

**POLICIES AND PROCEDURES FOR
H.O.P.E.(HELPING OTHER PEOPLE EVERYWHERE) OTTAWA-CARLETON
INCORPORATED**

TABLE OF CONTENTS

1. GOVERNANCE.....	4
1.1. H.O.P.E. GOVERNANCE	4
1.2. RESPONSIBILITIES	4
1.2.1. <i>Trusteeship</i>	5
1.2.2. <i>Legal Accountability</i>	5
1.2.3. <i>Policy Determination</i>	5
1.2.4. <i>Program Development</i>	5
1.2.5. <i>Determination of Goals and Objectives</i>	6
1.2.6. <i>Evaluation of Results</i>	6
1.2.7. <i>Review Board Performance</i>	6
1.2.8. <i>Board Manual</i>	6
1.3. DUTIES OF DIRECTORS	6
1.4. ROLES OF THE DIRECTORS.....	7
1.5. COMMITTEES OF THE BOARD	7
2. ADMINISTRATIVE	8
2.1. OPERATIONAL HOURS	8
2.2. HOLIDAYS	8
2.3. RECORDS.....	8
2.4. MEETINGS	8
2.5. GIFTS	9
2.6. SECURITY	9
2.7. CORRESPONDENCE.....	9
2.8. MEMBERSHIP	9
2.9. CORPORATE SPONSORSHIP	9
2.10. PUBLIC RELATIONS	9
2.11. PERSONNEL POLICIES.....	9
2.12. SCREENING AND INTAKE PROCESSES FOR H.O.P.E.	9
2.12.1. <i>Screening Process</i>	10
2.12.2. <i>Intake Processes</i>	10
3. FINANCIAL.....	11
3.1. FISCAL YEAR.....	11
3.2. CHEQUE AUTHORIZATION FOR GENERAL MEMBERSHIP AND EVENT PLANNING COMMITTEES.....	11
3.3. SIGNING AUTHORITY	11
3.4. BANKING ARRANGEMENTS	11
3.5. FINANCIAL INFORMATION ARCHIVING	11
3.6. BUDGET	11
3.7. MAJOR EXPENSES (NOT EVENT AND/OR NOT BUDGETED FOR).....	11
3.8. CONTRACTING ON BEHALF OF THE CORPORATION	11
4. MEETING PROCEDURES.....	12
4.1. AGENDA	12
4.2. VOTING	12
4.3. MEMBERS IN GOOD STANDING	12
4.4. MINUTES	12
4.5. BOARD OF DIRECTORS MEETINGS.....	12
4.6. ANNUAL GENERAL MEETING (AGM)	12

4.7.	GENERAL MEMBERSHIP MEETINGS.....	13
4.8.	CONFLICT OF INTEREST.....	13
5.	CHARITY SELECTION.....	14
5.1.	ELIGIBILITY OF POTENTIAL RECIPIENT CHARITIES.....	14
5.2.	COMMUNICATION TO POTENTIAL RECIPIENT CHARITIES.....	14
5.2.1.	<i>Charity Application Form.....</i>	<i>14</i>
5.3.	PROVIDING CHARITY INFORMATION TO MEMBERS OF H.O.P.E.....	14
5.4.	CHARITY SELECTION NIGHT.....	14
5.5.	CHARITY SELECTION PROCESS.....	14
5.6.	COMMUNICATION TO CHARITY APPLICANTS.....	15
5.7.	CHARITY AGREEMENT.....	15
5.8.	DISPERSAL OF FUNDS.....	16
5.9.	ACCOUNTABILITY.....	16
5.10.	AUDIT PROTOCOL.....	16
6.	CONDUCT, ETHICS, AND CONFIDENTIALITY.....	17
6.1.	HARASSMENT / DISCRIMINATION.....	17
6.1.1.	<i>Statement of Principles.....</i>	<i>17</i>
6.1.2.	<i>Application.....</i>	<i>17</i>
6.1.3.	<i>Harassment.....</i>	<i>17</i>
6.1.4.	<i>Steps to Take if You Are Being Harassed.....</i>	<i>18</i>
6.2.	CODE OF CONDUCT FOR H.O.P.E. VOLUNTEERS.....	19
6.2.1.	<i>Definition of Volunteer.....</i>	<i>19</i>
6.2.2.	<i>Purpose of Volunteer Policies.....</i>	<i>19</i>
6.2.3.	<i>Community Service.....</i>	<i>19</i>
6.2.4.	<i>Liability.....</i>	<i>19</i>
6.2.5.	<i>Volunteers Under 18.....</i>	<i>20</i>
6.2.6.	<i>Discrimination.....</i>	<i>20</i>
6.2.7.	<i>Service at the Discretion of H.O.P.E.....</i>	<i>20</i>
6.2.8.	<i>Representing H.O.P.E.....</i>	<i>20</i>
6.2.9.	<i>Screening / Reference Checks.....</i>	<i>20</i>
6.2.10.	<i>Confidentiality.....</i>	<i>20</i>
6.2.11.	<i>Copyright / Ownership Issues.....</i>	<i>20</i>
6.2.12.	<i>Contacting Other Volunteers.....</i>	<i>20</i>
6.2.13.	<i>Resigning a Volunteer Role.....</i>	<i>21</i>
6.2.14.	<i>Non-compliance / Dismissal.....</i>	<i>21</i>
6.3.	CODE OF ETHICS.....	21
6.3.1.	<i>Personal and Professional Integrity.....</i>	<i>21</i>
6.3.2.	<i>Mission.....</i>	<i>21</i>
6.3.3.	<i>Ethics and Governance.....</i>	<i>21</i>
6.3.4.	<i>Legal Compliance.....</i>	<i>22</i>
6.3.5.	<i>Responsible Stewardship.....</i>	<i>22</i>
6.3.6.	<i>Openness and Disclosure.....</i>	<i>22</i>
6.3.7.	<i>Inclusiveness and Diversity.....</i>	<i>23</i>
6.3.8.	<i>Fundraising.....</i>	<i>23</i>
6.4.	CONFLICT OF INTEREST.....	23
6.4.1.	<i>Definition of Conflict of Interest.....</i>	<i>23</i>
6.4.2.	<i>Benefits, Advantages, Fees, Honoraria or Favours.....</i>	<i>24</i>
6.4.3.	<i>Use of Information.....</i>	<i>24</i>
6.4.4.	<i>Disclosure of Business, Commercial or Financial Interests.....</i>	<i>24</i>
6.5.	CONFIDENTIALITY.....	24
6.6.	ETHICAL FUNDRAISING & FINANCIAL ACCOUNTABILITY CODE (IMAGINE CANADA).....	25
6.6.1.	<i>Donor Policies and Public Representations.....</i>	<i>25</i>

6.6.2.	<i>Fundraising Practices</i>	26
6.6.3.	<i>Financial Practice and Transparency</i>	28

1. Governance

1.1. *H.O.P.E. Governance*

H.O.P.E. (Helping Other People Everywhere) Ottawa-Carleton Incorporated, hereto referred to as the "Corporation" or "H.O.P.E.", is an incorporated volunteer organization governed by a volunteer Board of Directors (the "Board") in accordance with their rights and responsibilities. The Board consists of up to six elected positions (President, Vice-President, Secretary, and one to three Member(s) at Large). The Treasurer is an appointed position. All Board members are Directors of the Corporation, however only the positions of President, Vice-President, Treasurer, and Secretary are Officers of the Corporation and as such form the Executive Committee.

The Board shall serve as such without remuneration, and in no circumstance receive, either directly or indirectly, any profit from their position, provided that a Director may be repaid reasonable out-of-pocket expenses incurred in the performance of his or her duties. All Board members are subject to the Corporation's Screening, Code of Conduct, Code of Ethics, Confidentiality and Conflict of Interest Policies.

The Board shall oversee that the business of the Corporation is carried out without the purpose of gain for its volunteer members and that any profits or any other accretion to the Corporation shall be used solely to promote its mandate and objective.

The Board is supported by a paid staff consisting of an Executive Director and other staff as required and approved by the Board. With the exception of the independent financial contractors, all staff reports to the Board through the Executive Director. Independent financial contractors, such as the bookkeeper and auditor, report to the Board through the Treasurer, or in the absence of the Treasurer, the President.

1.2. *Responsibilities*

The responsibilities of the Board must be in accordance with the "not-for-profit" corporation act¹² of the Province of Ontario. For the purpose of the Board, emphasis is placed on the general responsibilities, not in the legalistic sense, but rather toward fulfilling the Board's obligation to the Corporation and ultimately toward the community when one accepts the invitation to serve.

Since it is generally accepted that responsibilities are obligations and functions are tasks, attention will be given primarily to responsibilities with merely a listing of some of the functions the Executive performs. They are as follows:

¹<https://www.ontario.ca/laws/statute/10n15>

²http://www.sse.gov.on.ca/mcs/en/Pages/Not_For_Profit.aspx

1.2.1. Trusteeship

The single most important responsibility of the Executive is trusteeship. This implies the safeguarding of assets. Trusteeship also includes accountability of programs and services to the community.

1.2.2. Legal Accountability

Common law liabilities may arise when directors act outside of the scope of authority provided in the corporation's governing documents. The following are some of the most common causes of personal liability for Board members:

- Directors **sign contracts** on behalf of the organization without proper authorization from the Board. The details of the authority for directors to execute legal documents are outlined in By-law section “General>Execution of Documents”.
- Directors commit tortious acts such as negligent mismanagement or careless oversight causing injury, i.e. situations where the Board knew of, or ought to have foreseen, a systemic problem and failed to address it.³
- Directors **breach their fiduciary duty**; for example, “the corporation suffers a loss that can be directly attributed to their actions or omissions” in the proper exercise of their duties.
- Directors **breach their trustee duties**. This includes use of funds or property other than for the purposes intended by funders or donors, improper investment of funds and remuneration of directors other than for personal expenses incurred in relation to their director’s duties. Charitable corporations are held to a higher standard in this regard than not-for- charitable status.
- **Employee and workplace liability**. Directors may be held responsible for “all debts owed to employees or the corporation for services provided for the corporation”. The liability is joint and several, which means that each director is personally liable for the full amount; for example *up to six months’ wages*, guaranteed bonuses and vacation pay, in the case of Ontario.

1.2.3. Policy Determination

The Board is responsible for the determination of the policies of the Corporation. It must be remembered that policies are guidelines and as such set parameters within which the Board and its volunteer members can and must operate. For example, it is the Board's decision to determine the eligibility requirements of a prospective recipient of Corporation funds. Likewise, the Board is responsible for making policy decisions regarding the pursuit of funds.

1.2.4. Program Development

The Board is responsible for the determination and development of programs appropriate to the Corporation's purpose. All approved programs must be accompanied by approved budgets.

³<https://www.ic.gc.ca/eic/site/cilp-pdci.nsf/eng/cl00693.html>

1.2.5. Determination of Goals and Objectives

The Board is responsible for the determination of goals and objectives of the Corporation. The goals must be translatable into specific endeavours that support the Corporation. Goals and objectives centre on the specifics of programs, including time frames, number of charities served, and cost factors.

1.2.6. Evaluation of Results

The Board must ensure that adequate control is exercised. Control systems should be developed to see that the Board receives the information it needs to carry out its responsibilities.

1.2.7. Review Board Performance

The Board shall evaluate its own performance so as to demonstrate responsibility and to provide an accounting of its stewardship. The evaluation will demonstrate the seriousness of the trusteeship obligation.

Annual reviews pinpoint weaknesses and indicate needed changes in operating policies. In keeping with this, the evaluation should include policy administration, personnel, finance, etc.

1.2.8. Board Manual

The Board should maintain and update on a regular basis a “Board Manual”. This Manual will serve as a reference for the many aspects of the organization coming under review.

The following information constitutes the major items to be included in the Board Manual:

- By-laws of the organization (each page of By-laws should be followed by a blank page, such that all changes/addenda can be written in and time and date stamped)
- job descriptions of all key staff personnel
- a list of Board members, their addresses and phone numbers
- a list of all members in good standing, their addresses and phone numbers
- a list of all programs for the current year
- Board specific operating guidelines
- sources of all organizational funding
- the annual audit of the organization
- personnel policies of the organization
- copies of the organization's contracts with other organizations
- insurance contracts
- Canadian Revenue Agency reporting
- approved audit of the financial state of the organization
- a report of all changes

1.3. Duties of Directors

The By-laws state the Duties of Directors; see “Powers and Duties of the Board of Directors>Duties of Directors”.

1.4. Roles of the Directors

The By-laws state the Roles of the Directors; see “Powers and Duties of the Board of Directors>Roles of the Board of Directors”.

1.5. Committees of the Board

The By-laws state the Committees of the Board; see "Meetings of the Board>Committees of the Board".

2. Administrative

2.1. Operational hours

The office is to be staffed for eight (8) hours daily, from 9:00 am to 5:00 pm.

2.2. Holidays

H.O.P.E. recognizes the following days with pay:

- New Year's Day
- Family Day
- Good Friday
- Easter Monday
- Victoria Day
- Canada Day
- Civic Holiday
- Labour Day
- Thanksgiving Day
- Christmas Day
- Boxing Day

When the holiday falls on a weekend, the next working day is observed as the holiday. If the Federal or Provincial Government declares a day a holiday, it will be observed.

When a statutory holiday falls within an employee's annual vacation, an alternate day's leave will be granted.

If an employee is absent without pay immediately preceding, during or immediately following a holiday, they are not entitled to pay for the holiday.

2.3. Records

Computer records shall be kept of all H.O.P.E. business and correspondence; computer files will be regularly updated, and back-ups made periodically.

Computer software and associated documentation is the licensed property of H.O.P.E.; physical documents belonging to H.O.P.E. shall not be removed from the office premises, with the exception of off-site back-ups.

Notification must be given to H.O.P.E. staff prior to a volunteer member's computer usage.

2.4. Meetings

See By-law section "Annual and General Membership Meetings of Members".

All General Membership and Annual General Meeting agendas and materials shall be made available to the membership a minimum of one (1) week before the meeting.

All General Membership and Annual General Meeting minutes shall be made available to the membership within four (4) weeks of the meeting.

2.5. Gifts

Receipt of personal gifts or remuneration to H.O.P.E. volunteer members for their participation in H.O.P.E.-related activities is discouraged. Unused donations, food, beverages, alcohol, etc., shall be disposed of at the discretion of the office administration.

2.6. Security

In the interests of security and safety, staff and volunteer members are encouraged to utilize a "buddy system" when working late at the office. The last person to leave must ensure that all doors are locked, lights are out, and alarm system activated.

2.7. Correspondence

All correspondence pertaining to charity requests for funding and assistance shall be date stamped, filed and responded to in due time; a record of all outgoing correspondence shall be kept on file, either hard copy or digital.

2.8. Membership

At no time shall the H.O.P.E. membership list be released to the public; Board of Directors' names, however, are deemed public information.

2.9. Corporate Sponsorship

The Executive Director and Operations Manager shall have signing authority for all corporate sponsorship contracts.

First right of refusal shall be negotiated only with final approval of the H.O.P.E. Board of Directors or the Executive Director.

2.10. Public Relations

Official media spokespersons for H.O.P.E. shall be the President and the Executive Director. Others may also act as event spokespersons under the direction of the Executive Director.

2.11. Personnel Policies

H.O.P.E. Employment Guidelines apply to all employees of H.O.P.E. Wherever feasible, the Executive Director will endeavour to be flexible in meeting employee requirements and needs.

Employment Guidelines are contained in a separate document.

2.12. Screening and Intake Processes for H.O.P.E.

In order to protect H.O.P.E. and its membership from potentially inappropriate or illegal activities of volunteer members, H.O.P.E. has instituted a screening process for Planning Team members, new H.O.P.E. members, Event Managers, and members of the Board of Directors.

2.12.1. Screening Process

Initial involvement with H.O.P.E. requires an individual to:

- submit a curriculum vitae to the H.O.P.E. office
- conduct an interview with someone in a supervisory role to determine the candidate's interests and skill set.

Candidates who are successful and are selected will be notified.

Any individual involved with H.O.P.E. may be asked at any time to complete an Ottawa Police Service Level 1 Criminal Record Check, or equivalent, by the Board of Directors at their discretion. The results will be reviewed by Board of Directors.

2.12.2. Intake Processes

2.12.2.1. Planning Team Members

Once an individual fulfils the screening requirements as described in 2.12.1. above, they will be offered a volunteer position on the event Planning Team.

2.12.2.2. New H.O.P.E. Members

See By-law section "Membership>Eligibility of Members" and "Membership>Members".

2.12.2.3. Event Managers

Expressions of interest in an Event Manager position should be directed to the Operations Manager or Executive Director. The position will be filled at the discretion of the Operations Manager and Executive Director through an interview process.

2.12.2.4. Board of Directors

See By-law section "Board of Directors and Officers>Eligibility" and Board of Directors and Officers>Elections Process>Confirmation and Presentation of Nominees".

The Treasurer shall have relevant financial experience, as determined by the Board, for example in an organization of similar size and revenues.

An Ottawa Police Service Level 1 Criminal Record Check, or equivalent, will be completed by each director within 60 days of their appointment to the Board, and each year thereafter within 60 days of the Annual General Meeting. The results will be reviewed by the Board of Directors. The fee for the above Record Check will be covered by H.O.P.E.

3. Financial

3.1. *Fiscal Year*

The By-laws state the Fiscal Year; see “Fiscal Year”.

3.2. *Cheque Authorization for General Membership and Event Planning Committees*

Cheques will only be issued upon completion of a cheque request form or with an invoice except for administrative items that includes a contract and/or bill clearly indicating all applicable taxes.

Expense reimbursement forms are available in a separate document.

3.3. *Signing Authority*

The By-laws state the Signing Authority; see “Execution of Documents>Signing Authority”.

3.4. *Banking Arrangements*

The By-laws state the Banking Arrangements; see “Banking Arrangements”.

3.5. *Financial Information Archiving*

All relevant financial information must be kept in the H.O.P.E. office for two (2) fiscal years. Thereafter the information may be duly documented and sent to storage. All information must be retained for a period of seven (7) years.

3.6. *Budget*

The Treasurer in conjunction with the Executive Director is responsible for the development of the organisational budget. In conjunction with the Operations Manager, the Executive Director prepares all event-specific budgets. All budgets must then be approved by the Board of Directors. The Treasurer will report to the membership upon request, no less than once a year.

3.7. *Major Expenses (not event and/or not budgeted for)*

Proposals from up to three (3) suppliers must be obtained, if available, and evaluated prior to making any contractual commitments.

3.8. *Contracting on behalf of the Corporation*

See By-law section “Execution of Documents>Contracting on Behalf of the Corporation”.

4. Meeting Procedures

The elements listed below are required for Board and General Membership Meetings, and recommended for all meetings of the Corporation.

4.1. *Agenda*

An agenda will always include the following:

- Approval of agenda;
- Approval of previous minutes;
- Welcome to new attendees;
- Introduction of new members;
- Topics to be discussed and;
- Other business.

4.2. *Voting*

The by-laws state the quorum and votes to govern; see “Annual and General Membership Meetings of Members>Quorum and Annual and General Membership Meetings of Members >Votes to Govern”.

4.3. *Members in Good Standing*

The By-laws state the Members in Good Standing; see “Annual and General Membership Meetings of Members>Persons Entitled to be Present”.

Good standing is determined at the discretion of the Board of Directors.

4.4. *Minutes*

Meeting minutes will include the following, as applicable:

- attendees
- the outcome of each agenda item
- an indication of open, pending and closed items
- the result of any votes, and
- the date of the next meeting.

Where meeting minutes are not taken and a decision is made, a Record of Decision will be recorded.

4.5. *Board of Directors Meetings*

The By-laws state the details of Board of Directors Meetings; see “Meetings of Directors”.

4.6. *Annual General Meeting (AGM)*

See By-law Section "Annual and General Membership Meetings of Members> Annual and General Membership Meetings". The details of the AGM are outlined in By-law section “Annual and General Membership Meetings of Members >Business at an Annual General Membership Meeting”.

4.7. *General Membership Meetings*

The details of the General Membership Meetings are outlined in By-law section “Annual and General Membership Meetings of Members >Calling of Meetings” and “Annual and General Membership Meetings of Members >Business at a General Membership Meeting”.

4.8. *Conflict of Interest*

See Section 6.4 of this document - Conduct, Ethics, and Confidentiality>Conflict of Interest.

5. Charity Selection

5.1. Eligibility of Potential Recipient Charities

All not-for-profit charitable organizations having a charitable registration number in the province of Ontario will be permitted to apply for H.O.P.E. funding

5.2. Communication to Potential Recipient Charities

H.O.P.E. will advertise the availability of Funding Applications through the HOPE website.

Coordinates of all Charities that inquire about funding throughout the year will be kept on file. Charities will be advised when the application is available on the website.

5.2.1. Charity Application Form

The Charity Application Form can be found in a separate document.

5.3. Providing Charity Information to Members of H.O.P.E.

A designated staff member or volunteer will prepare a tabular representation of charity information from the Application Form, a ballot form and a proxy form (the latter two must be approved by the Executive Director). The tabular summary, ballot form and proxy form will then be provided to all members in good standing no later than the end of October. An example of the charity summary matrix, the ballot and proxy forms can be found in a separate document.

5.4. Charity Selection Night

The Charity Selection Night will take place at a location selected by the board and take place by the end of October.

In general, the Charity Selection Night will take before the end of October.

Voting will be conducted as follows:

- All members in good standing will be eligible to vote.
- Any member with an executive role in one or more of the charities being considered for funding will be identified as such prior to the vote.
- The vote will be by secret ballot.
- Together the Vice-President and a staff member will tabulate in-person and proxy votes.
- The Secretary will announce the results

5.5. Charity Selection Process

The number of charities to be selected is three (3) per category in each of the two categories below (for a total of six per year). This number may be modified by the Board of Directors prior to the charity selection process to meet the operational and/or financial needs of H.O.P.E. in any given year.

Charity selection voting procedure will be as follows:

- a) Each charity will be placed in one of the two following categories:

- I. University/Hospital and National Umbrella
- II. Grass Roots.

- b) Each volunteer member in good standing will be eligible to vote for up to three (3) charities within each category. Ballots with fewer than three (3) votes per category are acceptable.
- c) In each category, members shall vote for up to three (3) charities by ranking their preferences from 1 to 3, with 1 being their first choice and 3 being their third choice.
- d) Each charity is awarded a set number of points corresponding to the position in which they are ranked on each ballot, as follows:

Ranking	Points
1 st	3
2 nd	2
3 rd	1

- e) Once all votes have been counted, the charities with the most points in each category are selected as the recipient charities for the event and will receive proceeds from the event.
- f) **Ties:** In the event of a tie which results in no clear winner for one or more of the recipient charity spots in a category, the following process shall take place:
 - I. **Recount:** The point total for each charity in the tie situation shall be recalculated. Points will only be awarded for first and second place rankings, as per the table in section 5.5.d). No points will be awarded for a 3rd place ranking in the recount.
 - II. **Revote:** In the event that the recount continues to result in a tie situation between two or more charities, members present in person at the charity selection meeting shall revote for the those charities following the same procedure as the original vote. There shall be no proxy voting in this situation.
 - III. **Draw:** In the event that the revote continues to result in a tie situation between two or more charities, the winner shall be determined by a draw between those tied charities, to be conducted by a member of the Board.

5.6. *Communication to Charity Applicants*

All recipient charities will be called by the Executive Director and will receive formal confirmation from the H.O.P.E. President within seven (7) days of the tabulation of votes.

5.7. *Charity Agreement*

After the charity is selected, a partnership agreement between H.O.P.E. and the recipient charity will be developed. This partnership agreement details the commitments of the recipient charity. This includes meeting attendance, volunteer recruitment, participation and accountability. The partnership agreement will be signed by the Executive Director and the designated charity representative.

5.8. *Dispersal of Funds*

The funds will be distributed to recipient charities at the annual Celebration of H.O.P.E., to be held prior to the end of November.

5.9. *Accountability*

All recipient charities are required to provide an accurate accounting of the disbursement of funds to H.O.P.E. before June 1 of the year following their receipt. In the event that funds have not been fully dispersed by this date, a preliminary project report will be required on June 1 detailing expenditures to date and plans for the disbursement of the remainder of funds. In these cases, semi-annual updates are required until all funds received from H.O.P.E. have been disbursed, or until the H.O.P.E. Board of Directors waives this requirement. An example of the Recipient Charity Final Report can be found in a separate document.

5.10. *Audit Protocol*

At the time of last update, this protocol in process of being developed.

6. Conduct, Ethics, and Confidentiality

6.1. Harassment / Discrimination

The definitions of terms in this harassment policy are intended to be in accordance with the definitions of the Ontario Human Rights Commission.

6.1.1. Statement of Principles

Every employee, Board member, member and volunteer of H.O.P.E. has the right to work in and enjoy an environment that is free from harassment.

Any employee, Board member, member, or volunteer who becomes aware of discrimination or harassing behaviour by another member of staff, board member, member, or volunteer shall, if possible, inform that person at once of the unacceptability of his or her behaviour. If necessary, such an incident shall be reported to the Executive Director and President.

6.1.2. Application

This policy applies not only within the physical location of the organization, but includes any environment (physical or virtual) where meetings, discussions or events occur. Harassment adversely affecting relationships amongst employees, Board members, members, volunteers or anyone on the premises may also be defined as workplace harassment/discrimination.

6.1.3. Harassment

Workplace harassment includes any physical, verbal, or online abuse on the part of any employee, Board member, member, or volunteer toward another person based on any of the grounds of discrimination as defined in the Ontario Human Rights Commission⁴.

Harassment may be:

- Verbal, written or non-verbal
- Physical assault or other forms of violence
- Sexual harassment
- Intentional or unintentional in nature
- Overt, subtle or passive in nature

Harassment includes, but is not limited to, behaviour such as:

- Name calling, discourteous treatment, jokes and slurs, insults, threats, intimidation, avoidance or exclusion that is based on racial or ethnic grounds, graffiti and the displaying of racist, sexist, derogatory or offensive pictures or material.
- Refusing to converse or work with anyone because of his or her racial or ethnic background, gender, disability, age, language, income or sexual orientation.
- Any comment or conduct that is unsolicited or is known or ought to be known to be unwelcome and that is likely to cause offense or humiliation, such as insulting gestures or

⁴<http://www.ohrc.on.ca/en/policy-primer-guide-developing-human-rights-policies-and-procedures/5-anti-harassment-and-anti-discrimination-policies>

practical jokes based on racial or ethnic ground, gender, disability, age, language, income or sexual orientation.

Such behaviour outlined above is unacceptable and will not be tolerated by H.O.P.E. in any location where business, meetings or events are conducted.

6.1.4. Steps to Take if You Are Being Harassed

Step # 1 – Ask the harasser to stop

Inform the harasser that his or her behaviour is unwelcome and unacceptable. You may also wish to inform the appropriate supervisor (Committee Chair, Event Manager, Executive Director) and discuss the steps you propose to take to deal with it.

Step # 2 – Lodge a complaint

If no resolution has been achieved with Step # 1, or if the harassment continues, you should lodge a **formal written complaint** as soon as possible after the incident. Such a complaint should be logged with any one of the following individuals:

- a) the alleged harasser's supervisor (if the alleged harasser is an employee or volunteer)
- b) the Executive Director (if the alleged harasser is a Manager or visitor/guest)
- c) The President (if the alleged harasser is the Executive Director or another Board Member)
- d) The Vice-President (if the alleged harasser is the President)

The complaint shall be investigated immediately and all necessary steps shall be taken to resolve the problem. Care shall be taken that the anonymity of the complainant is preserved at all times, if that is the wish of the complainant.

Nothing in this complaint procedure shall prevent a complainant at any stage in the process from filing a complaint with *Ontario Human Rights Commission* or seeking any other appropriate legal remedy.

Step # 3 – Resolving the Complaint

The person receiving the complaint shall conduct an investigation at once and may wish to seek appropriate legal advice. The investigation will include the individual interviewing of the complainant, the alleged harasser and any other person who may provide information. The information will be received in strict confidence and will be documented.

The investigation shall be completed within five (5) working days and the harasser shall be informed in writing of the disposition of the matter and any resulting remedies.

Step # 4 – Appeal

If the above steps do not produce a resolution that is satisfactory to the complainant or the alleged harasser, either party may lodge an appeal with the Executive Director (or the Executive of the Board, if the Executive Director is the alleged harasser).

Such an appeal shall be in writing and shall include all appropriate documentation.

The Vice-President (or the Executive of the Board) shall appoint a committee of not more than three (3) persons from outside the organization to review the whole matter and make appropriate recommendations to the Executive Director (or the Executive of the Board).

6.2. Code of Conduct for H.O.P.E. Volunteers

6.2.1. Definition of Volunteer

A volunteer is anyone who, without compensation or expectation of compensation beyond reimbursement, performs a task at the direction of and on behalf of H.O.P.E. A volunteer must be officially accepted by H.O.P.E. prior to the performance of the task. Volunteers shall not be considered as employees of H.O.P.E.

6.2.2. Purpose of Volunteer Policies

These policies are written to provide overall guidance and direction to staff and volunteers engaged in volunteer involvement and management efforts. These policies do not constitute, either implicitly or explicitly, a binding contractual or personnel agreement. H.O.P.E. reserves the exclusive right to change any of these policies at any time. Any change in policy will be communicated to the volunteers.

6.2.3. Community Service

H.O.P.E. may accept as volunteers those participating in student community service activities, student intern projects, corporate volunteer programs, and other volunteer referral programs. In each of these cases, a written agreement must be in effect with the organization, school or program from which the special case volunteers originate and this agreement must identify responsibility for the management and care of the volunteers. This agreement must be reached in writing before a volunteer begins an assignment, and it is the responsibility of the volunteer to secure this agreement with the appropriate organization.

6.2.4. Liability

Volunteers are expected to understand the risks associated with the volunteer positions. Further, volunteers hereby waive any claims against, indemnify, and hold harmless H.O.P.E., its respective officers, directors, employees, sponsors, representatives and volunteers from any and all liability, including attorney fees, that may result from property damage, wrongdoing, illness, personal injury, or death resulting from volunteering with H.O.P.E.

6.2.5. Volunteers Under 18

Volunteers under 18 years old must complete a waiver signed by a parent or legal guardian in order to volunteer with H.O.P.E.

6.2.6. Discrimination

H.O.P.E. is committed to a policy of fair representation and will not discriminate on any of the grounds of discrimination as defined in the Ontario Human Rights Commission⁵. Volunteers shall adhere to these same standards in the course of their duties.

6.2.7. Service at the Discretion of H.O.P.E.

Volunteers agree that H.O.P.E. may, at any time, for whatever reason, decide to terminate the volunteer's relationship with H.O.P.E.

6.2.8. Representing H.O.P.E.

Volunteers shall not contact organizations or individuals on behalf of H.O.P.E. unless a staff person or Executive of the Board gives them express direction to do so. Prior to any action or statement that may significantly affect or obligate H.O.P.E., volunteers should seek approval from appropriate staff. These actions may include, but are not limited to, public statements to the press, coalition or lobbying efforts with other organizations, or any agreements involving contracts, resources, finances, or other obligations. Volunteers are authorized to act as representatives of H.O.P.E. as specifically indicated within their job descriptions and only to the extent of such written specifications.

6.2.9. Screening / Reference Checks

For some tasks, volunteers may be asked to submit proof of certification, samples of work and/or professional references. Such requirements will be outlined in task/job descriptions.

6.2.10. Confidentiality

Volunteers are responsible for maintaining the confidentiality of all proprietary or privileged information to which they are exposed while serving as a volunteer, whether this information involves a single staff, volunteer, client, other person or H.O.P.E. business. Failure to maintain confidentiality may result in termination of the volunteer's responsibility with H.O.P.E.

6.2.11. Copyright / Ownership Issues

Material produced by volunteers for H.O.P.E., including graphic materials, web page designs, narratives, research, compilations, and instructional texts becomes the property of H.O.P.E. upon submission. Volunteers may be recognized for their contributions as appropriate.

6.2.12. Contacting Other Volunteers

Occasionally, volunteers will need to contact other volunteers with regard to their activities with H.O.P.E. We expect all such communication among volunteers to follow standard professional

⁵<http://www.ohrc.on.ca/en/policy-primer-guide-developing-human-rights-policies-and-procedures/5-anti-harassment-and-anti-discrimination-policies>

practice. Other than phone numbers or email addresses, H.O.P.E. staff will not share contact or other personal information about a volunteer with another volunteer without the express consent of all parties involved.

6.2.13. Resigning a Volunteer Role

A volunteer may decide to end their volunteer role with H.O.P.E. upon completion of any volunteer assignment, or when they are not engaged in an assignment. An exit interview with the volunteer may be requested.

6.2.14. Non-compliance / Dismissal

Failure to adhere to any part of this code may result in suspension or termination of the volunteer relationship with H.O.P.E. No volunteer will be suspended or terminated until the volunteer has had an opportunity to discuss the reasons for possible dismissal with supervisory staff.

6.3. Code of Ethics

6.3.1. Personal and Professional Integrity

H.O.P.E. staff, Board members, members and volunteers shall act with honesty, integrity and openness in all dealings as representatives of H.O.P.E. H.O.P.E. promotes a working environment that values respect, fairness and integrity.

6.3.2. Mission

H.O.P.E. shall have a clear mission statement, approved by the H.O.P.E. membership and Board of Directors.

H.O.P.E.'s mission is stated in the By-laws; See "General>Mission".

H.O.P.E.'s initiatives shall support the mission statement. All who work for or on behalf for H.O.P.E. shall understand and be loyal to the mission statement. The mission statement shall be responsive to the constituencies and communities served by H.O.P.E. and of value to society at large.

6.3.3. Ethics and Governance

H.O.P.E. shall have as governing body, the Board of Directors, which is responsible for setting the mission statement and strategic direction of the organization and oversight of the finances, operations, and policies of the organization. The Board of Directors:

- Ensures that its Board members have the requisite skills and experience to carry out their duties and that all members understand and fulfill their governance duties acting for the benefit of H.O.P.E. and its public purpose;
- Has a Conflict of Interest policy that ensures that any conflict of interest or the appearance thereof are avoided or appropriately managed through disclosure or other means;

- Is responsible for the hiring, firing and regular review of the performance of the Executive Director and ensures that the compensation of the Executive Director and Operations Manager is reasonable and appropriate;
- Ensures that the Executive Director and staff provide the governing body with timely and comprehensive information so that the governing body can effectively carry out its duties;
- Ensures that the organization conducts all transactions and dealings with integrity and honesty;
- Ensures that the organization promotes working relationships with Board members, staff, members, volunteers and charities that are based on mutual respect, fairness and openness;
- Ensures that the organization is fair and inclusive in its hiring and promotion policies and practices for all Board, staff and volunteer positions;
- Ensures that policies of the organization are in writing, clearly articulated and officially adopted;
- Ensures that the resources of the organization are responsibly and prudently managed;
- Ensures that the organization has the capacity to carry out its programs effectively.

6.3.4. Legal Compliance

H.O.P.E. will be vigilant in compliance with laws, regulations and applicable conventions that govern and regulate our organization.

6.3.5. Responsible Stewardship

H.O.P.E. shall manage its funds responsibly and prudently by insuring that it:

Spends a reasonable percentage of its annual budget on programs/initiatives in pursuance of its mission statement;

Spends an adequate amount on administrative expenses to ensure effective accounting systems, internal controls, competent staff and other expenditures critical to professional management;

Compensates staff, and any others who may receive compensation, reasonably and appropriately;

Has reasonable fundraising costs, recognizing the variety of factors that affect fundraising costs;

Maintains an appropriate level of funds to maintain the mission statement and not accumulate excessive reserve funds;

Ensures that all spending practices and policies are fair, reasonable and appropriate to fulfill the mission statement of the organization;

Ensures that all financial reports are factually accurate and complete in all material respects.

6.3.6. Openness and Disclosure

H.O.P.E. shall provide comprehensive and timely information to the public, the media and all stakeholders and shall respond in a timely manner to reasonable requests for information. All information about H.O.P.E. will fully and honestly reflect the policies and practices of the organization. Organizational information will be posted on the website or otherwise available to the public. All solicitation materials shall represent the organization's policies and practices and will reflect the dignity of the recipient charities. All financial, organizational and program reports will be complete and accurate in all material respects.

6.3.7. Inclusiveness and Diversity

H.O.P.E. shall have a policy of promoting inclusiveness and H.O.P.E. shall take meaningful steps to promote inclusiveness in its hiring, retention, promotion, Board recruitment and constituencies served.

6.3.8. Fundraising

H.O.P.E. shall raise funds from the public and from donor institutions and be truthful in solicitation materials. H.O.P.E. will respect the privacy concerns of individual donors and shall expend funds consistent with donor intent. H.O.P.E. shall disclose important and relevant information to potential donors.

In raising funds, H.O.P.E. will respect the rights of donors, to:

- Be informed of H.O.P.E.'s mission statement and the way in which resources will be used;
- Be informed of the identity of those serving on the Board of Directors and to expect the Board of Directors to exercise prudent judgment in its stewardship responsibilities;
- Have access to H.O.P.E.'s most recent financial reports;
- Be assured that their gifts will be used for the purposes for which they were given;
- Receive appropriate acknowledgement and recognition;
- Be assured that information about their donations is handled with respect and with confidentiality to the extent provided by the law;
- Expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature;
- Be informed whether those seeking donations are volunteers, H.O.P.E. employees or hired solicitors;
- Have the opportunity for their names to be deleted from mailing lists that H.O.P.E. may intend to share;
- Feel free to ask questions when making a donation and receive prompt, truthful, and forthright answers

6.4. Conflict of Interest

6.4.1. Definition of Conflict of Interest

Actual, potential or perceived conflicts of interest can be defined as situations where an employee or Board member's personal affairs or interests conflict or appear to conflict with their official duties and responsibilities or which could affect their judgment and duty to act in the best interests of the organization. Examples of conflict of interest situations are:

- representation on a Board of Directors in a similar organization having the same source of funding;
- accepting an honorarium when representing the organization;
- voting for recipient charities while occupying an executive role in one or more of the charities being considered for funding, without identifying one's position

6.4.2. Benefits, Advantages, Fees, Honoraria or Favours

Employees and Board members are prohibited from accepting any benefit, advantage, fee, honorarium, or favour from third parties arising out of activities associated with their position or duties at the organization.

Additionally, employees and Board members shall not place themselves in a position where they could derive any direct or indirect benefit or interest from any of the organization's contracts, transactions, sponsor contacts, or funding sources.

This does not preclude employees or Board members from taking on individual external contracts as long as it is approved by the Executive Director or President and does not jeopardize activities and/or funding for the organization.

6.4.3. Use of Information

Employees and Board members should exercise care in the management of their private affairs so as not to benefit, or appear to benefit from the use of non-public information acquired during the course of their official duties.

6.4.4. Disclosure of Business, Commercial or Financial Interests

All employees and Board members must disclose all business, commercial or financial interests where such interest might be construed as being in actual or potential conflict with their official duties.

Any Director of the Board with an executive role in one or more of the charities being considered for funding will be identified as such prior to the charity selection vote.

6.5. Confidentiality

H.O.P.E. requires that all volunteers, members, and Board members keep all information concerning H.O.P.E., as well as the charities and others they serve, strictly confidential both during and after their involvement.

The volunteers, members, and Board members shall not disclose any information obtained in the course of their volunteer placement to any third parties without prior written consent from H.O.P.E. This includes information pertaining to financial status and operations, such as budget information, donations of money or gifts in kind, salary information, and information pertaining to charities, sponsors, staff or other volunteers or members.

No information concerning any volunteer or member will be divulged without their prior written consent (e.g. addresses, phone numbers).

Failure to comply with H.O.P.E.'s confidentiality policies may result in disciplinary actions, including the dismissal of the volunteer, member, or Board member.

6.6. *Ethical Fundraising & Financial Accountability Code (Imagine Canada)*

The registered charity undertakes to adhere to the standards set out in the Imagine Canada Ethical Fundraising & Financial Accountability Code in its treatment of donors and the public, its fundraising practices and its financial transparency, and to be accountable through its Board of Directors for doing so.

6.6.1. Donor Policies and Public Representations

1. The charity prepares and issues official Income Tax receipts for monetary gifts and for gifts-in-kind pursuant to any policy established and published on minimum amounts to be receipted and in compliance with all regulatory requirements. The charity will acknowledge in writing contributions not entitled to be officially receipted, subject to any policy established and published on minimum amounts to be acknowledged.
2. All fundraising solicitations by or on behalf of the charity disclose the charity's name and the purpose for which funds are requested. Printed and on-line solicitations (however transmitted) will include its address or other contact information.
3. The charity provides the following information promptly upon request:
 - The charity's most recent annual report and financial statements as approved by the governing board;
 - The charity's registration number (BN) as assigned by the Canada Revenue Agency (CRA);
 - Any information contained in the public portion of the charity's most recent Charity Information Return (T3010A) as submitted to CRA;
 - A copy of the Charity's Investment Policy relating to its investable assets, if applicable;
 - A list of the names of the members of the charity's governing board; and
 - A copy of the Ethical Fundraising & Financial Accountability Code.
4. The charity or those fundraising on its behalf will disclose, upon request, whether an individual or entity soliciting contributions is a volunteer, an employee or a contracted third party.
5. The charity will encourage donors to seek independent advice if the proposed gift is a Planned gift and/or the charity has any reason to believe that the proposed gift might significantly affect the donor's financial position, taxable income, or relationship with the

other family members.

6. The charity will honour donors' requests to remain anonymous in respect to:
 - Being publicly identified as a supporter of the organization; and/or
 - Having the amount of their contribution publicly disclosed. (Guidance: in some circumstances, when the source or size of a donation may be perceived as affecting the independence of the charity, the organization may negotiate the terms of public disclosure.)
7. The privacy of donors will be respected. Any donor records that are maintained by the charity will be kept confidential to the greatest extent possible. Donors have the right to see their own donor record, and to challenge its accuracy.
8. If the charity exchanges, rents or otherwise shares its fundraising lists with other organizations, a donor's request to be excluded from the list will be honoured.
9. Solicitations by or on behalf of the charity will treat donors and prospective donors with respect. Every effort will be made to honour their requests to:
 - Limit the frequency of solicitations;
 - Not be solicited by telephone or other technology;
 - Receive printed material concerning the charity;
 - Discontinue solicitations where it is indicated they are unwanted or a nuisance.
10. Recognition mechanisms created due to a gift will not be arbitrarily changed or withdrawn. Unless otherwise negotiated at the time of the gift or changed through a joint agreement between the charity and the donor or the donor's family or legal representative, the original form of the recognition mechanism should be maintained. If the mechanism cannot be physically retained, it will be changed to another consistent with the original agreement. If continuation of the recognition creates a reputational risk for the charity, it may be terminated or altered.
11. The charity will respond promptly to a complaint by a donor or prospective donor about any matter that is addressed in this Ethical Fundraising & Financial Accountability Code.

6.6.2. Fundraising Practices

1. Fundraising solicitations on behalf of the charity will:
 - Be truthful; and
 - Accurately describe the charity's activities and the intended use of donated funds.
2. The charity will not make claims that cannot be upheld. It will refrain from using marketing materials or making representations that could be misleading. The charity will not exploit its beneficiaries. It will be sensitive in describing those it serves (whether

using graphics, images or text) and fairly represent their needs and how these needs will be addressed.

3. When the charity conducts online solicitations its practices will be consistent with or exceed the provisions of the Canadian Code of Practice for Consumer Protection in Electronic Commerce.
4. When the charity conducts face-to-face solicitations, including but not limited to door-to-door campaigns or street-side fundraising, its practices shall include measures to:
 - Provide verification of the affiliation of the person representing the charity; and
 - Secure and safeguard any confidential information, including credit card information, provided by donors.
5. Volunteers, employees and third party consultants/solicitors who solicit or receive funds on behalf of the charity shall:
 - Adhere to the provisions of the Ethical Fundraising & Financial Accountability Code;
 - Act with fairness, integrity, and in accordance with all applicable laws;
 - Adhere to the provisions of applicable professional codes of ethics, standards of practice, etc.;
 - Cease solicitation of a prospective donor who identifies the solicitation as harassment or undue pressure, or who states that he does not wish to be solicited;
 - Disclose immediately to the charity any actual or apparent conflict of interest or loyalty; and
 - Not accept donations for purposes that are inconsistent with the charity's objects or mission statement.
6. The charity will provide, upon request, its best available information on the gross revenue, net proceed and costs of any fundraising activity (including the fundraising costs categorized as education and/or public awareness) it undertakes.
7. Paid staff or consultants will be compensated by a salary, retainer or fee and will not be paid finders' fees, commissions or other payments based on either the number of philanthropic contributions received or the value of funds raised.
(guidance: compensation policies for staff, including fundraisers, proving for performance-based compensation practices [such as salary increases or bonuses] will be consistent with the charity's policies and practices that apply to non-fundraising personnel.)

Guidance: permissible percentage-based payments:

- I. This provision does not apply to commercial fees, such as commissions or percentage payments or similar administrative payments for credit card transactions.
- II. This provision does not apply to administrative fees charged by registered charities subject to regulation by the Canada Revenue Agency who collect money on behalf of other charities. (such as community foundations and United Ways).

- III. This provision does not apply to cause-related marketing where a percentage of sales are promised to the charity or to lotteries.
8. Charities that undertake cause-related marketing in collaboration with a third party should disclose how the charity benefits from the sale of products or services and the minimum or maximum amounts payable under the arrangement. If no minimum amount is specified, the charity should disclose this.
 9. The charity will not sell its donor list. If applicable, any rental, exchange or other sharing of the charity's donor list will exclude the names of donors who have so requested (as provided in section A8, above). If a list of the charity's donors is exchanged, rented or otherwise shared with another organization, such sharing will be for a specified period of time and a specified purpose and must be limited to what is allowed under Federal and/or Provincial privacy legislations.
 10. The charity's governing board will be informed at least annually of the number, type and disposition of complaints received from donors or prospective donors about matters that are addressed in the Ethical Fundraising and Financial Accountability Code.

6.6.3. Financial Practice and Transparency

1. The charity's financial affairs will be conducted in a responsible manner, consistent with the ethical obligations of stewardship and all applicable law.
2. All donations will be used to support the charity's objects, as registered with CRA.
3. All restricted or designated donations will be used for the purposes for which they were given unless the charity has obtained legal authorization to use them for other purposes. Alternative uses will be discussed where possible with the donor or the donor's legal designate. If the donor is deceased or legally incompetent and the charity is unable to contact a legal designate, the donation will be used in a manner that is as consistent as possible with the donor's original intent. If necessary, the charity will apply to the courts or the appropriate regulatory body to obtain legal authorization to use the donation for other purposes.
4. Annual financial reports are necessary to achieve transparency and accountability to donors and the public. All charities issuing receipts should produce them and make them easily accessible. They should:
 - Be factual and accurate in all material respects;
 - Disclose the gross amount of fundraising revenues (receipted and non-receipted);
 - Disclose the total amount of fundraising expenses (including salaries and overhead costs);
 - Disclose all donations that are receipted for income tax purposes;
 - Disclose the total amount of expenditures on charitable activities (including gifts to other charities);
 - Segregate undesignated and designated funds (for aggregate amount over \$100,000);

- Identify government grants and contributions separately from other donations (for aggregate amounts over \$100,000) and
 - Financial Statements should be prepared in accordance with generally accepted accounting principles and standards established by the Canadian Institute of Chartered Accountants, in all material respects (or disclose a discrepancy between practice and GAAP).
5. The cost effectiveness of the charity's fundraising programs will be reviewed regularly by the governing board. No more will be spent on administration and fundraising than is required to ensure effective management and resource development. The charity will disclose its process for evaluating its spending.
 6. The charity will, upon request, disclose the revenue and expense assumptions for its fundraising activity as approved by its Board in its annual budget.
 7. If the charity has annual revenue in excess of \$250,000, the financial statements are audited by an independent public accountant.
 8. If the charity's investable assets surpass \$1,000,000, an Investment Policy will be established setting out asset allocation, procedures for investment decisions and asset protection issues.
 9. If the charity receives, or anticipates receiving, gifts-in-kind of \$100,000 or more in a year and has annual revenue in excess of \$500,000, it will establish Gift Acceptance Policy (including valuation issues) for the receipt of gifts-in-kind.