



NEWFOUNDLAND & LABRADOR DENTAL ASSISTANTS ASSOCIATION

DRAFT POLICIES

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SECTION 1: GOVERNANCE POLICIES

1.A. PURPOSE AND OBJECTIVES OF THE ASSOCIATION

Note: The policy document should begin with the mission, vision and strategic goals of the association. Sometimes these are referred to as Ends Policies. The Executive Committee is entirely responsible for establishing these objectives. All activity of the association, undertaken by the Executive Committee or staff, should directly relate to one or more of the stated objectives.

Mission: The NLDAAs is the provincial organization for Dental Assistants that is committed to advancing the career of Dental Assisting and enhancing the profession through education, legislation and professional activities.

Vision, Objectives and Goals

Education

- recognition of professionalism by providing an award each year to a graduate from the Dental Assisting program
- promotion of student membership in NLDAAs
- assist in learning activities and presentations by active members to the Dental Assisting students
- promote the significance of continuing education to all dental assistants
- greater recognition of the quality education received by dental assistants

Legislation

- continuation of dental assisting representation with the regulatory body, Newfoundland and Labrador Dental Board
- increasing the scope of practice for Level II Dental Assistants
- encouraging the dental community to support the licensing process and require all dental assistants to be licensed and/or certified

Professional Activities

- encourage the utilization of Level II skills in the dental practice
- raising the profile of dental assistants to the public and the dental community
- increased membership to include all dental assistants
- encourage active involvement and participation of members in Association activities
- gaining respect for Dental Assistants and recognition of their education and training
- promote activities and initiatives designed to advance oral and general health care knowledge and service

1.B. GOVERNANCE PROCESS

1.B.1. Governance Principles

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

- the future rather than the past;
- a clear distinction of the role of the Executive Committee and staff;
- pro-action rather than reaction.

In this spirit the Executive Committee will:

- Keep its major involvement to the long-term impact of the organization, not to the means of attaining the impact.
- Direct, control and inspire the organization through the careful deliberation and establishment of policies. By being an initiator of policy and not merely a reactor to staff initiatives the Executive Committee, not the staff, will be responsible for Executive Committee performance.
- Enforce upon itself whatever discipline is 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.B.1.A. Implementation of Governance Principles

Executive Committee Performance Review

At least annually the Executive Committee will discuss and monitor the Executive Committee's own process. The responsibility for ensuring a fair, balanced discussion will rest with the Executive Committee 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 NLDAAs 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 types or levels of orientation:

- Orientation to the organization
- Orientation to the Executive Committee
- Orientation to the individual role of the Executive Committee Officer.

Orientation to The Newfoundland & Labrador Dental Assistants Association

Orientation will cover the following:

- The broad general scope of the organization, including the mission statement, principles, values, history, and services of the organization
- The roles, relationships, and structure of the organization
- Legislation affecting the organization, Articles of Incorporation and NLDAAs By-laws.

Orientation to the Executive Committee

This orientation will be done at the first meeting of new Officers. A discussion of topic items by all Executive Committee Officers will serve to re-orient existing Officers as well as introducing new Officers to these concepts. Supporting documentation such as governance policies will be distributed at the meeting, to be inserted into the Executive Officer manual. Discussion will focus on the following areas:

- The role of the Executive Committee as a governance unit
- A review of the Executive Committee governance model and governance policies and the basic values underlying the work of the Executive Committee
- An introduction to the Executive Committee's calendar
- The Executive Committee's relationship with other groups and organizations.

Orientation to the individual role of the Executive Committee Officer

Individual expectations of Executive Committee Officers should include the following:

- Specific responsibilities, expectations, and benefits of the Executive Committee Officer's job
- Level of authority and accountability of individual Officers
- Role of committees, resources available to committee Chair or President
- Methods of reporting and communicating
- Performance expectations for individual Executive Committee Officers.

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

1.B.2. Code of Conduct

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

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. This loyalty supersedes the personal interest of any Executive Committee Officer acting as an individual consumer of the Association's services.

The Executive Committee Officers must avoid any conflict of interest with respect to their fiduciary responsibility. There must be no self-dealing or any conduct of private business or personal services between any Officers and the Association, except as procedurally controlled to assure openness, competitive opportunity, and equal access to otherwise "inside" information. The Executive Committee Officers must not use their positions to obtain for themselves, or for their family members, employment within The NLDAAs. Should an Executive Committee Officer be

considered for employment, she/he must temporarily withdraw from Executive Committee deliberation, voting, and access to applicable Executive Committee information.

Executive Committee Officers may not attempt to exercise individual authority over the organization except as explicitly set forth in Executive Committee policies. Executive Committee Officers' interaction must recognize the lack of authority in any individual Officer or group of Officers, except as noted above. 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 for the Executive Committee.

Executive Committee Officers may not use Executive Committee information for their own direct benefit or advantage. This requires that the information be kept confidential whenever required in the best interest of the Newfoundland & Labrador Dental Assistants Association.

Executive Committee Officers will deal with outside entities or individuals, (with staff when applicable) and with each other in a manner reflecting fair play, ethics, and straightforward communication.

1.B.2.A. Implementation of Code of Conduct

Executive Committee Officers must carry out duties in good faith with a reasonable degree of diligence, care and skill. If an Executive Committee Officer is deemed to be negligent in carrying out their duties, given that the Executive Committee has the right to make and enforce 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 the Executive Committee Officers outlining the circumstances and corrective actions. The offending Executive Committee 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 the majority, the Officer shall be removed from all committee membership.

Continued offense by a Officer of the Executive Committee will result in removal from office by a resolution as prescribed in the bylaws of the Newfoundland & Labrador Dental Assistants Association. In circumstances of an extreme nature the offending Executive Committee Officer will be removed from office immediately in accordance with the bylaws.

1.B.3. Role of the Executive Committee

The role of the Executive Committee is to provide strategic direction, oversight and linkage to the membership. The Executive Committee also assumes the operational functions of the organization.

The Executive Committee defines (and redefines) the NLDAAs reason for existence. The

Executive Committee determines what changes will be made, in which people's lives and at what cost, as a result of the NLDAAs existence. These are defined in the Purpose and Objectives of the Association.

The Executive Committee is responsible for the well-being of the organization. Although the

Executive Committee may delegate certain functions, it is ultimately responsible for all aspects of the organization. In order to assess the state of the organization the Executive Committee requires timely and accurate information. The Executive Committee establishes policies regarding when, how and how often monitoring will occur, and who is responsible for producing this information.

The Executive Committee provides accountability and linkage to the ownership, that is, the NLDAAs members. This requires dialogue with various constituents as to the NLDAAs definition and achievement of its mission. The responsibility is further defined in the policy "Linkage to the Ownership".

The Executive Committee defines how it will organize itself to get its work done. This requires a policy on Executive Committee resources and definition of the officer positions and committee structures. These are known as Governance Process policies.

1.B.4. Policy Process

The Executive Committee sees the development of policy as providing effective parameters and broad guidelines for the action of 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 NLDAAs mission and bylaws.

Policies will be statements of values or approaches that address:

- Purpose and Objectives - what benefits for which people or needs at what cost
- Governance Process - how the Executive Committee conceives, carries out and monitors its own tasks
- Executive Committee Means - policies that define the acceptable areas of Executive Committee and staff activity, decisions and organizational activities
- Executive Committee - Staff Relationship - the delegation of power, and monitoring the use of power thus delegated and the definition of the relationship

In setting policy, the Executive Committee will always work from the broadest, 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.

In shaping Purpose and Objectives policies, the Executive Committee will be highly visible in seeking input. Input will be sought from a variety of sources, including, but not exclusive to

NLDAAs members, community leaders, provincial and national stakeholders, other Executive Committees, volunteers and any paid staff members.

1.B.5. President's Roles and Responsibilities

The officers of the NLDAAs will be the President, Past President, Vice President, Treasurer and Recording Secretary. Their duties are such as their titles by general usage indicate 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 is an ex-officio member of all Executive Committee committees 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 for the Executive Committee. The President shall ensure that the Executive Committee behaves consistently with its own rules and those legitimately imposed upon it from outside the NLDAAs.

The President sets the agenda for Executive Committee meetings. Meeting deliberation will be timely, fair, orderly, and thorough, but also efficient, limited to time, and kept to the point. Robert's Rules of Order Newly Revised are observed except where the Executive Committee's bylaws supersede them. The President is empowered to chair 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 within the Purpose and Objectives policies, in cooperation with the Office Coordinator. The Executive Committee authorizes the President to supervise and direct the Office Coordinator as indicated in the Executive Committee - Staff Relations policies.

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

Inclusive of the above roles and responsibilities, the NLDAAs President:

- Shall sign official documents and contracts on behalf of the Executive Committee
- Shall be responsible for calling meetings of the Executive Committee of Officers
- Shall submit a report to the members annually
- Shall hold a current membership list received from the treasurer
- Shall oversee the finances of the Association in cooperation with the Executive committee
- Shall be responsible in preparing a draft budget for the Executive Committee with the treasurer
- Shall disburse all monies as necessary, in accordance with the Executive Committee's Financial Policies
- Shall be the Corporate Member representative to the Canadian Dental Assistants Association Annual General Meeting at the NLDAAs's expense when finances permit, or vote by proxy
- Shall perform such other duties as may be provided in the bylaws
- Shall chair the annual general meeting and special meetings of the Association

1.B.6. Vice President's Roles and Responsibilities

The Vice President assists the President in all respects, reviews the bylaws and Executive Committee Manual yearly and recommends revisions. The NLDAAs Vice President:

- Shall, in the absence or disability of the President, perform the duties of the President and shall perform such other duties as shall from time to time be imposed upon him/her by the Executive Committee
- Shall attend Executive Committee meetings
- Shall serve as Chairperson of the Bylaw 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
- Shall be the alternate Corporate Member Representative to the NLDAAs Annual Meeting.

1.B.7. 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 NLDAAs Past President;

- Shall assist the President as requested, in the performance of his/her duties
- Shall serve as Chairperson of the Nominations Committee
- Shall serve as Chairperson of the Awards Committee
- Shall attend all Executive Committee meetings

1.B.8. Linkage to the Ownership

The Executive Committee acts in trust for all NLDAAs members and serves as the legitimizing connection between members and the Association. Executive Committee Officers represent the interests of the profession as a whole across Newfoundland & Labrador, while maintaining responsibility to ensure that the interests of the members are adequately presented to the NLDAAs.

The legal owners of the NLDAAs are the members in good standing. Executive Committee Officers behave in the belief that they are trustees for the owners. This intention 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 owners the Executive Committee gathers statistical evidence of the owners' concerns, needs and demands of the NLDAAs. 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 Executive Committees or public officials, and solicit opinions from key community advisors.

1.C. EXECUTIVE COMMITTEE MEANS

The Executive Committee of Officers, seeks to achieve the outcomes identified in the Purpose and Objectives policies. There are practical and ethical limits on the manner in which the Executive Committee achieves these outcomes. These limitations are identified in the following policies. (It is understood within Governance Process policies that the Executive Committee delegates authority to the President to work directly with staff in implementing these policies.)

1.C.1. Volunteers & 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 on other than clearly individual job-related performance and/or qualifications
- 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 NLDAAs or significant changes affecting the NLDAAs.

1.C.2. Financial Priorities

The Executive Committee wishes to ensure the long-term stability of the NLDAAs, plan for orderly growth and still maintain the flexibility to respond to opportunities. In relation to these needs the Executive Committee shall not fail to allocate income according to the following priorities:

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

1.C.3. Financial Planning

With respect to planning fiscal events, the Executive Committee shall not deviate significantly from its stated Purpose and Objectives policies, or jeopardize the fiscal integrity of the NLDAAs.

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 NLDAAs'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 and Purpose and Objective policies in its allocation among competing budgetary needs.

1.C.4. Financial Reserves

The NLDAAs wishes to protect itself financially against unforeseen loss of income or unanticipated expense. The NLDAAs also wishes to maintain a cash reserve that can be used from time to time to fund aspects of the NLDAAs's operations. In relation to these needs the Executive Committee shall not fail to maintain reserve 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 the NLDAAs
- Limit the use of the Reserves Fund to further the direct achievement of objectives according to Executive Committee-defined priorities. Any other expenditure involving use of financial reserves must be specifically authorized by the Executive Committee.

1.C.5. Financial Condition

With respect to operating the NLDAAs in a sound and prudent fiscal manner, the Executive Committee may not cause nor 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
- Indebt the NLDAAs in an amount greater than can be repaid by certain, otherwise unencumbered revenues within sixty days
- Allow the President to commit on her/his 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 Purpose and Objectives policies
- Disburse and receive funds under controls insufficient to meet Executive Committee-appointed auditor's recommendations
- Allow tax payments or other government ordered payments or filings to be overdue or inaccurately filed
- Fail to comply with guidelines of contractual obligations.

1.C.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 NLDAAs itself in an amount for comparable organizations
- Subject property and equipment to improper wear and tear or insufficient maintenance
- Unnecessarily expose the NLDAAs, 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.

1.C.7. Compensation and 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 NLDAAs 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, in no event longer than one year and in all events subject to losses of revenue
- Cause unfunded liabilities to occur or in any way commit the NLDAAs to benefits, which incur unpredictable future costs

1.C.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 NLDAAs, 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 NLDAAs 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.

1.C.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, working 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 2: COMMITTEES AND REPRESENTATIVES

2.A. Committee Principles

The Executive Committee may establish committees to help carry out its responsibilities. Executive Committee committees will be used sparingly and will support the Executive Committee policy development function. Executive Committee 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 to the President or Office Coordinator.

Executive Committee committees cannot exercise authority over staff or Executive Officers, and in keeping with the Executive Committee's focus on the future,

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 be chaired by a Officer of the Executive Committee
- may include in their composition, individuals who are not on the Executive Committee
- will receive written terms of reference from the Executive Committee
- will be disbanded once they have completed the specific tasks assigned to them.

2.A.1. Education Committee

- Shall promote and organize continuing education courses as directed by the Executive Committee
- Shall inform all members of any upcoming continuing education courses
- Shall keep an annual record of all educational courses offered, and sign in sheets of members attending said courses.
- Shall study and make recommendations in the field of continuing education as it relates to dental assisting
- Shall submit a report to the Executive Committee at Executive Committee Meetings when invited to Executive Committee meetings

2.A.2. Nominations Committee

- Shall be composed of the immediate past president, who shall serve as Chairperson. In the absence of the immediate past president, the president will appoint a chairperson
- Shall be composed of two Executive Committee members and one member of the Association at large excluding the President
- Shall prepare and circulate a list of elected offices and eligibility criteria to be submitted to members before elections
- Shall ensure that there is at least one eligible nominee for each vacancy and make nominations as required.
- Shall be responsible for ensuring all absent nominees signify in writing the nominee is willing to accept the position for which they have been nominated
- Shall circulate a list of nominees to all members present at the Annual General Meeting
- Nomination from the floor will be accepted at the AGM for any office.

2.A.3. Convention Committee (Annual General Meeting)

- The Chairperson shall be appointed annually by the Executive Committee
- Shall administer the requirements of the Provincial Oral Health Convention annually
- Shall function in consultation with the Executive Committee

2.A.4. Bylaws and Resolutions Committee

- Shall be composed of four or more NLDAAs members
- Shall be responsible to review the current provincial bylaws and make the necessary amendments every year
- Shall function with the Vice President as chairperson. In the absence of the Vice President the President shall be the chairperson
- Shall serve the necessary term as dictated by the project

2.A.5. National Dental Assistants Week Committee

The NLDAAs Executive Committee Member shall be responsible for promoting and coordinating Dental Assistants Week activities.

2.B. Representatives

The Executive Committee of Officers may be called upon to occasionally select a representative for various internal or external committees or projects. Such appointees will be directly responsible to the Executive Committee and as such she/he will consult with the Executive Committee prior to making any commitments on behalf of the Executive Committee.

Occasionally the NLDAAs will receive a request to locate a suitable representative of dental assisting 'at large' to sit on an external committee. On such occasions the President will be responsible for locating the representative. The appointee will NOT represent the NLDAAs or the Executive Committee of Officers. Such appointees are selected for their pertinent experience, and provide advice to the external committee as they see fit. They are obligated to report to the Executive Committee and membership.

2.B.1. CDAA Director from Newfoundland & Labrador

- Shall be an elected position with nominations being received from the Executive Committee.
- Shall follow the CDAA's "Executive Committee Member Responsibilities"
- Shall be the liaison between CDAA and NLDAAs and provide information to the Executive Committee following all CDAA meetings or conference calls.
- Shall attend Executive Committee meetings
- Shall be a voting member of the NLDAAs Executive Committee of Officers
- The CDAA Executive Committee member may not be elected for more than two consecutive terms of three years each

2.B.2 Newfoundland & Labrador Dental Board

This position is a recommendation to the NLDB and is currently confirmed by the Minister of Health, Government of Newfoundland & Labrador. Within the NLDAAs it:

- Shall be an elected position with nominations being received from the Executive Committee. (Provincial or National Executive Committee experience would be an asset)
- Shall follow the NLDB's Member Responsibilities"
- Shall be the liason between NLDB and NLDAAs and provide information to the Executive Committee following all NLDB meetings or conference calls.
- Shall in regards to voting matters of NLDB, consult if feasible with the NLDAAs Executive Committee
- Shall attend Executive Committee meetings and submit a report At the AGM
- Shall be allowed to vote by proxy at the NLDAAs Annual General Meeting
- The NLDB Representative shall serve a one three-year term not exceeding two consecutive terms.

SECTION 3: FINANCIAL POLICIES

3.A. FINANCIAL PROCEDURES

3.A.1. Accounting

NLDAAs financial records are kept and updated through a computer book-keeping system, using standard and generally accepted 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 NLDAAs accounts must be performed, and kept on file in preparation for the year-end audit.

3.A.2. Bill Payments

All NLDAAs payments are processed (only) from invoices received at the NLDAAs office. 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 NLDAAs after posting to the ledgers.

Two signatures are required on all transactions. The signing officers for NLDAAs 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.

3.A.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 NLDAAs 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.

3.A.4. Contracts

NLDAAs contractual obligations with outside organizations must be honoured and kept up to date.

Current signed contracts will be kept with the treasurer in a secure location.

Typical NLDAAs contracts requiring periodic or regular attention include:

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

3.A.5. Receivables

NLDAAs 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."

3.A.6. Investments

From time to time, the Executive Committee may decide to invest NLDAAs liquid assets in short-term investments (Guaranteed Investment Certificates). If the NLDAAs 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.

3.A.7. Budgeting

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

3.A.8. Budget Statements

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

3.B. REIMBURSEMENT FOR EXPENSES & LOST WAGES**3.B.1 Expenses**

The NLDAAs is responsible for the expenses of its Executive Committee members. The NLDAAs 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 NLDAAs Annual General Meeting.

The NLDAAs will reimburse all Executive Committee members 100% of costs for authorized expenses (as outlined) incurred while on authorized business for the Association. A completed NLDAAs 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 NLDAAs reserves the right to refuse claims received after the year-end of any given year.

The NLDAAs reserves the right to refuse unauthorized claims and to ask for substantiation of claims.

It is NLDAAs 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 NLDAAs.

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

3.B.2. Eligibility

The following Officers, employees, members, and persons associated with the NLDAAs shall be eligible for financial reimbursements and/or expense coverage.

- All NLDAAs Executive Committee Officers
- Any employees of the NLDAAs
- All Appointees of the NLDAAs
- Authorized Guests and/or Consultants, as determined by the Executive Committee

3.B.3. AUTHORIZED EXPENSES

3.B.3.a. Transportation

Taxis

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 NLDAAs business activities.

Car Mileage

If individuals elect to use personal automobiles for their mode of transportation while traveling on NLDAAs business, total expenses will be reimbursed at \$0.47 per kilometer. This is to include gasoline, wear to vehicle, etc. Travel greater than 800 km must be justified as the most inexpensive mode of transportation and pre-approved by the Executive Committee.

3.B.3.b. Accommodation

All accommodations will be reimbursed at 100% of a standard room rate for hotel or motels. on a shared accommodations basis when more than one are travelling. 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)

3.B.3.c. Daily Living Allowance

In circumstances where an individual is traveling on NLDAAs 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 the evening meal. This financial allotment does not, and will not, cover the cost of any alcoholic beverages. Original receipts must be submitted with expense claim

On those occasions where meals are provided (by the NLDAAs 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.

3.C. Annual Audit

- 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 4: ADMINISTRATIVE POLICIES

4.A. Membership Records

4.A.1. General Processing

Membership Records are to be processed internally, using the NLDAAs 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.

4.A.2. Confidentiality

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

4.A.3. Security

NLDAAs membership computer files are to be kept with the NLDAAs Officers, in password-protected form. These passwords are to be kept confidential but recorded in the Presidents records. The NLDAAs membership database is to be backed up each time they are modified and back-up files stored in a secure location.

4.B. Secured Documents

The President and executive officers will ensure that NLDAAs files are kept safe and secure.

Including the following documents: items

- Current Personnel files
- Current NLDAAs Insurance Policies
- Current NLDAAs Lease (if any)
- NLDAAs Corporate Seal
- The Letters Patent (original and supplementary)
- Current NLDAAs By-Laws
- Recent (less than 6 months old) hard copy and computer back-up file of the complete NLDAAs membership database
- Back-ups of current and past Financial Files on computer disc
- Current NLDAAs Policies
- Any other files and contracts of a secure or confidential nature.

4.C. ARCHIVAL PROCEDURES

4.C.1. Executive Committee Minutes & Policies

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

4.C.2. Financial Records

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

4.C.3. Membership Records

At the end of each year, one computer copy and one hard copy of the entire membership database are to be generated and kept in a secure location.

4.C.4. 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.

4.D. 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 circulated directly and solely to the addressee without prior viewing or copy retained.

4.E. Emergency Procedures

In case of an emergency, the following steps are to be taken:

The President is to be notified immediately and will be responsible for:

- 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.

4.F. PRIVACY POLICY**4.F.1. NLDAA 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.

4.F.2. 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 purpose set out above. We will not use or disclose information for any other purpose without obtaining additional consent.

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

4F.3. Type of Information

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

- Last Name
- First Name
- Address
- Home Phone
- Work Phone
- Fax Number
- Provincial ID number
- NDAEB ID Number
- Email address
- Password
- Gender
- Date of Birth
- Financial transactions
- Educational credits
- Transactions

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

Member Consent

Members consent to the use of their personal information for the purposes previously mentioned. Further specific member consent is required before the NLDAAs 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 NLDAAs'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 e-mail will not be accepted.)

4.F.4. Forms of Consent

We accept any of the following as consent for the NLDAAs 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 NLDAAs and CDAA

4.F.5. NLDAAs Records

Personal information is retained only as long as the NLDAAs 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 NLDAAs uses appropriate care when storing or destroying member personal information in order to prevent unauthorized access.

4.F.6. Protection of Information

Whether in electronic or paper-based format, the NLDAAs 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 NLDAAs 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.

The NLDAAs 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 at the address below.

4.G. Harassment Policy

In order to promote harmonious work relationships and maintain a professional atmosphere, the NLDAAs 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, colour, religion, sex, age, disability, national origin, sexual orientation, or other protected status under applicable employment laws.

It is the NLDAAs's policy to investigate thoroughly and remedy any incidents of harassment.

4.G.1. 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 behaviour 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 maintain confidentiality to the extent possible. 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 NLDAAs 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 being struck from the membership. Anonymous complaints will not be investigated or otherwise acted upon.

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

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

4.H. PUBLICATION & COMMUNICATION POLICIES

4.H.1. Newsletter

The Newsletter Committee:

- Shall develop and administer the requirements for the publication of a provincial newsletter in a professional manner with the approval of the Executive Committee.
- Shall be responsible to obtain advertisements as specified in the guidelines.
- Shall appoint a co-editor when deemed necessary.
- Shall update newsletter guidelines at the end of each term.

Publication costs will be covered by the Provincial Association for an amount to be determined by the Executive Committee of Officers from year to year.

4.H.2.

Awards

All nominations and supporting documents are to be submitted to the Chair of the Awards Committee 45 days prior to the Annual General Meeting.

Awards recognizing outstanding achieve will be awarded annually at a time AGM or other time determined by the Executive Committee.