus on strategic leadership that will emphasize the following:

- Embodying transparency;
- Openness to suggestions;
- Encouragement of collaborations;
- Delegating responsibilities;
- Accountability;
- Job clarity;

In this spirit, the Executive Committee will:

- Keep its major involvement to the long-term impact of the organization.
- Direct, control and inspire the organization through the careful deliberation and establishment of policies.
- Enforce disciplines that are needed to govern with excellence. Discipline will apply to attendance, the treatment of individual Executive Committee Officers with dignity and respect; respect of clarified roles, speaking with one voice and self-policing of tendencies to stray from rigorous governance.
- Be accountable to the membership for competent, conscientious, and effective accomplishment of its obligations as a body. It will allow no officer, individual, or committee of the Executive Committee to usurp this role or deter this discipline.
- Monitor and regularly discuss the Executive Committee's own process and performance. Ensure the continuity of improvements through systematic review and updating of governance policies.

### **1.2 Implementation of Governance Principles**

#### *Executive Committee Performance Review*

Annually, the Executive Committee will discuss and monitor the committee's own process. The responsibility for ensuring a fair and balanced discussion will rest with the Executive Committee's President. The Executive Committee calendar will note the date for this annual review.

#### *Executive Committee Orientation*

The purpose of orientation is to acquaint the Executive Committee Officer with NLDAA policies and the job of an individual member of the Executive Committee. While orientation should be considered an ongoing process, there are certain critical points and information that should be highlighted. An Executive Committee manual will be organized to contain this material and the Past President will review the Executive Committee information while the Office Coordinator will review information relevant to the operation of the organization.

There are three (3) types of orientation:

1. *Orientation to the organization (NLDAA)*
  - a. Orientation will include topics of discussion such as the broad general scope of the organization, including the mission statement, principles, values, history, and services of the organization;
  - b. The roles, relationships, and structure of the organization;
  - c. The legislation affecting the organization, Articles of Incorporation and NLDAA by-laws.
2. *Orientation to the Executive Committee:*
  - a. This orientation will take place at the first meeting of the new officers. A discussion of topics by all Executive Committee officers will serve to reorient existing officers as well as introducing new officers to these concepts. Supporting documentation such as governance policies will be distributed at the meeting, to later be added to the Executive Officer manual.
  - b. Orientation will include the discussion of the role of the Executive Committee as a governance unit;
  - c. A review of the Executive Committee governance model and governance policies and the basic values underlying the work of the Executive Committee;
  - d. An introduction to the Executive Committee's calendar;
  - e. The Executive Committee's relationship with other groups and organizations.
3. *Orientation to the individual role of the Executive Committee Officer:*
  - a. Individual expectations should include specific responsibilities, expectations and benefits of the job;
  - b. Level of authority and accountability;
  - c. Role of committee and resources available;
  - d. Methods of reporting and communication;
  - e. Performance expectations for individual officers.

This section of the orientation could be handled in a non-formal atmosphere.

### **1.3 Code of Conduct**

The Executive Committee expects its officers to follow ethical and professional conduct. This commitment includes the proper use of authority and appropriate decorum in group and individual behavior when acting as Executive Committee officers.

The Executive Committee officers must represent loyalty to the interests of the membership. This loyalty supersedes any advocacy or special interest groups, and membership on other Executive Committees or staffs; including the personal interest of any Executive Committee officer acting as an individual consumer of the NLDAA's services.

The Executive Committee officers must avoid any conflict of interest with respect to their fiduciary responsibility. There must be no conduct of private business or personal services between any officers and the NLDAA, except as procedurally controlled. The Executive Committee officers must not use their positions to obtain for themselves, or for their family

members, employment within the NLDAA. Should an Executive Committee officer be considered for employment, they must temporarily withdraw from Executive Committee deliberation, voting, and access to all applicable committee information.

Executive Committee officers may not attempt to exercise individual authority over the organization except as explicitly set forth in these policies. Executive Committee officers' interaction with the public, press, or other entities must recognize the same limitation and the similar inability of any officers to speak on behalf of the Executive Committee.

Officers may not use any committee information for their own discretion, benefit, or advantage. This requires that the information be kept confidential whenever required in the best interest of the NLDAA. Executive Committee officers will deal with outside entities or individuals (with other staff present if and when applicable), and with each other in a manner reflecting fair play, ethics, and straightforward communication.

### **1.4 Implementation of the Code of Conduct**

Executive Committee officers must carry out duties in good faith with a reasonable degree of diligence, care and skill. If an officer is deemed to be negligent in carrying out their duties, given that the Executive Committee has the right to make and enforced its own laws and policies, the following guidelines will be followed:

- The offending Executive Committee officer may be censured by the Executive Committee President with a letter being sent to them outlining the circumstances and appropriate corrective actions. The offending officer will have an opportunity to respond to the letter.
- Continued offense will result in a motion of censure being brought to the Executive Committee President. This motion may result in a voluntary withdrawal or upon a vote of majority. The officer shall be removed from all committee memberships.
- Continued offense by an officer will result in removal from office by a resolution as prescribed in the by-laws of the NLDAA. In circumstances of an extreme nature, the offending officer may be removed from office immediately in accordance with the by-laws.

### **1.5 Role of the Executive Committee**

The role of the Executive Committee is as follows:

- Assumes operational functions of the organization
- Provides accountability and linkage to ownership (NLDAA members)
- Determines changes made to support dental assistants within the organization
- Determines how often policies will be reassessed and who is responsible for producing this information.
- Follow a committee structure to delegate responsibilities

### **1.6 Policy Process**

The Executive Committee sees the development of policy as providing effective parameters and broad guidelines for the action of the Executive Committee and the Office Coordinator. The following considerations will direct the Executive Committee in fulfilling its responsibility for policy-making. In considering policy, the Executive Committee will ensure that they comply with relevant legislation or regulation and the NLDAA's mission and by-laws.

There are practical and ethical limits on the manner in which the committee achieves these outcomes. These limitations are identified in the following policies. It is understood within the *Governance Process* policies that the Executive Committee delegates authority to the President to work directly with the staff in implementing these policies. The Executive Committee will always work from the most general statement of policy, and will proceed to develop progressively more specific policies until it is satisfied that it has achieved the degree of definition necessary in that area. The Executive Committee is responsible for the implementation of policy with the exception of policies governing the Executive Committee itself. This area is the responsibility of the President.

The Executive Committee will be highly visible in seeking input regarding any changes made to policy. Input will be sought from a variety of sources, including but not exclusive to: NLDAA members, community leaders, provincial and national stakeholders, other Executive Committees, volunteers and any paid staff member.

### **1.7 President's Roles and Responsibilities**

The officers of the NLDAA are the President, Past President, Vice President, Treasurer and Recording Secretary. Their duties are such as their titles by general usage or as may be required by law, or as specified or assigned to them from time to time by the Executive Committee.

The President will chair all meetings of the Executive Committee and represent as an ex-officio member of all Executive Committee meetings except the Nominations Committee. If the President is absent, unable, or unwilling to act, the Vice President assumes the duties of the President.

The President's role is to ensure the integrity of the Executive Committee governance process. The President is the only person authorized to speak on behalf of the Executive Committee. The President shall ensure that the committee behaves consistently with its own rules and those legitimately imposed upon it from outside the NLDAA.

The President sets the agenda for the Executive Committee meetings. Meeting deliberations will be timely, fair, orderly, and thorough. *Robert's Rules of Order Newly Revised* are observed except where the Executive Committee's by-laws supersede them. The President is empowered to chair

## NLDAA Policies

Executive Committee meetings with all the commonly accepted power of that position. (e.g. ruling, recognizing).

The President's authority extends to making executive decisions in cooperation with the Office Coordinator. The Executive Committee authorizes the President to supervise and direct the Office Coordinator.

The President shall represent the NLDAA within the community in areas linked to the membership and to the Executive Committee.

Inclusive of the above roles and responsibilities, the NLDAA President shall:

- Sign official documents and contracts on behalf of the Executive Committee;
- Be responsible for calling meetings of the Executive Committee officers;
- Submit reports to the members annually;
- Hold a current membership list received by the treasurer;
- Oversee the finances of the NLDAA in cooperation with the Executive Committee;
- Responsible for preparing a draft budget for the Executive Committee with the treasurer;
- Disburse all monies as necessary, in accordance with the Executive Committee's financial policies;
- Be a corporate member representative to the Canadian Dental Assistants Association (CDA);
- Attend the Annual General Meeting (AGM) at the NLDAA's expense when finances permit, or vote by proxy;
- Perform other duties as may be provided in the by-laws;
- Chair the AGM and special meetings of the NLDAA.

### **1.8 Vice President's Roles and Responsibilities**

The Vice President assists the President in all aspects, reviews the by-laws and Executive Committee manual annually, and recommends revisions necessary. The NLDAA Vice President shall:

- If the President is absent, unable, or unwilling to act, the Vice President assumes the duties of the President. Presidential duties may be imposed on the Vice President from time to time by the Executive Committee;
- Attend Executive Committee meetings;
- Serve as chairperson of the By-Law and Resolutions Committee and shall be responsible to record all resolutions;
- In the absence of the immediate Past President, the Vice President shall serve as the chairperson of the Nominations Committee.
- Serve as alternate corporate member representative to the NLDAA AGM.

### **1.9 Past President's Roles and Responsibilities**

The Past President acts as a resource to the Executive Committee and assumes responsibilities assigned from time to time by the Executive Committee. The NLDAA Past President shall:

- Assist the President as requested, in the performance of their duties;
- Serve as chairperson of the Nominations Committee;
- Serve as chairperson of the Awards Committee;
- Attend all Executive Committee meetings.

### **1.10 Linkage to Ownership**

The Executive Committee acts in trust for all NLDAA members and serves as the connection between members and the association. The Executive Committee officers represent the interests of the profession of dental assisting across Newfoundland and Labrador, while maintaining responsibility to ensure that the interests of the members are adequately presented to the NLDAA.

The legal owners of the NLDAA are members that are in good standing. The Executive Committee officers act as the trustees for these members. This establishes a frame of mind that leads the Executive Committee to appropriate considerations and loyalties when resolving issues.

In order to make informed decisions on behalf of the members, the Executive Committee gathers statistical evidence of concerns, needs, and demands of the NLDAA. The Executive Committee may further enhance their knowledge by reviewing articles in the media, inviting external stakeholders to present at Executive Committee meetings, engage in discussions with other committees or public officials, and solicit opinions from key community advisors.

## **Section 2: Executive Committee Means**

*Policies that define the acceptable areas of the committee, decisions and organizational activities.*

### **2.1 Volunteers and Staff Treatment**

With respect to treatment of paid and volunteer staff, the Executive Committee may not cause or allow conditions that are inhumane, unfair, or undignified. Accordingly, the Executive Committee may not:

- Discriminate among staff or volunteers;
- Subject staff or volunteers to unsafe or unhealthy conditions;
- Recruit and select staff or volunteers other than by a fair and open process;
- Prevent staff or volunteers from approaching the Executive Committee with a grievance;
- Fail to inform staff or volunteers of significant policies and guiding principles of the NLDAA or significant changes affecting the NLDAA.

## 2.2 Financial Priorities

The Executive Committee wishes to ensure the long-term stability of the NLDAA by planning for orderly growth while maintaining the flexibility to respond to opportunities. In relation to these needs, the committee shall not fail to allocate income according to the following priorities:

- Support existing programs providing the need continues to be demonstrated;
- Respond to new initiatives only after the Executive Committee-sanctioned objectives and prerogatives are sufficiently provided for and only if the new initiatives comply with Executive Committee constraints on Financial Planning and Financial Conditions;
- Build a reserve fund.

## 2.3 Financial Planning

With respect to planning fiscal events, the Executive Committee shall not deviate significantly from its policies, or jeopardize the fiscal integrity of the NLDAA. Accordingly, the Executive Committee may not cause or allow budgeting which:

- Contains too little information to enable accurate projections of revenues and expenses, separation of capital and operational items, cash flow and subsequent audit trails, and disclosure of planning assumptions;
- Plans the expenditures in any fiscal year of more funds than are conservatively projected to be received in that period;
- Allows the current assets to drop below the level required to meet the NLDAA's short term liabilities;
- Provides less than sufficient funds, as defined by the President, for Executive Committee prerogatives during the year;
- Deviates materially from Executive Committee-stated priorities in its allocation among competing budgetary needs.

## 2.4 Financial Reserves

The NLDAA wishes to protect itself financially against unforeseen loss of income or unanticipated expenses. The NLDAA also wishes to maintain a cash reserve that can be used from time to time to fund aspects of operations. In relation to these needs, the Executive Committee shall not fail to maintain to receive funds in an account known as the *Executive Committee Reserves Fund*, and shall not fail to:

- Account for the *Reserves Fund* in the annual financial statements of the NLDAA;
- Limit the use of the *Reserves Fund* to further the direct achievement of objectives according to the Executive Committee's defined priorities. Any other expenditure involving use of the *Reserves Fund* must be specifically authorized by the Executive Committee.

## **2.5 Financial Condition**

With respect to operating the NLDAA in a sound and prudent fiscal manner, the Executive Committee may not cause or allow the development of fiscal jeopardy or loss of allocation integrity. Accordingly, the Executive Committee may not:

- Expend more funds than have been received in the fiscal year to date unless the debt guideline (below) is met;
- In debt, the NDLAA in an amount greater than can be repaid by certain, otherwise unencumbered revenues within sixty days;
- Allow the President to commit on their own authority to any expenditure of greater than \$100.00;
- Use any long term reserves, except as outlined in the *Financial Reserves* policy;
- Allow cash to drop below the amount needed to settle debts in a timely manner;
- Allow actual allocations to deviate significantly from the policies;
- Disburse and receive funds under controls insufficient to meet the Executive Committee's appointed auditor's recommendations;
- Allow tax payments or other government ordered payments or fillings to be overdue or inaccurately filed;
- Fail to comply with guidelines of contractual obligations.

## **2.6 Asset Protection**

The Executive Committee may not allow assets to be unprotected, inadequately maintained nor unnecessarily risked. Accordingly, the Executive Committee may not:

- Fail to insure against theft and casualty losses to at least seventy-five percent of replacement value;
- Fail to insure against liability losses to Executive Committee Officers or to the NLDAA itself in an amount for comparable organizations;
- Subject property and equipment to improper wear and tear or insufficient maintenance;
- Unnecessarily expose the NLDAA, the Executive Committee, or staff to claims of liability;
- Receive, process or disburse funds without using generally accepted accounting procedures;
- Invest or hold funds in insecure instruments including insecure or equity instruments, current accounts and bonds of less than AAA rating, or non-interest bearing accounts, except where necessary to facilitate ease in operational transactions;
- Acquire, encumber or dispose of real property.

## **2.7 Compensation of Benefits**

With respect to employment, compensation, and benefits to employees, consultants, contract workers, and volunteers, the Executive Committee may not cause nor allow jeopardy to the NLDAA's fiscal integrity or public image. Accordingly, the Executive Committee may not establish current compensation and benefits for staff which:

- Deviate significantly from the geographic or professional market for compensation, and employee benefits for the skills employed;
- Create obligations over a longer term than revenues can be safely projected.
- Cause unfunded liabilities to occur or in any way commit the NLDAA to benefits, which incur unpredictable future costs.

### **2.8 Communication and Advice to the Executive Committee**

The Executive Committee delegates certain authority to the President and individual Officers. However it retains ultimate responsibility for the Association. Therefore, with respect to providing information and advice to the Executive Committee, the President may not cause or allow the Executive Committee to be uninformed or misinformed. Accordingly, the President may not:

- Keep the Executive Committee unaware of relevant trends, significant staff issues, public events of the NLDAA, significant external and internal changes, particularly changes in the assumptions upon which any Executive Committee policy has previously been established.
- Fail to provide a quarterly report to the Executive Committee outlining activities of the NLDAA Office.
- Fail to gather staff and external points of view, issues, and opinions as needed for fully informed Executive Committee choices
- Fail to submit an annual report to the Executive Committee, detailing the status and progress of operations, projects and Executive Committee-defined objectives of the Association.

### **2.9 Officer Backup**

With respect to protecting the Executive Committee from sudden loss of the President's services, the President may not cause nor allow insufficient officer backup. The President, along with the Executive Committee, will ensure that all essential operational information will be written and secured for availability on an emergency basis. The Executive Committee designates the President as custodian of all Association records. The President has custody of the funds and securities of the Association; keeps full and accurate accounts of all assets, liabilities, receipts and disbursements; and assumes all responsibilities assigned by the Executive Committee.

## **Section 3: Committees & Representatives**

### **3.1 Committee Principles**

The Executive Committee may establish sub-committees to help carry out its responsibilities.

The sub-committees will be used sparingly and will support policy development.

Sub-committees may not speak or act for the Executive Committee except when formally given such authority for specific and time-limited purposes. Such authority will be carefully stated in order not to conflict with authority delegated by the President or Office Coordinator.

The Executive Committee will use ad hoc committees as required for the purpose of gathering information related to policy issues and outlining various options, and the implications of optional courses of actions. Ad hoc committees of the Executive Committee shall:

## NLDAA Policies

- Be chaired by an Officer of the Executive Committee;
- Include in their composition, individuals who are not on the Executive Committee;
- Will be disbanded once they have completed the specific tasks assigned to them.

### **3.2 Nominations Committee**

The Nominations Committee will be composed of the immediate past President, who will serve as Chairperson. In the absence of the immediate past President, the President will be appointed as Chairperson. The committee will be composed of two Executive Committee members and one member of the Association at large; excluding the President. The Nominations Committee will prepare and circulate a list of elected offices and eligibility criteria to be submitted to members before elections. There must be one eligible nominee for each vacancy. The Nominations Committee is responsible for ensuring all absent nominees signify in writing that they are willing to accept the position for which they have been nominated. A list of nominees will be circulated to all members present at the Annual General Meeting. Nominations made from the floor will be accepted at the AGM for any office.

### **3.3 Convention Committee (NLDA Convention Committee Representatives)**

The Convention Committee will be composed of two members of the NLDAA. Responsibilities include giving recommendations on behalf of Dental Assistants on what events will be offered during the NLDA convention. Terms shall be for as long as representatives decide; with renewal or termination taking place in July.

### **3.4 By-Laws, Resolutions, and Policies Committee**

The By-Laws, Resolutions, and Policies Committee will be composed of four or more NLDAA members. Responsibilities include reviewing the current provincial by-laws and policies and making necessary amendments annually. The Vice President of the NLDAA will act as Chairperson of this committee. In the absence of the Vice President, the President will act as Chairperson. The committee will serve the necessary term as dictated by the project.

### **3.5 National Dental Assistants Week Committee**

The NLDAA Executive Committee members will be responsible for promoting and coordinating Dental Assistants Week activities.

## **Section 4: Financial Policies**

### **4.1 Accounting**

NLDAA financial records are kept and updated through a computer book-keeping system, using standard and generally accepting accounting principles. The Treasurer is directly responsible to ensure the proper maintenance of procedures and security. Besides regularly maintaining the general cash and disbursement journal, a monthly reconciliation of the NLDAA's accounts must be performed and kept on file in preparation for the year-end audit.

### **4.2 Bill Payments**

All NLDAA payments are processed only from invoices received at the NLDAA office.

## NLDAA Policies

Payments are not generated from account statements. Invoices received can be posted as payables if payment is to be made at a later time, or else they can be posted with payment. Cheque requisition forms must accompany payments for signatory approval, and all paid invoices must be retained by the NLDAA after posting to the ledgers. Two signatures are required on all transactions. The signing officers for NLDAA accounts will be the President, Vice President, Past President and Treasurer. Cheques with complete payee and amount information are sent with cheque requisitions and invoices to appropriate signatories for approval. Unless physically absent or unable to perform this duty, the President is to be the final signatory for any organizational payment.

### **4.3 Cash Deposits**

Cash deposits are performed from time to time as the Treasurer sees fit. Cash deposit sheets are prepared from the daily reports generated from the NLDAA database over a certain period (including all membership and Continuing Education transactions). Cheques or cash received from transactions outside the database must be accompanied by a stub or explanatory note regarding their origin. Cash deposits are only posted to the ledgers at the time or after the deposits have been performed.

### **4.4 Contracts**

NLDAA contractual obligations with outside organizations must be honored and kept up to date. Current signed contracts will be kept with the treasurer in a secure location. Typical NLDAA contracts requiring periodic or regular attention include:

- Executive Committee of Officers Liability Insurance
- Short-term Employment Contracts
- Administrative Consulting Agreements

### **4.5 Receivables**

NLDAA invoices for out-sourced products and services are generated internally and processed as receivables; crediting appropriate revenue or expense accounts. When payments for those invoices are received, they are posted as such, crediting “receivables.”

### **4.6 Investments**

From time to time, the Executive Committee may decide to invest NLDAA’s liquid assets in short-term investments (Guaranteed Investment Certificates). If the NLDAA’s cash assets for the coming month exceed its expected disbursements by \$10,000, the excess may be placed in a short-term investment so as to accrue interest. The President alone may authorize such investments.

### **4.7 Budgeting**

According to Governance Policies, the Executive Committee is responsible for the planning, updating and proper execution of all NLDAA budgets. Governance policies outline the restrictions placed on the President and treasurer in changing and allocating proper amounts for operations and

projects.

#### **4.8 Budget Statements**

The Treasurer will distribute a budget statement to the Executive Committee at the end of each month.

### **Section 5: Reimbursement for Expenses & Lost Wages**

#### **5.1 Expenses**

The NLDAA is responsible for the expenses of its Executive Committee members. The NLDAA will incur 100% of the eligible costs related to assigned Officials

Individual members are responsible for 100% of the costs related to their attendance at the NLDAA Annual General Meeting.

The NLDAA will reimburse all Executive Committee members 100% of costs for authorized expenses (as outlined) incurred while on authorized business for the Association. A completed NLDAA expense form including original receipts attached is required to process a request for reimbursement. The purpose of the expense must be indicated on the receipt.

All expenses must be submitted by December 31 of the year that they occur. The NLDAA reserves the right to refuse claims received after the year-end of any given year. The NLDAA reserves the right to refuse unauthorized claims and to ask for substantiation of claims. It is NLDAA policy to provide financial reimbursement for expenses incurred only and not for the purpose of individual profit. Expense reimbursement received from other organizations will be deducted from the amount payable by the NLDAA.

The Treasurer will process all expense claims within 14 days of receipt.

#### **5.2 Eligibility**

The following persons associated with the NLDAA shall be eligible for financial reimbursements and/or expense coverage:

- All NLDAA Executive Committee Officers;
- Any employees of the NLDAA;
- All appointees of the NLDAA;
- Authorized guests and/or consultants, as determined by the Executive Committee.

### **Section 6: Authorized Expenses**

#### **6.1 Transportation**

*Taxis*

## NLDAA Policies

Taxi fares to and from individuals' homes or offices to the airport as well as taxi fares to and from the hotel or meeting place will be reimbursed upon submission of original receipt. You must indicate on the receipt the destination of the travel. All other fares are ineligible unless directly related to NLDAA business activities.

### *Car Mileage*

If individuals elect to use personal automobiles for their mode of transportation while traveling on NLDAA business, total expenses will be reimbursed at \$0.50 per kilometer. This is to include gasoline, wear to vehicles, etc. Travel greater than 800 km must be justified as the most inexpensive mode of transportation and pre-approved by the Executive Committee.

### **6.2 Accommodation**

All accommodations will be reimbursed at 100% of a standard room rate for a hotel or motel, on a shared accommodations basis when more than one is traveling. Suites and other upgraded rooms will not be reimbursed fully, rather at the appropriate rate for a standard room.

Room rate and taxes are the only room charges eligible for reimbursement. All incidentals or additional room expenses are to be billed directly to the individual (e.g., personal phone calls, dry cleaning bills, sundry items).

### **6.3 Daily Living Allowance**

In circumstances where an individual is traveling on NLDAA authorized business, a maximum meal allowance of \$60.00 per day (including tax and gratuities) is provided. It is calculated at \$15.00 for breakfast, \$15.00 for lunch and \$30.00 for an evening meal. This financial allotment does not cover the cost of any alcoholic beverages. Original receipts must be submitted with expense claims.

On those occasions where meals are provided (by the NLDAA or other organizations) during meetings, the \$60.00 maximum daily allowance will be adjusted. When possible, information on the amount of the re-calculated daily allowance for said meeting days will be provided to participants ahead of time or upon arrival at the meeting venue. Claimants with questions are invited to contact the President ahead of time.

### **6.4 Annual Financial Review**

The accounts of the Association shall be reviewed annually by a non-dental individual approved by the Executive Committee. The Treasurer and the President must submit the reviewed financial statements at the Annual General Meeting. The reviewed financial report shall be published in the newsletter thirty (30) days prior to the Annual General Meeting.

## **Section 7: Administrative Policies**

### **7.1 Membership Records**

#### *General Processing*

Membership Records are to be processed internally, using the NLDAA database. In general, only memberships that are accompanied with payment are processed. Membership records are to be processed and payments deposited as promptly as possible.

#### *Confidentiality*

It is understood that all membership records and information are considered confidential. The NLDAA membership list, in whole or in part, is not to depart the NLDAA office in any form, unless with the specific approval of the Executive Committee.

#### *Security*

NLDAA membership computer files are to be kept with the NLDAA Officers, in password-protected form. These passwords are to be kept confidential but recorded in the President's records. The NLDAA membership database is to be backed up in cloud form, or saved in cloud form.

### **7.2 Secured Documents**

The President and executive officers will ensure that NLDAA files are kept safe and secure. Including the following documents:

- Current personnel files;
- Current NLDAA insurance policies;
- Current NLDAA lease (if any);
- NLDAA corporate seal;
- The Letters Patent (original and supplementary);
- Current NLDAA By-Laws;
- Recent (less than 6 months old) cloud back-up of the NLDAA membership database;
- Back-ups of current and past Financial Files on cloud based system;
- Current NLDAA Policies;
- Any other files and contracts of a secure or confidential nature.

### **7.3 Archival Procedures**

#### *Executive Committee Minutes & Policies*

All approved Minutes, policies and reports from NLDAA Executive Committee meetings and all Audited Financial Statements are to be kept permanently with the president, readily accessible at any time.

#### *Financial Records*

## NLDAA Policies

All past NLDAA financial invoices, bills, canceled cheques, deposit books and ledgers are to be kept for a period of at least seven (7) years. All deposit books and financial ledgers in either computer or hard copy form are to be retained permanently by the NLDAA in a secure location. All NLDAA financial records less than two years old are to be kept in a secure location.

### *Membership Records*

At the end of each year, one computer copy of the entire membership database is to be generated and kept in a secure location, and backed up to an external source to be kept on the president or at the office.

### *General Files*

NLDAA reports (not associated with Executive Committee meetings), correspondence and background files are to be retained in a secure location for at least five years.

## **7.4 Correspondence Procedures**

All outgoing correspondence on the part of the organization must be on NLDAA letterhead, with one copy retained in NLDAA files for archival purposes. The author to whom the correspondence is attributed must approve any outgoing correspondence.

Incoming correspondence will be sent to the intended addressee by the NLDAA office, with a copy retained for the NLDAA files. Incoming correspondence marked "Personal", "Private", or "Confidential", will be sent directly and solely to the addressee without prior viewing or copy retained.

## **7.5 Emergency Procedures**

In case of an emergency, The President is to be notified immediately and will be responsible for the following steps:

- Assessing the situation;
- Ensuring proper authorities (police, fire department, ambulance, security, insurance,) are notified as soon as possible;
- Taking legal steps to resolve the situation as soon as possible;
- Following up with any reports or meetings, cooperating fully with authorities on behalf of the NLDAA.

## **7.6 Privacy Policy**

### *Responsibility*

The NLDAA is responsible for protecting member personal information in its possession, including personal information that has been received from a third party in the course of commercial activities for processing or other purposes to which the member has consented.

## NLDAA Policies

### *Use and Disclosure of Information*

The NLDAA collects, uses and discloses personal information to communicate effectively with members and provide you with association information and services.

The following are some specific uses:

- To open an Individual Member account;
- To verify Member Identity;
- To keep track of Member activity, including use of products and services;
- To distribute NLDAA communications;
- To provide NLDAA web site access to Members;
- To provide information and access to NLDAA Affinity programs and services;
- To provide Member information to the Canadian Dental Assistants Association;
- To distribute receipts;
- To allocate appropriate educational credits;
- To compile statistics;
- To conduct market research.

Personal information may be collected, used or disclosed for any of the purposes set out above. We will not use or disclose information for any other purpose without obtaining additional consent.

The NLDAA does not allow the distribution of member information to third party vendors. The NLDAA only distributes member information to third parties who are engaged as distributors of NLDAA communications material and are contractually obligated to the NLDAA to retain full privacy of information.

The NLDAA collects the following information for each Individual Member. Note that in certain instances not all of this information will be necessary:

- Last Name
- First Name
- Address
- Home/Cell Phone
- Work Phone
- Provincial ID number (if applicable)
- NDAEB ID Number
- Email address
- Password
- Place of work/office name
- Date of birth
- Financial transactions
- Signature of applicant

## NLDAA Policies

Members have the right to know which third parties have received their information from the NLDAA.

### *Member Consent*

Members consent to the use of their personal information for the purposes previously mentioned. Further specific member consent is required before the NLDAA may collect, use or disclose their personal information for any other purpose, except in special circumstances where required by law.

Members may withdraw their consent at any time upon reasonable notice, subject to legal or contractual restrictions. Please note that withdrawing consent may affect the NLDAA's ability to provide programs and services. To withdraw consent, Members must contact the Secretary by regular mail for the purpose of obtaining a signature. Fax or email will not be accepted.

### *Forms of Consent*

We accept any of the following as consent for the NLDAA's use and future collection, use and disclosure of Member personal information for the previously identified purposes:

- Member's signature on forms;
- Member's express written consent as obtained through an application process.

Member's consent as provided by the provisions of transfer agreement with NLDAA and CDA

### *NLDAA Records*

Personal information is retained only as long as the NLDAA requires it to effectively provide products and services to members, and for a reasonable length of time thereafter in order to comply with potential contractual, legal or government requirements. The NLDAA uses appropriate care when storing or destroying member personal information in order to prevent unauthorized access.

### *Protection of Information*

Whether in electronic or paper-based format, the NLDAA maintains a strict security system to safeguard member personal information from unauthorized access, disclosure or misuse. When no longer needed, we take great care to ensure the complete destruction and disposal of personal information.

In the event that NLDAA transfers personal information to a third party we contractually require such persons or organizations providing services on our behalf to protect our members' confidentiality in a manner consistent with our own internal measures and as required by law.

## NLDAA Policies

The NLDAA makes every reasonable effort to ensure that our Member information is accurate and up to date. Members can access and update their personal information via the CDAA web site or by contacting the Office Coordinator.

### **7.7 Harassment Policy**

In order to promote harmonious work relationships and maintain a professional atmosphere, the NLDAA has a zero tolerance policy, prohibiting all forms of harassment of fellow workers and volunteers. All forms of harassment which create an offensive working environment are not acceptable; including, but not limited to, insulting, intimidating or discourteous conduct, as well as derogatory jokes or comments relating to race, color, religion, sex, age, disability, national origin, sexual orientation, or other protected status under applicable employment laws. It is the NLDAA's policy to investigate thoroughly and remedy any incidents of harassment.

### **7.8 Complaints Procedure**

If you feel you are being or have been harassed or otherwise discriminated against based on any prohibited ground, you should take the following actions:

- Clearly inform the offender that the behavior is unwanted or unwelcome or otherwise inappropriate. A direct statement to the offender may put an end to it.
- If you are reluctant to confront the offender (because you fear reprisal or lack of support from the offender), let any other senior volunteer with whom you are comfortable with know of the offensive conduct.
- Document the events, complete with times, dates, locations, witnesses and details. A written account will assist the investigation process if such action becomes necessary.

All parties involved in the investigation will remain confidential. If the complaint is unfounded, nothing will be recorded on the personnel file of the alleged offender. No one will be retaliated against by the NLDAA for pursuing or assisting in a valid complaint of discrimination or harassment, or cooperating in an investigation. However, invalid or fabricated claims, brought for improper or ulterior purposes, may result in disciplinary action; up to and including termination or a revoked membership. Anonymous complaints will not be investigated or otherwise acted upon.

Upon being informed of an allegation of discrimination or harassment, the NLDAA President will:

- Interview the following individuals as soon as possible: the claimant and alleged offender; any witnesses, including individuals suggested by the claimant or the alleged offender; any others who might possess relevant information about the complaint.
- Gather any relevant documentary evidence, including notes made by the claimant.
- Document all aspects of the complaint and the investigation accurately and completely.
- Within 30 days, determine an appropriate resolution that is fair and consistent.

## NLDAA Policies

- Notify all interested parties of the outcome of the investigation, although not necessarily all details of the investigation or actions taken.
- Document any findings of harassment or discrimination in the alleged offender's personnel file.
- Take the appropriate disciplinary action (up to and including termination).

In an appropriate case, the NLDAA may request that an external investigator investigate the allegations.

Any employee or volunteer who has been found after appropriate investigation to have harassed another volunteer or employee will be subject to appropriate sanctions depending on the circumstances, up to and including termination or a revoked membership.

### **7.9 Publication & Communication Policies**

#### *Newsletter*

To be written by the President with help from the Executive Committee.

#### *Awards*

All nominations and supporting documents are to be submitted to the Chair of the Awards Committee forty-five (45) days prior to the Annual General Meeting. Awards recognizing outstanding achievement will be awarded annually at the AGM or other time determined by the Executive Committee.

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President

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Witness

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Commissioner of Oaths

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Date