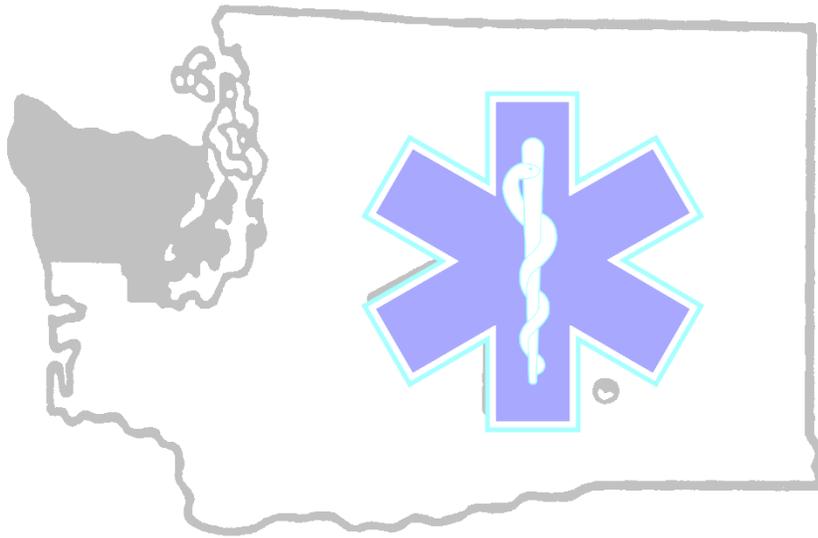


Northwest Region
Emergency Medical Services
& Trauma Care Council

POLICIES & PROCEDURES



Approved by :
Northwest Region EMS and Trauma Care Council on January 9, 2014

TABLE OF CONTENTS:

Banking & Investments 3

Expenditures 3

Revenue 6

Accounting Review System..... 7

Cell Phone 7

Leave..... 8

Travel Expense Reimbursement 13

Grant Administration 17

Records Request 19

Records Retention 21

Open Public Meetings..... 21

Conflict of Interest..... 22

Appendix A: Conflict of Interest Signature Form 25

Appendix B: Travel Expense & Reimbursement Form..... 26

Appendix C: Public Records Request Form..... 27

Policy: Banking & Investments

PROCEDURE

A. Bank Accounts

1. All bank accounts are in the name of Northwest Region EMS & Trauma Care Council (“NWREMS”)
2. When the authorized signers change on the bank accounts, the signature card at the bank will be changed within 30 days.
3. When the NWREMS no longer uses a bank account the account will be closed within 30 days of inactivity.
4. All funds of the NWREMS will be in FDIC financial institutions.
5. All investment of funds will be in legal instruments.

B. Petty Cash

1. There will be no petty cash fund

Policy: Expenditure

PURPOSE

This Expenditure Policy explains how Region funds may be used for the reasonable and necessary costs of the Region’s activities. This policy ensures that the Region’s funds are appropriately used, properly authorized, supported by a business purpose, and are in compliance with standard accounting guidelines.

PROCEDURE

A. Expenditure budget

1. The Council will approve a yearly budget which details expected expenditures.
2. The Council will review the yearly budget at the close of the fiscal year and examine expenditures.
3. Amendments to the budget which involve an addition to or reduction of existing appropriations will require Council approval.
4. Council staff will make every reasonable effort to maximize any discounts offered by creditors/vendors.

B. Mandatory expenses

1. Mandatory expenses are those that are incurred by the Region routinely and are not the result of a specific purchase order or management decision. They

Northwest Region EMS & TCC Policy Manual

- include such things as office rent, utilities, insurance, any contracted services, and employee salaries and payroll expenses.
2. Before contracts, written or oral, are entered into, committing the corporation to ongoing routine expenditures (for example staff salaries, maintenance contracts), the Executive Director shall advise the Board as to the budgetary and cash flow implications and appropriate revisions to the budget if applicable.
 3. Any contract or commitment which will result in a mandatory expense needs Board approval prior to implementation.
 4. If a mandatory expenditure goes over budget or is expected to go over budget, the Executive Director shall advise the Board of this at its next regular meeting.
- C. Discretionary expenses
1. Discretionary expenses are those where the Region has an option as to when (or if) to incur them. They include such things as equipment purchases, maintenance supplies, office supplies, professional services, education, membership in other organizations, new staff positions, changes in insurance coverage and signing new contracts for any goods or services.
 2. Where the expense is within the budget approved for that category and is up to \$1,000.00, no further approval is required; where the expense is within the budget approved for that category, and more than \$1,000.00 or if it will put the budget category over budget, it must be approved by the Board;
 3. Before seeking approval of a discretionary expense of more than \$5,000, the Executive Director will obtain 3 bids or quotes for submission to the Board.
- D. Emergency expenses
1. Emergency expenses are those that have to be incurred immediately because a delay will endanger personal safety or risk property damage.
 2. Notwithstanding procedures outlined in previous sections, an emergency expenditure may be approved by the Executive Director up to the amount of \$5,000 and with the Chairman's approval.
 3. All emergency expenditures must be reported to the Executive Board as soon as possible and at the next meeting of the Board of Directors.
- E. Capital expenditures
1. Capital expenses are expenditures for those items with an anticipated life expectancy of five years or longer.
 2. The Board of Directors will be responsible for authorizing expenditures from the capital budget of \$5,000 or more on the recommendation of the Executive Director.

Northwest Region EMS & TCC Policy Manual

F. Payroll

1. The Director uses the payroll service there within Quickbooks®, to provide payroll services and payroll- related tax adherence tasks.
2. Hourly employees will submit a monthly time/activity sheet.
3. The Executive Director will report hours worked, ASPR hours, holiday, vacation and sick time taken on her bi-weekly timesheet.
4. Payroll is bi-weekly on Fridays.
5. The records showing leave accruals, usage and the balance thereof will be reported on the bi-weekly timesheet and reviewed by the Executive board signer prior to signing the payroll check.
6. The Council Treasurer will periodically audit the payroll records for accuracy.
7. An approved pay rate will be established for each employee and documented in each respective employee's personnel file.
8. Only the Executive Committee is authorized to modify pay rates.
9. Payroll taxes will be paid by the Director and approved at the bi-monthly audit. Taxes will show all supporting documentation reported.

G. Employee reimbursement

1. Types of reimbursement requests include:
 - a. Advance payment request (check request) is submitted when the expense, vendor, and amount are known sufficiently in advance to secure an advance payment via Region Council check.
 - b. Expense reimbursement request is submitted after a pre-approved Region Council expense has been paid by a member.
 - c. Travel advance request is submitted only when pre-approved Region Council-related travel is authorized and individual funds are not available to pre-fund the travel expense. See Travel Policy for a list of reimbursable and non-reimbursable travel expenses.
2. Expenses must be turned in to the Administrator for reimbursement no later than 10 days from expenditure date except at year-end when all training-related expenses must be submitted by June 30th of the succeeding year. This ensures sufficient timing to close Region Council financial books for state and federal regulatory reporting and audit requirements. Valid Region Council expenses submitted after the above dates will not be reimbursed.
3. A payment request form must be completed for all advance payment, reimbursement payment, and travel advance requests. Expenses will not be reimbursed unless the personnel requesting reimbursement submits a written payment request form and relevant receipts.

H. Credit Cards (The Council does not currently hold a credit card)

1. The Council has authorized the Executive Director the use of council credit cards for the following purposes: for budgeted or approved purchases and

Northwest Region EMS & TCC Policy Manual

- payments such as but not limited to: equipment, grant purchases, travel expenses, registrations, and office supplies including online purchases for council needs.
2. The council credit cards will not be used for cash advances or personal purchases.
 3. Receipts will accompany the credit card statement for approval and payment.
 4. All credit card balances will be paid in full each month.
- I. Internal control procedures for payables
1. Bills and invoices will be received by the Executive Director.
 2. The Executive Director will review the bills and invoices, initial and date stamp the bill signifying their review and receipt.
 3. All payments will be recorded in Quickbooks®. Once recorded in the accounting system, a check will be prepared for signing.
 4. All checks must be reviewed and signed by an authorized signer. All signatures will be originals. Only under unique circumstances and with prior written (not verbal) approval can the Director sign checks. This written document (e-mail, etc.) must then be attached to the invoice being paid and then an Authorized Executive Board Member must also go thru the same review process as listed for final approval and verification.
 5. Any electronic payments made will be reviewed and approved by an authorized signer after the fact. Approval signatures may be obtained at the time routine batch check payments are processed.
 6. A summary transaction detail report will accompany the bills and payments at the time of council member approval and check signing. Council members performing will sign and date the summary transaction report signifying his/her review and approval of expenditures.
 7. Supporting documentation for processed checks will be maintained at the office with the check stub attached.
 8. No Individual is allowed to sign a check on which they are the payee.

Policy: Revenue

PROCEDURE

- A. The Council shall approve a yearly budget which details expected revenue sources.
- B. The Council shall review the yearly budget at the close of the fiscal year and examine revenues which are more or less than expected.
- C. All money, i.e. cash or checks, received from all sources shall be recorded in a receipt book maintained by N wrems staff.

Northwest Region EMS & TCC Policy Manual

- D. The mode of payment shall be documented on the receipt (cash, check, EFT).
- E. All deposits shall be made within 24 hours of receipt.
- F. In the event that any payment is made in cash, all cash shall be physically secured to prevent misuse or theft.

Policy: Accounting Review System

PROCEDURE

- A. Review of the Bank Statements and Reconciliations will be done on a bi-monthly basis as meeting schedules allow.
 - a. The review will be conducted by 2 Executive Board members who are NOT signers on the account.
 - b. In the event 2 non-signers are not available a Regional Council member may take their place for the review.
 - c. The reviewers shall check the bank statement for and verify:
 - i. Matching valid signatures
 - ii. Payee, nothing unexpected or unusual
 - iii. Check numbers, sequence, and voided checks
 - iv. Completion of supporting documentation for receipts and payments
 - v. Sign and date the top page of the reconciliation when complete, note any discrepancies and communicate to the Executive Board.
- B. Director shall
 - a. Reconcile bank statements monthly in Quickbooks®
 - i. Reconciliation report will be attached
 - ii. Original Bank statement will be attached showing front and back copies of checks
 - iii. All supporting documentation to all deposits and payments with check stubs will be attached
 - b. Provide monthly Profit & Loss Statements and include in Regional Council Meeting Treasurers Report
 - c. Provide Budget vs. Actual Report and include in Regional Council Meeting Treasurers Report

Policy: Cell phone

PROCEDURE

- A. NWREMS will provide Director with a cell phone.
- B. Director shall reimburse NWREMS for any personal use of equipment that results in noticeable incremental costs.

Policy: Leave (Holiday Leave, Annual Leave, Civil Duty Leave, Sick Leave, Leave of Absence Without Pay, Family Leave, Absence Without Authorized Leave)

HOLIDAY LEAVE

The Region EMS & Trauma Care Council provides employees eleven (11) paid holidays each year. The office is officially closed on these days:

- New Year's Day (January 1st)
- Martin Luther King Jr. Day (3rd Monday of January)
- President's Day (3rd Monday of February)
- Memorial Day (Last Monday in May)
- Independence Day (July 4th)
- Labor Day (1st Monday of September)
- Veteran's Day (2nd Friday of November)
- Thanksgiving (4th Thursday of November)
- Day After Thanksgiving
- Christmas Day (December 25th)
- One Personal Holiday

PROCEDURE

- A. Except as noted below, if these holidays fall on Saturday, the preceding Friday will be a holiday. If they fall on a Sunday, the following Monday will be a holiday, unless otherwise approved by the Chairman.
- B. Except as noted above, if any holiday falls on any other scheduled day off, the following workday will be observed as a holiday, unless otherwise approved by the Chairman.
- C. Full-time and regular employees are entitled to holidays off with pay.
- D. If a holiday falls on a day that the employee is normally scheduled to work, the employee's work schedule for the week of the holiday will be adjusted to ensure that the employee receives the appropriate number of hours off for the holiday.
- E. If the holiday falls on a day that the employee is normally not scheduled to work, the employee may be allowed to accumulate the holiday hours. These accumulated hours must be used within (90) days of the holiday and may never exceed thirty (30) hours at any one time.
- F. The Council may change the holidays observed as deemed appropriate by the Executive Director, Chair, and/or the Executive Board.

Northwest Region EMS & TCC Policy Manual

ANNUAL LEAVE

Full-time regular employees will accrue annual leave for each completed month of service. Annual leave will be accrued at the following rates:

- 0-4 years of service: 10 days/80 hours; carryover 20 days
- 5-6 years of service: 15 days/120 hours; carryover 30 days
- 7-9 years of service: 17 days/136 hours; carryover 30 days
- 10+ years of service: 20 days/160 hours; carryover 30 days

PROCEDURE

- A. A part-time regular employee will be entitled to that fractional part of the annual leave that the total number of hours budgeted for the position bears to the total number of leave hours for full-time employment.
- B. Annual leave will accrue at the end of each complete calendar month of service. Employees beginning employment on the fifteenth (15th) of the month or earlier will accrue leave for that month; employees beginning employment later than the fifteenth (15th) of the month will accrue leave on the first of the next month.
- C. A new regular employee will accrue annual leave during the first three months of employment, but may not use leave until completion of the first three months. An employee who fails to complete three months of employment will not be entitled to compensation for accrued annual leave upon termination.
- D. Annual leave credited for any month of service may be used in that month or in any subsequent month, when approved by the appointing authority.
- E. A regular employee must submit a written request for annual leave in advance. The immediate supervisor or other designated person will evaluate the request with authority to approve or deny it.
- F. The Executive Director is required to take a minimum of eighty (80) hours (2 weeks) leave each year for fatigue management.
- G. Regular employees may carryover a maximum of thirty (30) working days (240 hours) of annual leave on January 1st. Any leave above the carryover amount will be forfeited on January 1st.
- H. Employees may cash-out up to 60 hours of accrued annual leave each year.
- I. Upon termination, employees will be compensated for up to a maximum of 240 hours accrued annual leave.
- J. Leave accrual may be modified from the above format when voted on and approved by the Regional Council. This must be detailed in the employees employment contract.

Northwest Region EMS & TCC Policy Manual

CIVIL DUTY LEAVE

Regular employees shall be allowed any necessary paid leave (separate from annual leave) for civil duty.

PROCEDURE

- A. The employee shall inform the immediate supervisor or other designated person of the call for civil duty as soon as the employee is aware of it and must keep the supervisor informed of time requirements of civil duty during the employee's term of service.
- B. Regular employees shall pay to the Council any compensation received for civil duty. Employees may keep all mileage reimbursement for civil duty.

MILITARY LEAVE

Based on RCW 38.40.060, any regular employee who is a member of the National Guard or the Reserve Corps of the United States is entitled to paid military leave. Employee shall be granted military leave of absence for a period not exceeding twenty-one days during each year in order that the person may report for required military duty, training, or drills including those in the national guard or state active status; Such military leave of absence shall be in addition to any vacation or sick leave to which the employee might otherwise be entitled, and shall not involve any loss of efficiency rating, privileges, or pay.

PROCEDURE

- A. The employee shall inform the immediate supervisor or other designated person of the call for military duty as soon as the employee is aware of it and must keep the supervisor informed of time requirements. of the employee's term of service.
- B. During the period of military leave, the employee shall receive his or her normal pay.
- C. The employee shall be charged military leave only for days that he or she is scheduled to work.

SICK LEAVE

Full-time employees shall earn eight (8) hours a month of sick leave for each completed month of service.

PROCEDURE

- A. Regular part-time employees shall earn sick leave at a rate determined by multiplying the employee's FTE by eight hours (i.e. a .75 FTE employee would earn six hours of sick leave a month).

Northwest Region EMS & TCC Policy Manual

- B. New regular employees hired no later than the fifteenth of the month accrue eight (8) hours of leave for that first month; a new regular employee hired after the fifteenth of the month will begin accruing sick leave the next month.
- C. Sick leave may be used only for the following reasons:
 - 1. Illness and/or injury of the employee that renders the employee unable to work.
 - 2. Illness in the immediate family requiring the attendance of the employee, limited to a maximum of five (5) days in any one instance. The immediate supervisor or other designated person may grant additional days based on extenuating circumstance upon request by the employee.
 - 3. Preventative health care for the employee.
 - 4. Preventative health care for a member of the employee's immediate family if the employee's attendance is required.
 - 5. An employee on workers compensation may use sick leave to make up the difference between worker's compensation payments and the employee's regular rate of pay.
- D. Illnesses and/or injuries shall be reported at the beginning of any period of sick leave to the Executive Director or other Executive Board Member. When circumstances warrant, the immediate supervisor or other designated person may require a statement from a medical professional.
- E. Sick leave for preventative health care must be approved in advance by the Executive Director or other designated person.
- F. The maximum sick leave accrual shall be 1040 hours (130) days for full-time employees, 520 hours (65) days for half time employees.
- G. No sick leave will be cashed out.
- H. No payment for accrued sick leave shall be made for employees leaving Council employment.

BEREAVEMENT LEAVE

In the event of a death in a regular employee's immediate family, the employee is entitled to three (3) days bereavement leave with pay.

PROCEDURE

- A. Employer must be notified immediately or as soon as practical of the need for bereavement leave,
- B. The Executive Director in concurrence with Chairperson and the Executive Board may approve up to five (5) additional days of sick leave, annual leave, or compensatory time; the type of additional leave shall be the employee's option.

LEAVE OF ABSENCE WITHOUT PAY

Leave of absence without pay may be allowed for any reason for a regular employee with the approval of the Executive Director or Chairman.

PROCEDURE

- A. Leave of absence without pay, except in cases of service with the armed forces or family leave, shall not be authorized in any case where such leave will result in the detriment of Council operations.
- B. Leave of absence without pay shall normally not exceed six (6) months. Extensions in excess of six months may be authorized only for the benefit of the Council.
- C. The written leave of absence requests shall include a written plan that specifies the following:
 1. Requested start date of the leave of absence
 2. Purpose of the leave of absence
 3. A proposed return date
- D. If the plan and leave are approved, the plan must be signed by the employee and the appointing authority. Any changes to the plan must be submitted in writing and signed by all parties prior to effecting the change.
- E. No annual leave or sick benefits or any other fringe benefits shall accrue while an employee is on leave without pay. The employee's anniversary date will be adjusted by the length of the leave granted. Upon expiration of a regularly approved leave without pay, the employee shall be reinstated based on the provisions contained in Section 14, Family Leave.
- F. An employee is not required to use all of his or her annual leave before taking a leave of absence without pay. In the event an employee takes a leave without pay and then fails to return to Council employment for a full ninety (90) days after return from leave, the employee shall be compensated for unused annual leave based upon his or her rate of pay at the time of commencement of leave without pay.
- G. Except as provided for family leave, failure to receive written approval of the request and plan before a leave of absence shall cause the leave to be considered absence without duly authorized leave and subject to disciplinary action and/or termination.

SUSPENDED OPERATIONS LEAVE Used in an emergency when an employee reports to work and work is suspended due to an emergency. Employee can use up to four hours of paid leave for the day then uses annual leave, etc. to cover more than one day of suspended operation days.

INCLEMENT WEATHER

PROCEDURE

- A. Road conditions will be dictated by school closure, school delay reports as to not put an employee at risk by driving into work under poor conditions.
- B. When at all possible the employee should do whatever work that can be done from home.
- C. Employees who do not report to work will be required to use accumulated annual leave or take leave without pay. Sick leave may not be used.
- D. Employees who report late to work or leave early at their own initiative must take accumulated annual leave or compensation time or take leave without pay for the time that they are absent. Sick leave may not be used.

ABSENCE WITHOUT AUTHORIZED LEAVE

Unauthorized absence from work and absence from work for reasons other than those specified above shall be considered absence without duly authorized leave.

PROCEDURE

- A. Employees absent without authorized leave shall forfeit their pay for the total period of such absence.
- B. Absence without duly authorized leave shall be grounds for disciplinary action, including termination.

Policy: Travel Expense Reimbursement

PURPOSE: To establish policy guidelines on reimbursement for expenses while on Council business, to include but not limited to meetings, conferences, conventions, and training sessions.

PROCEDURE

- A. It is the policy of the Council to reimburse Council employees and Council Members for their reasonable expenses actually incurred in the conduct of their business for the Council.
- B. Excessive or unnecessary expenses shall not be approved or reimbursed. The itinerary of an employee or Council Member shall be planned to eliminate unnecessary travel in the performance of work assignments. Air transportation shall be the most economical class. Out of state travel must be authorized in advance by the Council Executive Board.

Northwest Region EMS & TCC Policy Manual

- C. "In Travel Status" is defined as the length of time the person is traveling in order to conduct the business of the Region Council.
Travel status is calculated from the time the person leaves the duty station to the time the person returns to the duty station. Duty Station will be approved by the Board.
- D. Travel expenses will be determined by the Regional Council and will be paid by the Council by the use of the per diem method. The rates are established by the WA State Office of Financial Management.

A Travel Reimbursement Form (Appendix B) including an attestation of attendance must be completed and signed by the employee/Council Member and the supervisor or Chair. (Note: if you're seeking reimbursement from grants, you need to be consistent in how travel is paid.)

- E. Reimbursement shall be made for travel expenses including:
- a. airfare, taxi fares, car rentals, parking fees, and ferry and bridge tolls,
 - b. registration fees required in connection with attendance at conventions, conferences, and official meetings,
 - c. rental of lodgings and meals,
 - d. mileage for use of personal vehicle, when appropriate.

Mileage: Reimbursement for the use of a privately owned motor vehicle (POV) on Council business is to be at the WA State Office of Financial Management rate.

- A. Point to point mileage in the state is determined on the basis of distances shown on an internet map site. Printed documentation of mileage must accompany the Travel Reimbursement Form (Appendix B), or a reference document of repeat route map information is identified on a chart with the printed maps are maintained at the Region Council office.
- B. Daily commute transportation expenses between the traveler's official residence and the regular work site are not reimbursable.
- C. Mileage in a POV from the traveler's official residence or regular work site directly to and/or from a work-related destination is reimbursable by whichever route incurs the least expense for the organization.
- D. Whenever it is feasible for two or more employees or Council Members to travel on official business, carpooling should be arranged.

Northwest Region EMS & TCC Policy Manual

- Meals:** Travelers shall be reimbursed for meal expenses at the set per diem for WA State counties as stated in the WA State Office of Financial Management Per Diem map.
- A. Meal allowances cover the following costs: 1) The basic cost of a meal, 2) any incidental expenses, 3) any applicable sales tax, and 3) any customary tip or gratuity and not to exceed the per diem.
 - B. For overnight travel, meals are to be reimbursed at the rate in effect for the area (on the WA State per diem map) where the traveler stops for sleep. The meal reimbursement rate for the last day of travel (return day) would continue to be the rate for the location where the traveler last stopped for sleep.
 - C. For non-overnight travel, the traveler must meet the “Out of County Rule” criteria:
 - Reimbursement is allowed for meals when the temporary work site is located out of the county of the closer of either the traveler’s official residence or official work site.
- Lodging:** Lodging will be reimbursed at actual costs, as evidenced by a receipt, up to the specific daily maximum allowable lodging rate (on the WA State per diem map). An exception will be made when the traveler attends a meeting, conference, convention, or training session where they are expected to have business interaction with other participants in addition to scheduled events
- A. Reimbursable lodging expenses include basic lodging cost and any applicable sales taxes and/or hotel/motel taxes on that amount.
 - B. Out of County Rule: Reimbursement is allowed for lodging when the temporary work site is located out of the county of the closer of either the traveler’s official residence or official work site.
 - a. An exception will be made if an overnight stay is to avoid having a traveler drive back and forth for back-to-back late night/early morning business
 - b. Regional Councils can approve exemptions for overnight travel when determined to be beneficial to regional business.
 - C. Use of a travel trailer or camper: At the discretion of the Region Council Executive Board, with the traveler’s concurrence, the Region Executive Board may authorize the use of a privately-owned travel trailer or camper when any of the following conditions exist:
 - a. For the employee’s convenience,
 - b. To accommodate employee medical need,

Northwest Region EMS & TCC Policy Manual

- c. Suitable commercial lodging is not available,
- d. There is a benefit to the Region Council for the traveler to remain at the temporary work station

Reimbursement of actual space rental costs (as evidenced by a receipt) for the provision of working accommodations such as electricity and internet access.

The employee is not to be reimbursed for the rental or lease cost of the travel trailer or camper.

Reimbursement Rates:

- A. For lodging, meals and POV mileage rates for WA state, refer to the Per Diem Rates map on WA Office of Financial Management's Administrative & Accounting Resources website at:
<http://ofm.wa.gov/resources/travel.asp>

Non- Reimbursement Expenses:

Certain travel expenses are considered personal and not essential to the transaction of Council business. Such non-reimbursable expenses include, but are not limited to:

- a. laundry, valet service, entertainment expenses, radio and television rental
- b. taxi fares, car rental, and other transportation costs to places of entertainment and other similar facilities,
- c. parking tickets and moving violations,
- d. medical and hospital services,
- e. personal telephone calls, except when a brief call is made to advise the employee's family of a change in travel plans necessitated by Council business,
- f. food and beverages other than regular meals required by travel in the course of Council business. Alcoholic beverages are not a reimbursable expense.

Policy: Grant Administration

PURPOSE

As a 501-c3, non-profit organization, the Region will apply for, contract for, receive, and expend for its purposes any appropriations or grants from the state, its political subdivisions, the federal government, or any other source public or private, in accordance with the appropriations process in order to achieve its mission as well as provide grants to sub-grantee non-profit organizations and agencies within its region for the same purpose.

PROCEDURE (GRANT/DONATION SEEKING)

- A. The Executive Director will keep the board informed of all grant seeking activities in which the Region is participating.
- B. Employees will not be compensated above and beyond their regular salaries for their grant seeking efforts.
- C. A reasonable amount of time and effort will be spent on grant seeking, not to infringe on the usual business of the Region council.
- D. If awarded a grant or donation, the Region will follow all guidelines and rules as specified by the grantor.
- E. If awarded a grant or donation, the Region will insure all reports that are mandated in the grant regulations or in the special conditions, including periodic progress reports and financial status reports, will be filed in a timely manner according to the requirements as set forth in the individual grant.
- F. Records to support all expenditures charged to individual grants, including time and effort reports for all individuals reimbursed under the award will be retained according to the records retention schedule.

PROCEDURE (PROVISION OF GRANTS TO SUB-GRANTEES)

- A. The Region may obtain grants and then award said funds to non-profit EMS agencies within its region via sub-grants for services or programs.
- B. Grants in the form of subsidies or general assistance shall be administered by the Region in accordance with legal mandates restricting or defining the use of such funds.
- C. Grants for the provision of programs and/or services shall not be authorized without agreements or contracts which:
 1. specify the purpose for the grant;
 2. specify method and terms of payment;
 3. define service or product, if required;
 4. outline any legal limitations on the funding;
 5. set a time limit for distribution of funds;

Northwest Region EMS & TCC Policy Manual

6. require maintenance of records for a specified period of time;
 7. provide for auditing; and
 8. provide for termination of the agreement/contract
- D. Granting Process (Non-Competitive Grants)
1. Non-competitive grants will be used to distribute training funds within the region.
 2. A completed application stating how the grant funds will be used must be prepared by and approved by the county council prior to being submitted to the region council.
 3. The region council will encourage county councils to coordinate training efforts as a way to stretch grant funds.
 4. Submissions will be evaluated by a discussion of the full board and funds will be awarded based upon need.
 5. Any grant funds not used by the requesting county council will be re-appropriated upon agreement by the region council.
- E. Granting Process (Competitive Grants)
1. Grants for injury prevention activities will be accomplished with a competitive grant process.
 2. RFPs will be announced on the Region's website as well as sent to all county EMS councils.
 3. RFP applications shall be completed by the potential sub-grantee and shall include all required information, attachments, and additional information specified in order to be considered for the grant.
 4. Unless alternate offers are clearly requested or allowed, only those RFPs which are submitted by the due date as specified on the RFP shall be considered.
 5. Grant applications will be evaluated by a committee on the basis of:
 - a. The qualifications of the proposals, established by professional accomplishment and previous experience;
 - b. Aspects of proposals which provide benefit, other than those based on cost; and
 - c. Other provisions of proposals which are determined to serve the best interests of the region
 6. Awards shall be made within sixty (60) business days of the close of the application period unless expressly provided for to the contrary in the solicitation.
- F. Grievance Procedure
1. Any actual or prospective sub-grantee who is aggrieved in connection with the solicitation or selection for award may file a protest with the Region Council Executive Board. A protest or notice of other controversy must be

Northwest Region EMS & TCC Policy Manual

- filed promptly and in any event within two (2) calendar weeks after such aggrieved person knows or should have known of the facts giving rise thereto. All protests or notices of other controversies must be in writing.
2. In the event of a timely filed protest, the Region shall not proceed further with the solicitation or award involved, until the Executive Board makes a written determination that continuation of the procurement is necessary to protect substantial interest of the Region.
- G. Violations
1. Deliberate disregard for regulations, policies and procedures shall be subject to disciplinary action, including revocation of the grant award.
 2. Decision for termination of sub-grant funds will be initiated by the Executive Director, with approval of the Executive Board, and will be based upon the sub-grantees inability to perform in accordance with the general and/or specific conditions of the sub-grant award, or unsatisfactory or non-filing of progress reports or any other reports or statements stipulated under the sub-grant conditions.

Policy: Records Request

PURPOSE: The Council shall comply with the Public Records Act by providing records requested in accordance with RCW 42.14.250-.348 including written procedures for handling requests.

PROCEDURE

- A. The Council's Records Request Procedures & Form shall be publicized on the regional website and be available in the regional office during regular business hours.
- B. All Regional Council employees shall accept records requests made in person at the regional council office, by mail or by FAX. **Requests will not be accepted by phone.**
- C. All records requests forms must be date stamped upon receipt at the Regional Council office.
- D. Requestors should complete the "Public Records Request" form. (See Appendix: C Request for Public Records Form) All records requests must be accompanied by a request form. The description of the records request should be as precise as possible.
- E. If the record is unknown, obscure, or the employee is not certain of the appropriate response, they may communicate with the requestor to clarify the request. Communication for clarification purposes should be memorialized in written form, date stamped, and maintained with the request.
- F. The Executive Director and any member of the Regional Council Executive Board will be responsible for the release of requested records.

Northwest Region EMS & TCC Policy Manual

- G. The Council shall respond to each request within five (5) business days after the request was received. The response may:
- a. Allow full access to the requested record(s).
 - b. Deny access. If so, the following process shall be used:
 - i. Any denial shall be in writing;
 - ii. The writing shall identify the type of record being withheld, the date it was created, the author of the record, the recipient(s) of the record, and the number of pages withheld;
 - iii. Any denial shall cite the statutory basis for the denial; and
 - iv. Any denial shall give a brief explanation of how the exemption applies to the requested record(s).
 - c. Allow access with exempt information deleted or redacted. Deleted or redacted portions of the disclosed records must be identified in written form and retained in a secure location.
 - d. Give a reasonable estimate of the time required to complete the response. Additional time may be needed to respond based upon the need to:
 - i. Clarify the request;
 - ii. Locate and assemble the records requested;
 - iii. Notify third-parties or agencies affected by the request; or
 - iv. Determine whether any of the information is exempt and whether a denial should be made as to all, or part of the request. No denial shall be made without the input of the Council Executive Board.
- H. A copy of the original will be returned to the requestor when the request is complete and the original of the form, along with any supporting documentation, shall be filed at the Regional Council office.
- I. Records may be reviewed inside the Regional Council office during normal business hours without charge. If copies are requested, requestor must pay the actual per page cost. No cash will be accepted. Payment by check or credit card only.

Policy: Records Retention

PURPOSE: This records retention policy contains Local Government CORE elements and DAN numbers for records that regional councils generate. This policy ensures that the Region's records are appropriately retained, destroyed and transferred in accordance with current approved records retention schedules published by Washington State Archives pursuant to RCW 40.14.070.

PROCEDURE

- A. Regional Council staff will annually review the current Local Government CORE which is accessed online at <http://www.sos.wa.gov/archives/recordsretentionschedules.aspx>
- B. Regional Council staff may sign up for CORE updates at: <http://listserv.wa.gov/cgi-bin/wa?SUBED1=LOCALGOVTRECORDSUPDATES&A=1>
- C. Regional Council staff will list all records that are destroyed according to the Destruction Log.
- D. Regional Council staff will add any applicable paperwork per Secretary of State's Office requirements.

Policy: Open Public Meetings

PROCEDURE

- A. The Council shall comply with Open Public Meetings Act RCW 42.30.030 which requires all meetings of the Council be open and public and all persons shall be permitted to attend any meeting, with the exception of an executive session held during a regular or special meeting.
- B. The Council shall comply with RCW 42.30.075 which requires the meeting schedule of the time and place of each meeting be filed on or before January of each year. Notice of any change in the meeting schedule will be distributed at least 20 days prior to the rescheduled meeting date.
- C. The Council shall comply with RCW 42.32.030 which requires all minutes of all regular and special meetings of the Council to be promptly recorded and made available for public review.

Policy: Conflict of Interest

Article 1 Purpose

The purpose of this conflict of interest policy is to protect this tax-exempt Organization's interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of the Organization or might result in possible excess benefit transaction. This policy is intended to supplement but not replace any applicable state and federal laws governing conflict of interest applicable to non-profit and charitable organizations.

Article II Definitions

1. Interested Person – any director, principal officer, or member of a committee with governing board delegated powers who has a direct or indirect financial interest as defined below:
2. Financial Interest – A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:
 - a. An ownership or investment interest in any entity with which the Organization has a transaction or arrangement;
 - b. A compensation arrangement with the Organization or with any entity or individual with which the Organization has a transaction or arrangement, or
 - c. A potential ownership or investment interest in, or compensation arrangement with any entity or individual with which the Organization is negotiating a transaction or arrangement.

Compensation includes direct and indirect remuneration as well as gifts or favors that are not in substantial.

A financial interest is not necessarily a conflict of interest. Under Article III, Section 2, a person who has a financial interest may have a conflict of interest only if the appropriate governing board or committee decides that a conflict of interest exists.

Article III Procedures

1. *Duty to Disclose* – In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of committees with governing board delegated powers considering the proposed transaction or arrangement.
2. *Determining Whether a Conflict of Interest Exists* – After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

Northwest Region EMS & TCC Policy Manual

3. *Procedure for Addressing the Conflict of Interest:*
 - a. An interested person may make a presentation at the governing board or committee meeting, but after the presentation, he/she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.
 - b. The chairperson of the governing board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
 - c. After exercising due diligence, the governing board or committee shall determine whether the Organization can obtain, with reasonable efforts, a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
 - d. If a more advantageous transaction or arrangement not producing a conflict of interest is not reasonably possible under circumstances, the governing board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in the Organization's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination it shall make its decision as to whether to enter into the transaction or arrangement.
4. *Violations of the Conflicts of Interest Policy*
 - a. If the governing board or committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.
 - b. If, after hearing the member's response and after making further investigation as warranted by the circumstances, the governing board or committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

Article IV Records of Proceedings

The minutes of the governing board and all committees with board delegated powers shall contain:

- a. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the governing board's or committee's decision as to whether a conflict of interest in fact existed and the reason for the governing board's or committee's decision.
- b. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

Northwest Region EMS & TCC Policy Manual

Article V Compensation

- a. A voting member of the governing board who receives compensation, directly or indirectly from the Organization for services is precluded from voting on matters pertaining to that member's compensation.
- b. A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the Organization for services is precluded from voting on matters pertaining to that member's compensation
- c. No voting member of the governing board or any committee whose jurisdiction includes compensation matters and who receives compensation either directly or indirectly from the Organization either individually or collectively is prohibited from providing information to any committee regarding compensation

Article VI Annual Statements

Each director, principal officer, and member of a committee with governing board delegated powers shall annually sign a statement which affirms such person (Appen.A):

- a. Has received a copy of this Conflict of Interest Policy
- b. Has read and understands the Policy
- c. Has agreed to comply with the Policy; and
- d. Understands the Organization is charitable and in order to maintain its federal tax exemption, it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

Article VII Periodic Reviews

To ensure the Organization operates in a manner consistent with 501-c3 purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

- a. Whether compensations arrangements and benefits are reasonable based on complete survey information and the result of arm's length bargaining.
- b. Whether partnerships, joint ventures, and arrangements with management organizations conform to the Organizations written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further 501-c3 purposes, and do not result in incurrence, impermissible private benefit, or an excess benefit transaction.

Article VIII Use of Outside Experts

When conducting periodic reviews as provided in Article VII, the Organization may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the governing board of its responsibility for ensuring periodic reviews are conducted.

Northwest Region EMS & Trauma Care Council Board of Directors

Conflict of Interest Policy
Annual Statement Signature Form

Per Article of the Northwest Region EMS & Trauma Care Council Board of Directors Conflict of Interest Policy, members of the Board as identified below affirm that each has received a copy of this Conflict of Interest Policy; has read and understands the Policy; agrees to comply with the Policy; and understand the Organization is 501-c3, Non-Profit and in order to maintain its federal tax exemption, it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

Member Name, Title	Member Signature	Date
1. Terry Anderson, Chairman	_____	_____
2. Rebecca Wilson, Vice Chair	_____	_____
3. Steve Engle, Past Chair	_____	_____
4. Brad Martin, Secretary/Treasurer	_____	_____
5. Tim McKern, At Large	_____	_____
6. Sam Phillips, At Large	_____	_____
7. René Perret, Director	_____	_____



Public Records Request

Requests accepted by mail, fax, or in-person only. We do not accept Records Requests by phone.

The following information is to be filled out by the person requesting records:

Date of Request: _____

Name of Requestor: _____

Address: _____

Phone: _____

Requestor email address: _____

Title of Record(s) (if known): _____

Dates of Record(s) (if known): _____

Please describe the records you are requesting and any additional information that will assist us in locating this information for you as quickly as possible. Failure to provide information sufficient to identify the records may result in denial of the request.

I understand I may review records without charge. I further understand that if I request copies, I must pay the NWREMS actual per page cost. I agree to prepay all duplication charges associated with my request (checks only).

- I wish to have copies of the records indicated above.
- I wish to make an appointment to review the records indicated above before copies are made.

Method by which I would like to receive the information I have requested:

- Mailed to me
- Call me and I will pick up in person

I certify that any lists of individuals obtained through this request for public records will not be used for commercial purposes, per RCW 42.56

Signature Date

NWREMS Staff use only:

Date received:	Comments:
Date completed:	
Request denied (circle one): Yes No	
Copies provided (circle one): Yes No	Fee\$ _____ Total\$ _____
Request completed by:	Payment Method (circle one): Check # _____

