

NAMI Wake County

Operating Policies & Procedures
Handbook

Adopted September 2, 2021



nami
National Alliance on Mental Illness
PO Box 12562

Wake County

Raleigh, NC 27605

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1. Introduction

Scope

The NAMI Wake County Operating Policies & Procedures encompass and regulate activities required to run the organization and are an integral requirement for all properly managed entities. It is through these policies and procedures that the Board of Directors assists in establishing the guidelines within which officers act to implement policies, programs and services.

Revisions

The NAMI Wake County Operating Policies & Procedures is formally adopted by the Board of Directors and is intended to be a living document, open to change and revision to facilitate growth and development of the organization.

The provisions of this document are not contractual and should not be construed as a promise or guarantee of any benefit or protocol described herein. NAMI-WC can change, interpret or apply the information described in this document in its sole discretion at any time and in any manner.

All revisions will be presented at Board of Directors meetings for approval.

Application

These Operating Policies & Procedures apply to NAMI-WC directors, members, employees, program facilitators, program participants, volunteers, and organizational partners and their representatives, except as specified in each policy. The Compensation Policy only applies to employees of NAMI-WC.

Violations of this Policy may result in consequences ranging from counseling to termination of employment and/or other engagement with NAMI-WC, in its sole discretion in accordance with its policies and governing documents.

Distribution

The NAMI Wake County Operating Policies & Procedures will be distributed to Board Members and staff, will be provided to program participants and volunteers in orientation, and will be posted on the NAMI-WC OneDrive with appropriate access. Public facing policies or the entire Operating Policies & Procedures will be posted on the NAMI-WC website.



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2. Mission, Vision, & Values

Mission: NAMI Wake County provides support, education, and advocacy to all individuals, families, and communities facing mental health challenges.

Vision: A diverse, equitable and inclusive community where mental health is valued and quality resources are accessible to all individuals affected by mental health challenges.

Values:

- **Hope:** We believe in the possibility of recovery, wellness and the potential in all of us.
- **Inclusion:** We embrace diverse backgrounds, cultures and perspectives.
- **Empowerment:** We promote confidence, self-efficacy and service to our mission.
- **Compassion:** We practice respect, kindness and empathy.
- **Fairness:** We fight for equity and justice.

3. Public Policy Statement

NAMI Wake County is aligned with the legislative priorities and public policy platform of the National Alliance on Mental Illness and NAMI North Carolina.

4. Officers & Duties

The Officers of NAMI Wake County are President, Vice President of Operations, Vice President of Diversity, Equity, and Inclusion, Treasurer, and Secretary. The term of office for Officers is one year, with officers elected annually by the Board. The term of any Officer may be extended if necessary until a successor for that office is duly elected. Although the duties of each Officer are summarized here, each Officer should be knowledgeable about their duties as detailed in NAMI Wake County's Bylaws.



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President: The President shall have the authority for the general supervision of the affairs of NAMI Wake County under the direction of the Board of Directors. The President shall appoint Committee Chairs and assure that the organization's objectives are executed in the best possible manner. The President shall also set the official meeting agenda and preside at all meetings of the organization.

Vice-President of Governance: The Vice President of Governance shall succeed in the presidency in case of a vacancy in that office and shall perform the duties of the President in the President's absence or disability. The Vice President of Governance shall aid the President in the performance of such duties as may be assigned by the President.

Vice President of Diversity, Equity, and Inclusion: Vice President of Diversity, Equity, and Inclusion shall provide strategic leadership in developing and implementing programs and initiatives that advance the NAMI Wake DEI statement and policies. The Vice President of Diversity, Equity, and Inclusion will be a leader, advisor, advocate, catalyst for change, and organizational resource focused on infusing DEI into all programs and activities, tracking progress toward these goals and communicating progress to an engaged community. The VP of DEI will chair the NAMI Wake Board DEI committee and will work alongside the ED and Board President to resolve DEI grievances.

Secretary: The Secretary shall keep records of Board actions, including the taking of official minutes, sending out of meeting announcements, distribution of copies of minutes and agendas to each Board member, oversight of nominee and elections information, and assuring that corporate records are maintained. The Secretary will be named on financial accounts along with the Treasurer, for redundancy as a finance best practice.

Treasurer: The Treasurer shall have the responsibility for all monies, securities and other valuable properties of NAMI Wake County. He or she shall ensure that a full and accurate account of receipts and disbursements is kept in records. Written detailed accounts of financial transactions should be provided regularly or upon request.

5. Committees

The President appoints the chairperson of committees, subject to the approval of the Board of Directors, and directly or indirectly supervises the work of all committees. The President with the Board's review and approval may assign supervision of some



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committees to the Executive Director. Standing and special committees may be formed in accordance with the Bylaws, year to year, as needed, and committees continue until their assigned duties are completed.

Standing Committees provided by Bylaws: Executive Committee, Nominating Committee

Other Committees may be organized and become operational such as Celebration of Courage, Nominating, and Work Groups.

Committees will establish annual goals approved by the Executive Committee, and report on progress throughout the year.

Nominating Committee

Each year in August, the Board shall create a Nominating Committee comprised of at least two current Directors. The President shall appoint the Chairperson. The Nominating Committee will recruit and nominate officer candidates for the upcoming year.

6. Staff Pay and Benefits

NAMI Wake County Compensation Policy

The Compensation Policy only applies to employees of NAMI-WC.

Salary Increases

NAMI Wake County strives to pay its employees at a level consistent with competitive practices in the employment marketplace and following fiscal responsibility. The Executive Director, in consultation with his/her supervisory staff — is responsible for determining salary increase options. Annual reviews will be conducted in September/October of each year. Salary increases shall be determined as part of the annual employee performance review and budgeting process. As part of the performance review, the Executive Director will make a recommendation to the Executive Committee of the Board for a salary increase. If the Executive Director is not the supervisor, the supervisor will make a recommendation to the Executive Director for a salary increase.

The Board will conduct a compensation review of the total compensation of each Staff member, on at least an annual basis.



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There is no guaranteed right to a salary increase because, ultimately, all salary increases must be approved by the NAMI Wake County Board of Directors as part of the budget process.

Pay Period

Payroll checks are issued biweekly to all categories of employees. Payroll checks reflect retroactive payment. NAMI WAKE COUNTY complies with all applicable wage and hour laws and regulations.

Employee Benefits

NAMI Wake County strives to provide competitive benefits to its employees. A summary of current benefits available to employees will be provided on at least an annual basis. Questions regarding benefits should be directed to the Executive Director. NAMI Wake County reserves the right to make changes, in its sole discretion, to the coverage provided by the benefit plans or to the insurer providing the plans at any time. NAMI Wake County endeavors to provide current and former employees with as much notice as possible and will inform current employees about these changes.

Paid Holidays

NAMI Wake County observes the following paid holidays based upon calendar year:

- New Year's Day
- Martin Luther King Jr. Day
- President's Day
- Memorial Day
- Independence Day
- Labor Day
- Thanksgiving Day and Friday after Thanksgiving
- December 24th and 25th
- One Floating Holiday

Holidays cannot be carried over and are not paid out upon termination of employment. By prior arrangement with an employee's immediate supervisor, alternate days may be substituted for these holidays to accommodate religious

observances. Regular and Temporary full-time employees are eligible for paid holidays on a prorated basis.

Accrued Leave

NAMI Wake County has established a program of accrued vacation and sick days whereby employees may take days away from work when needed for vacation, illness, or other personal matters. It is NAMI Wake County's Policy to give employees flexibility in using time off from work while assuring that most absences will be planned in advance with prior approval from immediate supervisors. This Policy applies to all benefits-eligible NAMI Wake County employees.

All full-time and part-time employees are eligible for Accrued Leave.

Accrual of Leaves and Time Off for Approved Events

Refer to the Appendix Section 8 for definition and accrual of leaves for vacation, sick leave, and bereavement leave. Also in this section is the definition and time off for events such as Jury Duty, Election Voting, and Extraordinary Family Leaves.

Workers Compensation Insurance

All NAMI Wake County employees are covered by Workers' Compensation insurance for work-related injuries or illness. NAMI Wake County's Policy complies with the rules and regulations set forth by the North Carolina Workers' Compensation Act and the North Carolina Industrial Commission.

Effective immediately upon hire, employees are covered by the Workers' Compensation insurance for injuries or illnesses sustained in the discharge of their duties.

All work-related injuries, no matter how minor they may initially seem, must be reported immediately by the employee to their supervisor or the Executive Director. The Employee will need to complete an injury report and forward it immediately to the Executive Director.

7. Programs

NAMI Wake County offers NAMI and NAMI North Carolina “Signature” programs and support groups to advance the mission of our organization. The programs are offered as a service to Affiliate members, their families, friends, and others affected by mental illness. Facilitators must be trained to lead each specific program and programs must adhere to the guidelines set forth by NAMI and NAMI North Carolina, respectively.

Any potential facilitators may volunteer as aides until they can be certified through NAMI North Carolina. All exceptions must be reviewed and approved by the Executive Director prior to service.

8. Financial Policies

The fiscal year of NAMI Wake County begins January 1 and ends December 31. The Board of Directors will prepare and adopt an annual budget before the annual meeting (typically held in November) for the next fiscal year.

All withdrawals or transfers of funds, checks, drafts, or orders for payment issued in the name of NAMI Wake County will be signed by an Officer or Officers of NAMI Wake County in the manner determined by the Board of Directors. Any payment for \$500 or more will require the written approval of the Treasurer. Any check or payment for \$1,500 or more will require the written approvals of the Treasurer and one other Officer. All funds of NAMI Wake County will be deposited to the credit of NAMI Wake County’s bank account(s).

Any contribution, gift, bequest, or donation may be accepted by the Board of Directors on behalf of NAMI Wake County. Unless otherwise stipulated, these will be placed in the general funds of NAMI Wake County and dispersed through normal budget authorizations.

9. Gift Acceptance Policy

Purpose

It is the Policy of NAMI Wake County to accept donations of goods and services that help fulfill the organization’s mission.



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The purpose of this policy is to establish procedures for the acceptance, recording and acknowledgement of the donation of goods and services to NAMI Wake County.

Definition

A “gift-in-kind” is a voluntary contribution of goods and services that can be used to advance the goals of NAMI Wake County.

Individual donors should consult their personal legal and financial advisors to determine if the in-kind gift is tax-deductible.

Restrictions on Gifts

NAMI Wake County will accept unrestricted gifts and gifts for specific programs and purposes, provided that such gifts are consistent with its stated mission, purposes, and priorities. NAMI Wake County reserves the right to determine whether it will accept a gift and may consider, among other criteria, whether the terms, conditions or purpose of a gift are consistent with state and federal law, as well as NAMI Wake County’s policies and mission. All final decisions on the acceptance of the gift shall be made by NAMI Wake County, subject to NAMI or NAMI North Carolina oversight as needed. NAMI Wake County also reserves the right to redirect the gift to another nonprofit organization if deemed more appropriate.

Acceptance Policy

The donor of an in-kind gift is responsible for providing written proof of the fair market value of the gift and must complete the NAMI Wake County Gift-In-Kind Acceptance Form. (See Form in Appendix Section A).

For gifts equal to or over \$5,000 in fair market value, the donor must provide a qualified appraisal of the gift and must submit Internal Revenue Service Form 8283 to the organization for completion and subsequent return to the donor. The Treasurer, and either the President or the Executive Director, are the only individuals authorized to sign IRS Form 8283.

Accepting the donation officially for NAMI Wake County requires the signature of two officers (The Treasurer, and the Executive Director/or the President). NAMI Wake County will enter the gift into its accounting records once the Gift-In-Kind Acceptance Form and all related paperwork have been submitted. The organization

will issue an acknowledgement to the donor that contains a description of the contribution but will not include a statement as to the value of the contribution unless proper valuation is determined in writing.

In-kind gifts of professional services are gratefully received. Those services must represent the donor's personal or organizational expertise and be outside the general volunteer duties and responsibilities assumed by members of NAMI Wake County. Legal, financial, computer-related, or trade-related services will be accepted at no more than the fair market value for each billable hour. An itemized invoice would serve as appropriate documentation in this instance.

Publicly traded securities, mutual funds, and dividend reinvestment accounts:

Any such donations will be the responsibility of the Finance Committee to facilitate their acceptance.

Gifts Involving Potentially Addictive Substances or Activities

NAMI Wake County is committed to supporting members our community who have navigated addiction, substance use, or prefer a lifestyle free of addictive substances and/or activities. This extends to virtual and in-person experiences, as well as the media, content and consumables we provide or are associated with.

In furtherance of this policy, NAMI Wake County requires that events involving its participation or association provide options for entertainment and consumables that can accommodate a lifestyle free of addictive substances and/or activities. For example, if potentially addictive substances such as alcohol are being provided or sold, or gambling activities offered, we may decline to participate or to accept funds raised from the event unless alternative methods of engagement are made reasonably available to participants.

At events involving vendors and non-profit organizations, where potentially addictive substances may be provided or sold, NAMI-Wake County may request that event organizers invite sobriety groups to participate alongside other vendors and non-profit organizations as a condition of NAMI-Wake County's participation.

We recognize the unique pressures of thriving in sobriety where others may see no challenge, and hope that, together, we can imagine a community that is equitable and free of stigma for us all.



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10. Scholarships Policy and Procedures

Policy

The following represent the purpose and priority of awarding scholarships which provide financial assistance for attending conferences, training and other events related to those from NAMI Wake County who could not otherwise afford to attend such events. NAMI Wake County will establish a line item in the budget for Scholarships during the annual budget development process and track expenditures against the budget during the year:

- A. To encourage new leadership and strengthen present leaders;
- B. To encourage increased participation by minority members;
- C. To encourage growth in areas of the County or nearby counties where NAMI Wake County would like to increase membership;
- D. To encourage participation of under-represented groups who are active in NAMI Wake County; and
- E. To enable Board members and active volunteers to attend in order to bring back new information and programs to NAMI Wake County.

The NAMI Wake County Executive Director will review applications. (See Appendix Section C for the application form). The following criteria will be used to make the determination:

- A. The relation of request to the stated priorities for scholarships;
- B. Membership and level of participation in NAMI Wake County;
- C. The record of past assistance given;
- D. Costs and location of the conference or event;
- E. Financial need of the person requesting support if not a volunteer or Board member; and
- F. The amount of funds in the Scholarship Budget. The Executive Director reserves the right to limit the amount of funds distributed for one event.

Procedures

- A. Give an application form to any interested individuals along with a copy of the priorities and criteria.
- B. All scholarship applications **must** include a justification by the applicant which addresses the priorities and criteria stated above and how it applies to the applicant. This will help the Executive Director in determining recipients.
- C. Application forms including justifications must be received by the Executive Director within two weeks of the event for which the funds are requested. Please be sure applications are complete because incomplete applications will not be considered for support.
- D. Notification of scholarships will be sent to selected applicants by email. The NAMI Wake County Treasurer will contact persons receiving scholarships and arrange to send them a check. Recipients will be asked to contact the NAMI Wake County Treasurer immediately if they will be unable to attend so alternates may be contacted. If scholarship recipients are not able to attend after being awarded their requested amount, recipients must return the full amount to the NAMI Wake County Treasurer. Within two weeks of the event, the recipient must submit a trip report to the Executive Director summarizing the key points of the event.

11. In Our Own Voice (IOOV) Program Speaker Reimbursement

It is the Policy of NAMI Wake County to support and encourage IOOV presentations by members of NAMI Wake County. In this regard, the NAMI Wake County Executive Director will consider funding reasonable transportation costs to and from presentations. In order to qualify for funding, two trained IOOV presenters must be involved in the presentation to be consistent with IOOV program guidelines.

Procedures

In order to be considered for payment, the IOOV presenter must submit all requests on a form for approval at least two weeks prior to the speaking engagement. If requesting travel expense reimbursement, the presenter should not make a firm commitment to speak until transportation costs have been approved. (See Appendix Section D for Approval Form).



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Upon completion of the IOOV presentation, the presenter must complete the attached reimbursement form and submit it with required receipts to the NAMI Wake Treasurer for payment. (See Appendix Section E for Reimbursement Form).

12. Consumer Speaker Travel Subsidy

It is the Policy of NAMI Wake County to support and encourage presentations by consumer members of NAMI Wake County. In this regard, the NAMI Wake Executive Director will consider subsidizing reasonable transportation costs to and from presentations which have been initiated by NAMI Wake.

Procedures

In order to be considered for payment, the presenter must submit all requests on the attached form CSTS(a) for approval prior to the speaking engagement. (See Appendix Section F for form). If requesting a travel subsidy, the presenter should not make a firm commitment to speak until the transportation request has been approved.

Expenses the Board will consider shall not exceed a total reimbursement at the federal mileage rate per presentation of \$25.00.

Upon completion of the presentation, the Peer presenter must complete the attached form (Appendix G for Consumer Speaker Travel Claim Form) and send to NAMI Wake Treasurer for payment.

13. NAMI Wake County Policy Requests for Funding

This Policy applies to any requests made to NAMI Wake County for funding.

In general, NAMI Wake County is not a granting organization. Rather it is a mission focused nonprofit organization which raises funds and uses those funds in direct support of the mission.

Procedure

An organization requesting funds from NAMI Wake County for a project or activity must submit a written proposal. The proposal should not exceed two pages. The proposal must contain the following information:



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- A. Name of person submitting the proposal
- B. Member of NAMI Wake County – yes or no
- C. Volunteer for NAMI Wake County—yes or no
- D. Detailed description of the project or activity for which this request is made:
 - 1. What is the final product and how will it benefit the mission of NAMI Wake County
 - 2. How will quality be ensured?
 - 3. How will the funds be spent and by whom?
 - 4. What efforts have been made to obtain funding from other sources?
- E. Total amount of funding required for the project broken out into categories
- F. Other organizations or individuals who may contribute to the project.
- G. How will this project help to accomplish NAMI Wake County's Mission?
- H. Samples of work products, conference brochures, etc.

Proposal Review

The Executive Committee will review all funding requests and will provide a response within 30 days.

14. NAMI Wake Policy Gifts and Memorials

NAMI Wake County's Board of Directors, Support Group Leaders, Education Program Leaders and teachers, and other volunteers who donate considerable hours working for NAMI Wake are a valuable resource.

Upon the death or serious accident or illness of a significant volunteer (see above), either flowers or food basket will be sent to the family at a cost NTE \$100.00. A memorial notice will be placed in the Iris newsletter upon the notification of the death of any current NAMI Wake County member.



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A card from NAMI Wake County will be sent to the significant volunteer upon notification of the death, serious accident, or illness of a close family member.

15. Technology Policy

Scope of Technology Policies

These Policies apply to all individuals who utilize, interact with and/or otherwise interface with NAMI Wake County's IT and communication resources ("**Users**"), including but not limited to NAMI Wake County ("NAMI-WC") directors, members, employees, program facilitators, program participants, volunteers, and organizational partners and their representatives.

NAMI Wake County's IT and communication resources includes all such resources provided, used or maintained by NAMI-WC ("**Technology Resources**"), including without limitation all of the following types of resources owned, leased, or licensed by NAMI-WC:

- A. Digital computing and communications hardware and equipment, including desktop computers (PCs), laptops, tablets, handheld devices, printers, servers, and all networks and hardware to which this equipment is connected.
- B. Communications equipment, including telecom equipment, telephones, fax machines, and other such devices.
- C. Communications services and accounts, including voice mail, e-mail, messaging, Internet, Intranet and other services and accounts.
- D. Software applications, databases, computer operating systems, firmware and other software residing on Technology Resources.
- E. Intellectual property and other data stored on Technology Resources.
- F. Remote connection applications and hardware.

These policies apply to all access of Technology Resources, regardless of the equipment, account or site used to access such resources.

These Policies will be published on the NAMI-WC website, so all Users can have access to them.

Violation of this Policy may result in consequences that may range from counseling to limitation of access to Technology Resources, and for serious violations

termination of employment and/or other engagement with NAMI-WC, in its sole discretion in accordance with its policies and governing documents.

Acceptable Use Policy, including Access and Passwords

The purpose of this Policy is to outline the acceptable use of Technology Resources by the Users identified in Section 1 above. These rules are in place to protect NAMI-WC as well as third parties who share information with NAMI-WC on a confidential basis. Inappropriate use of Technology Resources exposes NAMI-WC to risks including compromise of network systems and services, as well as public relations, privacy and legal issues.

NAMI-WC authorizes certain Classes of Access to Technology Resources, as listed and explained in the Appendix. They are:

- Executive Director
- Staff
- Program Leader
- Board Member
- Contributor
- Contractor
- Service Provider

A. Ownership of Technology Resources, Data and Confidential Information:

NAMI-WC owns all Technology Resources and all data stored in its Technology Resources. NAMI-WC reserves the right to and will from time to time monitor and conduct maintenance with respect to data stored on and activity conducted using its Technology Resources. **Users should have no expectation of privacy in any use of Technology Resources or data communicated stored thereon.**

In addition, all NAMI WC Confidential Information (defined below) belongs to NAMI-WC, no matter whether the devices on which it is communicated or stored are owned by NAMI-WC, or personally owned.

For purposes of NAMI-WC policies, “Confidential Information” means all non-public information belonging to or in the possession of NAMI-WC, or received by NAMI-WC from a third party with an expectation of confidentiality, including but not limited to information relating to (i) consultants,



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contractors, employees, members, donors, partner organizations and/or individuals served by NAMI-WC; (ii) NAMI-WC's marketing and solicitation methods, strategies, practices and plans; (iii) financial information, budgets and projections; (iv) research and development projects; and (v) intellectual property and other inventions, discoveries, and ideas. The term "**Confidential Information**" means all of the foregoing, regardless of form, and all materials containing or based in whole or in part on any of the foregoing; provided, however, Confidential Information shall not include any information that (i) is or becomes generally available to the public other than as a result of a breach of an obligation of confidentiality, or (ii) is independently developed without the use of any Confidential Information or NAMI-WC resources.

Only the Executive Director or an Officer of NAMI-WC can give authority to speak for the organization, use its logo, or use its Confidential Information.

B. General Security Guidelines:

All Technology Resources and all devices accessing Confidential Information (including but not limited to personal and third-party devices) are required to have periodic maintenance on both hardware and software. The Executive Director has this overall responsibility, even if that means engaging an IT contractor to assist.

All Technology Resources and all devices accessing Confidential Information (including but not limited to personal and third-party devices) must have password protection and an automatic locking function (with no more than a 15-minute inactivity window), to protect the integrity of NAMI-WC's resources and Confidential Information. Such resources should never be left unattended in an insecure location.

Technology Resources should not be access using accounts that are accessible by third parties who are not subject to confidentiality obligations to NAMI (e.g., an individual's employer's account) and should not be used to discuss confidential NAMI business or Confidential Information. Employees and Board members are encouraged to use their NAMI accounts.

NAMI-WC Staff members are required to use an end-of-message disclaimer when posting on message boards or social media, or when creating or replying to emails. An example of such a disclaimer follows:

This email message contains confidential information; is intended for the sole use of the individual or entity to whom it is addressed; and may be subject to protection under law. As this is an external email, do not open attachments or click on links from unknown senders or unexpected email.

C. Unacceptable Use of Technology Resources:

The following activities are strictly prohibited using NAMI-WC Technology Resources or while accessing NAMI-WC Confidential Information using any device:

1. Violation of any NAMI-WC Policy, including but not limited to this Technology Policy, as well as NAMI-WC's Social Media + Website Policy and Operating Policies.
2. Unauthorized access or facilitation of unauthorized access of Technology Resources or Confidential Information, including but not limited to sharing of passwords and allowing use of Technology Resources by unauthorized parties.
3. Access or disclosure of Technology Resources or Confidential Information for purposes not related to NAMI-WC duties, including but not limited to gaming, entertainment, solicitations, personal use or any activity for the User's personal benefit or for the benefit of a third party.
4. Any activity that attempts to circumvent user authentication or security procedures or compromises the security of or is disruptive to NAMI-WC's Technology Resources.
5. Unauthorized deletion, destruction, concealment, modification, wiping or encryption of any messages, files or other data, including the use of encryption algorithms or programs to encrypt information, without the permission of the Executive Director or an authorized NAMI-WC officer, or without taking appropriate measures to ensure that NAMI-WC will be able to access the encrypted information.



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6. Accessing or attempting to access another User's or third party's computer, account, e-mail or voice mail messages, files or other data without the express consent of the Executive Director or an authorized NAMI-WC officer.
7. Violation of copyright, trademark, or other intellectual property rights of individuals or organizations including, but not limited to, downloading, copying or use of unlicensed or pirated software and unauthorized use of photography and copyrighted materials.
8. Introducing malware or other malicious software to organization devices or the devices owned by employees, directors, members, volunteers, partner organizations, or individuals to whom NAMI-WC provides services.
9. Commercial or personal advertisements, solicitations, promotions, political material, or any other similar use.
10. The sending of unsolicited non-NAMI-WC work related email messages, "junk mail" or advertising material to individuals who did not request such material.
11. Any illegal activity, including but not limited to theft, fraud, or pornography.
12. Any activity that is inconsistent with NAMI-WC's mission and strategic plan, disruptive to NAMI-WC's organizational activities or interferes with any of its relationships.
13. Sharing personal information about other staff members with unauthorized parties outside of the organization.
14. Discussing or transmitting NAMI-WC Confidential Information on accounts that are accessible by third parties who are not subject to confidentiality obligations to NAMI-WC

D. Password Policies:

Passwords for any NAMI -WC Technology Resource for which passwords or PINs can be configured *are required* to enable them and to meet or exceed the following requirements, and any device used to access NAMI -WC Confidential Information *should* meet or exceed these requirements:

1. Passwords must be at least 8 characters in length, and contain:
 - a. at least 1 uppercase letter

- b. at least 1 lowercase letter Examples: NWp@3422
 - c. at least 1 special character and F#9061az
 - d. at least 1 numeric number
2. Passwords and PINs must not contain:
- a. anything obvious (like your street address or NAMI or USA).
 - b. anything from your user name or from your full name.
 - c. number sequences or patterns (like 1234 or 9876 or 1010 or qwerty).
3. Passwords and PINs should be changed on some frequency, such as every 6 months, and should not be repeated
4. Passwords and PINs are confidential and should not be shared with others, disclosed to any party, or left where they could be compromised (e.g., posted around your PC).

Permission levels and access to NAMI -WC accounts will be managed by the Board President or the Executive Director. The Board Private password will be changed anytime a Board Member leaves the Board.

E. Email Use and Guidelines:

Email is an essential part of how work happens. It is important to include in this Acceptable Use Policy the proper use of email, since email communicates NAMI-WC activities and decisions. We must protect NAMI-WC while ensuring clear and understandable emails.

Certain Users, including Staff, Directors and Program Leaders, may be authorized by the Executive Director to receive NAMI-WC email accounts. Users may use their NAMI-WC email account to communicate with colleagues both inside and outside the organization, for NAMI-WC work purposes.

Using NAMI-WC Technology Resources to send unsolicited email messages, including “junk mail” or other advertising material, to individuals who did not request such material, is specifically prohibited. Violation of this Policy can result in our organization’s entire domain being blacklisted as spam.



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Email messages are often forwarded to NAMI-WC colleagues who did not receive the original message, but may need to comment on it. Recognize any sensitivity or confidentiality before doing so. Do not use a person's name in the Subject line, but state "Confidential" when it is.

While it is important to grow our mailing list by asking supporters to subscribe, we do not want Users to use their NAMI-WC email, or their position, to collect email addresses for non-NAMI-WC work purposes. As an example, Users must not sell lists of supporter email addresses to spammers.

We always want to trust people to follow policies and guidelines on their own. The risk of Confidential Information being shared by email is great. Please be careful and follow the rules.

F. Email Attachment Safety:

Email is a convenient method for unscrupulous parties to transmit viruses or other malicious software by sending an executable file that executes when you click on it. Anytime you receive unsolicited, unusual or suspicious emails, documents, attachments or links from either known or unknown senders **always do the following:**

1. Look for any unusual aspects of the email (e.g., poor grammar, unusual requests such as to purchase 15 gift cards and send them to an address, email that appears to be from a bank that you don't bank with, or to check on the status of a package you are not expecting, etc.)
2. Look at the sender's address, not just the name, to see if the sending address looks suspicious, is misspelled, or is different from the address you know (e.g., Annie Schmidt (ecxecutivedirector@gmail.com))
3. Do not click on documents, attachments, zip folders or links until you have verified the sender. When unsure, call or text (do not email) the sender to verify before opening. If you cannot reach the sender, contact the Executive Director for instructions.
4. If you receive a "Zip" folder, do not open it, since it will automatically open all the files attached inside the folder, and do not open an executable file (.exe) which installs software, without express permission from the Executive Director.

Bring Your Own Device (BYOD) Policy



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Many organizations allow staff members to use their personal computers, smartphones, or other devices for work, a practice known as Bring Your Own Device, or BYOD. Some non-profits choose to do so because it is more convenient or more efficient for staff members to use the devices that they are already comfortable with. Others do so to reduce costs since it is cheaper for the organization to not buy computers for everyone. Whatever the motivation, the use of BYOD devices introduces additional risks to the organization and therefore it is important to have rules regarding their use as well as the necessary steps to ensure their security.

A. Application to Staff and Others

BYOD applies to Users in all Classes of Access (see the Appendix), but the rules can be different among them. We will first discuss how this Policy applies to “Staff Members,” which include the Executive Director, other employed Staff, Program Leaders, and Directors. Then we will discuss its application to “Others” which include Contributors, Contractors, and Service Providers.

B. “Staff Member” Security Requirements for BYOD

In order to protect information that’s accessible using BYOD devices brought from home, “Staff Members” must implement the following security requirements of NAMI-WC and follow them as part of the privilege of accessing NAMI-WC Technology Resources using personal devices. These precautions are straightforward for any devices used for NAMI business. For “Staff Members” basic security rules/guidelines for devices follow:

1. Enable passwords (and log-ins) on all devices used for work.
2. Passwords for personal devices must follow the same minimum requirements and policies as any organization-issued equipment.
3. Encrypt any organization files or data stored on personal devices.
4. Personal devices that have been modified to bypass factory settings on the software that can be installed, cannot be used for work purposes.
5. Report a lost or stolen device that has been used for work in the event that precautions/preventions need to be installed.
6. Since the security precautions in your home, hotel room, or neighborhood coffee shop may not be as strong as necessary, here are some minimum expectations:



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- a. When working from home, an internet firewall must be enabled for the home connection.
- b. Use a wireless router at home that follows strong password and encryption standards.
- c. Do not use wireless Internet connections if you can avoid it (e.g., at a coffee shop, or a McDonald's). Instead use the hotspot on your phone, or carry one with you. If you must use open internet in an urgent situation, use a VPN service or your organization's VPN connection and do not access financial accounts.

C. Security Requirements for "Others" using BYOD:

The above requirements for Staff Members also apply to Contributors, Contractors, and Service Providers, when they are updating NAMI-WC databases or networks. Since the rules/requirements are "common sense" and "best practices" for anyone's personal devices, these access and device rules are therefore solid standards to implement.

Why? There are so many ways to compromise a device or network.

We will close this section with two examples:

1. Clicking on "pop ups" on non-secure web sites can often link to scam operators or infect your computer with viruses.
2. Using smartphones that are "jail broken", which are modifications to bypass manufacturer restrictions on software that is capable of being installed, can link to scam operators or introduce viruses.

Data Management Policy and Procedures for IT Workers

The general policies have already been defined for appropriate use of Technology Resources for all Classes of Access (see Appendix) who work closely with NAMI-WC equipment or data. More specific guidelines are needed to protect the security and integrity of sensitive data, and the devices that store it, including how data is handled appropriately, routinely backed up, and monitored for proper handling.

A. Types of Data



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Every organization creates, collects, and stores a large amount of data. There are donation receipts, contact or other personal information from clients, and financial information such as salaries, budgets and expenditures, tax records, and contracts.

Not all data is the same — it varies widely by source, content, and how it can be handled. Some data may need to be kept secure for legal or ethical reasons. If an organization provides direct services, for example, HIPAA requires any information connecting to an individual client be kept private and available only to authorized access. Other data, such as our annual budget or tax record, need to be shared with the IRS and grant makers and perhaps donors. We must identify and classify the different types of data before defining policies on how to secure and backup that information.

B. Data Backup

Daily backup is an essential part of data maintenance. Regular and up-to-date backup files are our insurance against data loss as a result of a natural or man-made disaster. While we all hope to never need the backup, maintaining an archive at a different location ensures that we can keep working even after a disaster.

Since storage space is fairly inexpensive, we should keep all our back-ups for at least 2 years. As an example, 2019 backups should be kept until 12-31-2021. Likewise, 2020 backups should be kept until 12-31-2022. Organizations in the past needed a person to manually initiate backups and ensure that the files were stored safely. While this is still an option, we now have access to affordable services that can automatically backup files on a schedule, and save the backups to a secure off-site server, which may be another cloud-based server.

C. Software Installation

In addition to the office software, accounting tools, and databases typically expected, staff may need other apps for specific tasks, for productivity, or for convenience. These must be approved by the Executive Director.

Most applications that staff want to install poses little threat to our organization's security. But software installed on work computers must be for work purposes; video games, for example, are off-limits.

Installation is only part of adding applications to a computer. The software often will require licenses, or activation keys, in order to run. (Installation may be free, but activation costs money.). Sometimes the license fee provides one key, which can only be used once. Other software may have a Multiple Activation Key (MAK), which can be used a certain number of times before expiring.

D. Update Protocol

Most applications are not "set it and forget it" products. Software vendors often provide regular updates or "patches" that protect against new security risks, provide additional functionality, or allow it to be compatible with newer versions of different file types. Therefore, we will need to ensure that these updates are regularly installed, whether by staff using the software, or by an IT contractor.

Malware and virus protection programs should be enabled to run automatically on a frequent and regular basis.

E. Additional Security Considerations for Specific Types of Data

1. Payment Card Information (PCI)

For nonprofits dependent on individual donations to fund their programs or general operations, it is imperative that donors can trust protection of their payment information. Since we accept donations by credit card, we must comply with Payment Card Information, or PCI, guidelines to ensure cardholder information and credit card information is securely handled and encrypted. The easiest solution is not to process credit cards directly; but instead utilize a PCI-compliant third-party payment processor, or have a merchant account to charge the donor's card.

2. Personally Identifiable Information (PII)

Identify theft is a serious concern; hence, we must take extra precautions to ensure that a constituent's Personally Identifiable Information (PII), such as social security numbers, driver's license numbers, addresses, birthdates and financial information, are protected from unauthorized access.



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3. Protected Health Information (PHI)

If we ever provide physical or mental health services (such as intake services, medical checkups and exams, therapy or counseling), we must take steps to ensure that any information that links an individual with their condition is secured from unauthorized access or release. This protects the trust between patient and provider, and confidentiality of patient's condition from being released until authorized by patient.

In our registration process for classes, we may ask (and receive) a person's diagnosis. We may use this in summary form, without identifying the person, as a part of the class. If a person volunteers such information in the actual class, we should caution class members that this is confidential and should remain within the class, unless released by the affected class member. Similarly, an individual may confidentially disclose to the Program Leader, or to the Executive Director, for placement in the "right help spot" in a Support Group.

4. Exceptions to Policies 4(E)(1), (2), and (3)

Exceptions must be approved by the Executive Director. These exceptions should be reported in the Executive Director's confidential monthly report to the Executive Committee of the Board. Violation of critical policies and procedures could result in a staff member's termination or reassignment.

Incident Response Policy

While adopting and rigorously following security best practices and guidelines for acceptable use of Technology Resources offers significant protection, no policy will ever eliminate the risk of a security breach. The precautions we take against compromised or easily guessed passwords, malware, and phishing attempts only serve to reduce the likelihood. Phones and laptops get lost, broken, or stolen, and even the best of us let our guard down sometimes. When prevention fails, a fast response can spare our organization from much of the damage.

A. First, we must determine the right people needed to form a response committee.

B. Secondly, the response steps are:

1. Diagnose the breach.

Who is in charge?

When?



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- | | | | | |
|-----------------------------------|--------------|-------|-------|------|
| 2. Remove access.
When? | Who? | | | |
| 3. Repair or replace any
When? | Who? | | | |
| 4. Technology damaged. | Need a Team? | | | |
| 5. Review liabilities.
When? | Who? | | | |
| 6. Communicate with staff. | Who? | What? | When | How? |
| 7. Communicate with public. | Who? | What? | When? | How? |

We must quickly decide whether action needs to be taken in a matter of hours or over the following few days. Whichever action is decided, then the incident needs to be documented and retained for some period of time, perhaps a year or longer, depending on the type and severity.

Disaster Recovery Policy

When and where disaster strikes is not something that our organization can control. What we can control is how quickly we get back up and running. We need a Recovery Plan that prioritizes our most essential services, the technologies needed to support those services, and how to help our organization maintain a cool head while recovering as efficiently and timely as possible.

A. Technology Triage

When disaster strikes, we will have services and technologies to get running again. Therefore, it is essential to identify which technology or procedure to get back on line first, which in turn will reduce downtime and allow an efficient and effective recovery.

We must list the technologies needed, ordered by how many services depend on them. The technology that supports the most services or processes should be listed first. Examples of essential technologies and services are;

1. NAMI-WC Server and any Cloud Services
2. Giftworks Database
3. Website availability with update status
4. National Connections
5. Active CRM (Customer Relationship Management)

B. Data Restoration

Once our systems are back online, we will need to ensure that we are working with a complete copy of our data. This is why backup is an essential part of our data security policy. We must know where our backups are stored, and then restore the most recent backup to get up and running quickly and as if nothing had ever happened.

C. Replacing Lost/Damaged Equipment

In the event of a natural disaster or break-in, we will need to replace any computers, devices, printers, or other equipment that may have been damaged or stolen. While insurance should cover the cost of replacing anything lost, we will need a record of “what” and we will need replacement equipment well before we will receive the insurance payment. It is also unlikely that we will be able to afford replacing everything at once in the wake of a disaster. Therefore, it is important to prioritize and replace equipment, software, and connections most essential to our work first.

D. Contingency Planning

The goal after any disaster is to get back up and running quickly. Unfortunately, there will always be some parts of disaster recovery that will be out of our control. The severity of a disaster and our physical location factors into how long our services are out.

No matter how severe a disaster is, our constituents still need our services. We will need a Contingency Plan in place to make certain that our constituents can receive the help they need as quickly as possible.

APPENDIX — Classes of Access

<u>Class Name</u>	<u>Access</u>
1. Executive Director	Everything.
2. Staff	Everything except HR Folder.
3. Program Leader	Multiple access points based on job description. This person will have an organization email address that will be allowed access to the folders necessary to complete their responsibilities (e.g., Board Member, Education Leader, Support Group Leader).
4. Board Member	Will receive Program Leader access based on their responsibilities on the Board, with access to outside private information, such as the Board Private page on the website.
5. Contributor	Project specific access based on job description. This level of access will oversee one sign-on shared with multiple volunteers but limited to editing and viewing information only related to the project (e.g., Family-to-Family Facilitator, Marketing Team).
6. Contractor	Outside organization or person hired for a specific job project (e.g., Tech Support).
7. Service Provider	Outside organization with ongoing access to specific data (e.g., NAMI EasySite, NAMI, Salesforce).

Note: Individuals may have multiple access points (e.g., a Board Member may serve on the Marketing Committee or as a Class Facilitator).

16. Social Media + Website Posting Policy

Purpose of Policy

The purpose of this Policy is to keep NAMI Wake County's social media accounts and website consistent and credible, in alignment with NAMI Wake County's mission and strategic plan, and to maintain an identity that follows NAMI standards.

Speaking for NAMI Wake County on social media

All social accounts will be managed by the Engagement Specialist; however, certain trained and knowledgeable volunteers will be authorized to make daily/weekly postings on certain platforms, with written authorization from the Executive Director or an Officer of NAMI-WC.

Only the Executive Director or an Officer can give authority to speak for the organization, use its logo or use its Confidential Information.

Current Social Media Platforms in Use

NAMI Wake County can be found on the following platforms with the social media handle: @namiwake

Facebook
Instagram
Twitter
LinkedIn

Postings on NAMI Wake accounts

When posting from our NAMI Wake social media accounts, we must strive to maintain our brand image and identity, and protect our Confidential Information. We do this by keeping in mind these five pillars when we choose our content.

- Transparency/Honesty: Uphold a standard of credibility in the content we share. We do this through posting content that is honest and transparent from reliable and reputable sources, including resources/links with facts and statistics when possible.
- Consistency: Consistent scheduling of posts is important to keep our audience and followers engaged throughout the week. Content is planned



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weekly on a content calendar shared between the Engagement Specialist and designated volunteers.

- Connection: Our main goal of posting on social media is to engage with our community and connect with them. We not only want to share our current program offerings, but also share resources, information, and ‘feel-good’ content related to mental health, opening up conversations for our followers to connect to.
- Relevance: We want our posts to remain in the realm of mental health care and recovery; therefore, all content shared will be related to mental health education, support, community, and advocacy. News stories shared will be current.
- Safety/Security: Since our main focus is on mental health, we have the responsibility to be aware of, and when appropriate highlight, safety issues when we share content. All posts shared on our social media accounts must be carefully selected to include trigger warnings when necessary, speak of suicide and mental illness in a safe and respectful way, and to avoid disclosure of NAMI-WC’s Confidential Information or confidential or private information relating to any individual (particularly health information).

Responding to direct messages on social platforms

All social media account messaging will be managed by either the Engagement Specialist or the authorized volunteer in charge of that specific platform. We must remain professional when connecting and speaking directly with our followers. All messaging between NAMI Wake and another entity on social media should remain professional, courteous, and informative.

Direct messaging should seek to answer questions, redirect people to the appropriate resources, or greet/complement other accounts.

How We Talk About NAMI (from NAMI.org)

Writing for NAMI

NAMI has a checklist to help you frame your writing. Always ask yourself the following questions before writing:

- Why am I writing this?
- Who’s my audience (persona), and what’s their emotional state?

- What outcome do I want this piece to achieve?
- Did I give the reader a conversion (the opportunity to take further action)?

Our Voice

NAMI's voice is casual, friendly and conversational. We are a "friendly guide" to our Web visitors, leading them through difficult and intimidating topics and breaking them down in a language that they can understand. We educate when appropriate and act as a shoulder to lean on when someone needs support. We aim to inspire hope and encourage engagement.

NAMI's voice is:

- Authoritative but not condescending
- Friendly but not patronizing
- Casual and conversational but not sloppy
- Helpful but not overbearing
- Positive, when possible, but realistic

Our Tone

There is a difference between voice and tone. You always speak with the same voice, but your tone changes. You might speak in one tone to your closest friends and family but in a different tone with your boss. Your tone also changes depending on the emotional state of the person you are addressing. You would not use the same tone of voice with someone who is upset as you would with someone who is laughing.

When you are writing, keep in mind the audience you are writing for. Also, consider the reader's state of mind. Is she relieved to finally have a diagnosis? Mad that she can't log in? Confused about how to take a NAMI education class? Adjust your tone accordingly.

Language

Avoid these words and phrases:



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- Consumer. When referring to a person who has a mental illness say “a person with.”
- Schizophrenic (or any term using an illness as an identifier). When referring to a person who has a mental illness say “a person with.”
- Brain disorder
- Brain disease
- Patient (unless it is appropriate in a medical context, such as in a study or describing the relationship with a doctor). You can usually replace this term with “individual” or “person.”
- Committed Suicide. We now use “died by suicide” or “killed themselves”

Inappropriate Content

The following types of content will not be tolerated on NAMI Wake County Social Media accounts:

- Content that is unlawful, unethical, dishonest, threatening, abusive, harassing, or defamatory;
- Graphic, explicit, obscene, offensive or vulgar content, implication or language;
- Bashing posts, especially those aimed at gender, race, color, sexual orientation, national origin, religious views, or disability;
- Any invasion of privacy or unauthorized disclosure of NAMI-WC’s Confidential Information or confidential or private information relating to any individual (particularly health information);
- Unauthorized solicitations; and
- Any content that violates or is inconsistent with this Policy, or NAMI Wake County’s other policies and governing documents (e.g., Operations Policies, Technology Policy, Bylaws, etc.), Strategic Plan, Mission or Values.

Violations of this Policy may result in consequences that may range from deleting or blocking content to termination of authorization to post content, and for serious violations termination of employment and/or other engagement with NAMI-WC, in its sole discretion in accordance with its policies and governing documents.

Our Right to Remove Inappropriate Content



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NAMI Wake County reserves the right to edit or remove posts that violate this Policy, as determined in the sole discretion of NAMI Wake County. Such posts will be edited or removed as soon as practicable, upon notice.

Below is a template response if someone does not adhere with these policies:

Hello (Name),

Your message has been flagged by our Engagement Specialist because it violates the NAMI Wake County social media Policy. A copy of the Policy is attached for your reference. NAMI Wake reserves the right to edit or remove posts that violate this Policy.

Thank you for understanding.

Sharing Links/Resources on our Website

Links and mentions to other organizations through our online content are not direct endorsements by NAMI Wake County of any of the mentioned organizations.

We cannot link to every agency who requests a mention, and we reserve the right to decide for ourselves what we publish on our web site. If we like a resource, we may list it on a page such as “Resources for the Community,” but each of those source links must be reviewed and updated occasionally. The links and organizations we mention in our website content include organizations that:

- A. Forward our primary mission
- B. We have reviewed and trust
- C. We think are important enough to be worth the effort to add and maintain

17. Confidentiality Policy for NAMI Wake County

NAMI Wake County Board members and employees shall:

- A. Ensure that no information that is confidential or privileged, or that is not publicly available is disclosed inappropriately.

- B. Ensure that all nonpublic information about other persons, or outside firms used by NAMI Wake County personnel on behalf of NAMI Wake County, is treated as confidential and not disclosed.

For purposes of NAMI-WC policies, “Confidential Information” means all non-public information belonging to or in the possession of NAMI-WC, or received by NAMI-WC from a third party with an expectation of confidentiality, including but not limited to information relating to (i) consultants, contractors, employees, members, donors, partner organizations and/or individuals served by NAMI-WC; (ii) NAMI-WC’s marketing and solicitation methods, strategies, practices and plans; (iii) financial information, budgets and projections; (iv) research and development projects; and (v) intellectual property and other inventions, discoveries, and ideas. The term “Confidential Information” means all of the foregoing, regardless of form, and all materials containing or based in whole or in part on any of the foregoing; provided, however, Confidential Information shall not include any information that (i) is or becomes generally available to the public other than as a result of a breach of an obligation of confidentiality, or (ii) is independently developed without the use of any Confidential Information or NAMI-WC resources.

All Board members and employees of NAMI Wake County may not disclose, divulge, or make accessible Confidential Information belonging to, or obtained through their affiliation with NAMI Wake County to any person, including relatives, friends, and business and professional associates, other than to persons who have a legitimate need for such information and to whom NAMI Wake County has authorized disclosure. Board members and employees shall use Confidential Information solely for performing services as a Board member or employee for NAMI Wake County. This Policy is not intended to prevent disclosure where disclosure is required by law.

Board members and employees must exercise good judgment and care at all times to avoid unauthorized or improper disclosures of Confidential Information. Conversations in public places, such as restaurants, elevators, and airplanes, should be limited to matters that do not pertain to information of a sensitive or confidential nature. When using multi-media, social networking websites, blogs and wikis (Facebook, Twitter, YouTube, Instagram, etc.), Internet postings should not disclose Confidential Information. In addition, Board members and employees should refrain from leaving Confidential Information on desks or otherwise in plain view and refrain from the use of speakerphones to discuss Confidential Information if the conversation can be heard by unauthorized persons.

At the end of a Board member’s term in office or upon the termination of an employee’s employment, he or she shall return, at the request of NAMI Wake County,



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all documents, papers, and other materials in his or her possession, regardless of medium, that may contain or be derived from Confidential Information.

18. Conflict of Interest Policy

Conflict of Interest Statement

NAMI-WC Board Members, Staff, Members, Facilitators and volunteers have an obligation to conduct business within guidelines that prohibit actual or potential conflicts of interest. This Policy establishes only the framework within which NAMI Wake County wishes its business to operate. The purpose of these guidelines is to provide general direction so that individuals can seek further clarification on issues related to the subject of acceptable standards of operation.

An actual or potential conflict of interest occurs when an individual is in a position to influence a decision that may result in a personal gain for the individual or for a relative as a result of NAMI Wake County's business dealings. For the purpose of this Policy, a relative is any person who is related by blood or marriage, or whose relationship with the individual is similar to that of persons who are related by blood or marriage.

No presumption of guilt is created by the mere existence of a relationship with outside firms. However, if an individual has any influence on transactions involving purchases, contracts, or leases, it is imperative that he or she disclose to an officer of the NAMI Wake County as soon as possible the existence of any actual or potential conflict of interest so that safeguards can be established to protect all parties.

Personal gain may result not only in cases where a NAMI-WC Board Members, Staff, Members, Facilitators and volunteers, or relative of such an individual, has a significant ownership in a firm with which NAMI Wake County does business, but also when such an individual receives any kickback, bribe, substantial gift, or special consideration as a result of any transaction of business dealings involving NAMI Wake County.

The materials, products, designs, plans, ideas, and data of NAMI Wake County are the property of NAMI Wake County and should never be given to an outside firm or individual except through normal channels and with appropriate authorization. Any improper transfer of material or disclosure of information, even though it is not apparent that an individual has personally gained by such action, constitutes unacceptable conduct. Any NAMI-WC Board Member, Staff, Member, Facilitator or



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volunteers who participates in such a practice shall be subject to disciplinary action by the Board.

Reason for the Statement

NAMI Wake County, as a nonprofit, tax-exempt organization, depends on charitable contributions from the public. Maintenance of its tax-exempt status is important both for its continued financial stability and for the receipt of contributions and public support. Therefore, the IRS, as well as state corporate and tax officials, view the operations of NAMI Wake County as a public trust that is subject to scrutiny by and accountability to such governmental authorities as well as to members of the public.

Consequently, there exists between NAMI Wake County and its Board, Officers, and management employees a fiduciary duty that carries with it a broad and unbending duty of loyalty and fidelity. The Board, Officers and management employees have the responsibility of administering the affairs of NAMI Wake County honestly and prudently, and of exercising their best care, skill, and judgement for the sole benefit of NAMI Wake County. Those persons shall exercise the utmost good faith in all transactions involved in their duties, and they shall not use their positions with NAMI Wake County or knowledge gained therefrom for their personal benefit. The interests of the organization must have the first priority in all decisions and actions.

Persons Concerned

This statement is directed to all NAMI-WC Board Members, Staff, Members, Facilitators and volunteers who can influence the actions of NAMI Wake County, for example, this would include all who make purchasing decisions, all other persons who might be described as “management personnel”, and all who have proprietary information concerning NAMI Wake County (See Form in Appendix Section B).

Areas in Which Conflict May Arise

Conflicts of interest may arise in the relations of NAMI-WC Board Members, Staff, Members, Facilitators and volunteers with any of the following third parties:

- Persons and firms supplying goods and services to NAMI Wake County;
- Persons and firms from whom NAMI Wake County leases property and equipment;



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- Persons and firms with whom NAMI Wake County is dealing or planning to deal in connection with the gift, purchase, or sale of real estate, securities, or other property;
- Competing or affinity organizations;
- Donors and others supporting NAMI Wake County;
- Agencies, organizations, and associations that affect the operations of NAMI Wake County; or
- Family members, friends, and other employees.

Nature of Conflicting Interests

A material conflicting interest may be defined as an interest, direct or indirect, with any persons and firms mentioned above. Such an interest might arise through:

- Owning stock or holding debt or other proprietary interest in any third party dealing with NAMI Wake County.
- Holding office, serving on the Board, participating in management, or being otherwise employed (or formerly employed) in any third party dealing with NAMI Wake County.
- Receiving remuneration for services with respect to individual transactions involving NAMI Wake County.
- Using NAMI Wake County's time, personnel, equipment, supplies, or good will for other than NAMI Wake County approved activities, programs, and purposes.
- Receiving personal gifts or loans from third parties dealing with NAMI Wake County. Receipt of any gifts disapproved except gifts of nominal value that could not be refused without discourtesy. No personal gift of money should ever be accepted.

Interpretation of this Statement of Policy

The areas of conflicting interest listed above, and the relations in those areas that may give rise to conflict, as listed above, are not exhaustive. Conceivably, conflicts might arise in other areas or through other relations. It is assumed that the Board members, Officers, and management employees will recognize such areas and relation by analogy.



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The fact that one of the interests exists does not mean necessarily that a conflict exists; or that the conflict, if it exists, is material enough to be of practical importance; or if material upon full disclosure of all relevant facts and circumstances, that it is necessarily adverse to the interests of NAMI Wake County.

However, it is the Policy of the Board that the existence of any of the interests described above shall be disclosed before any transaction is consummated. It shall be the continuing responsibility of the Board, Officers, and management employees to scrutinize transactions and outside business interests and relationships for potential conflicts and to immediately make such disclosures.

Disclosure Policy Procedure

Disclosure should be made according to the NAMI Wake County standards. Transactions with related parties may be undertaken only if all of the following are observed:

- A material transaction is fully disclosed in the audited financial statements of the organization;
- The related party is excluded from the discussion and approval of such transaction;
- A competitive bid or comparable valuation exists; and
- The organization's Board has acted upon the and demonstrated that the transaction is in the best interest of the organization.

Disclosure involving Directors should be made to the Board President or a Vice President, who shall bring these matters, if material, to the Board.

Disclosure in the organization should be made to the Executive Director (or if she or he is the one with the conflict, then to the Board President), who shall determine whether a conflict exists and is material, and if the matters are material, bring them to the attention of the Board President.

Board members will be provided with vendor information on a quarterly basis, prior to each Board meeting, and are asked to review their previous disclosures for any needed updating.

In each case, the Board shall determine whether a conflict exists and is material, and in the presence of an existing material conflict, whether the contemplated transaction may be authorized as just, fair, and reasonable to NAMI Wake County,



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and whether any disciplinary or other action is warranted by the circumstances. The decision of the Board on these matters will rest in their sole discretion, and their concern must be the welfare of NAMI Wake County and the advancement of its purpose.

Recusal

Board members with a potential conflict of interest shall recuse themselves provided that the Board by majority vote may waive such conflict.

Communication, Annual Review and Training

The Conflict of Interest Policy will be communicated to all Board Members, Staff, Members, Facilitators and volunteers.

Board Members, Staff, Facilitators and other volunteers who represent NAMI-WC will be required to review and affirm compliance with this Policy on at least an annual basis.

19. Code of Conduct

Conduct Statement

We, as NAMI professionals and volunteers (Board Members, Staff, Members, Facilitators and volunteers), dedicate ourselves to carrying out the mission of this organization. We will do the following:

Recognize that the chief function of NAMI at all times is to serve the best interests of our diverse constituency.

Accept as a personal duty the responsibility to keep up to date on emerging issues and to conduct ourselves with professional competence, fairness, impartiality, efficiency, and effectiveness.

Respect the structure and responsibilities of the Board, provide them with facts and advice as a basis for their making policy decisions, and uphold, implement and follow policies adopted by the Board.

Keep the NAMI community informed about issues affecting it.



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Conduct our organizational and operational duties with positive leadership exemplified by open communication, creativity, dedication, and compassion.

Exercise whatever discretionary authority we have under the law and NAMI Wake County's governing documents to carry out the mission of the organization.

Abide by and in all matters act consistently with NAMI Wake County code of conduct, policies, strategic plan, mission and values.

Serve with respect, concern, courtesy, and responsiveness in carrying out the organization's mission.

Demonstrate the highest standards of personal integrity, truthfulness, honesty, and fortitude in all our activities in order to inspire confidence and trust in our activities.

Avoid any interest or activity that is in conflict with the conduct of our official duties.

Respect and protect privileged information to which we have access in the course of our official duties.

Refrain from soliciting personal health information from Board members, volunteers, employees or applicants, other than providing the opportunity for applicants to voluntarily confirm whether or not they have lived experience with mental health conditions and treat as confidential such information that is voluntarily disclosed.

Strive for personal and professional excellence and encourage the professional developments of others.

Conduct Expected of NAMI-WC Members, Staff and Board Members

NAMI-WC believes strongly that its NAMI-WC Board Members, Staff, Members, Facilitators and volunteers must uphold the highest standards of ethical and professional behavior:

To hold paramount the safety, health, and welfare of the public in the performance of professional duties.

To act in such a manner as to uphold and enhance personal and professional honor and integrity.



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To treat with respect and consideration all persons, regardless of race, religion, gender, abilities or disabilities, age, sexual orientation, or national origin.

To engage in carrying out NAMI-WC's mission in a professional manner.

To collaborate with and support other professionals in carrying out NAMI-WC's mission.

To build professional reputations on the merit of services and refrain from competing unfairly with others.

Conduct Expected of Board Members

The following sets forth the standards the Board expects from its members:

To become familiar with and committed to the major responsibilities of a governing Board:

- Setting mission and purposes
- Appointing the Executive Director
- Supporting the Executive Director
- Monitoring the Executive Director's performance
- Assessing Board performance
- Insisting on strategic planning
- Reviewing educational and public-service programs
- Ensuring adequate resources
- Ensuring good management
- Preserving institutional independence
- Relating to the community

To support NAMI-WC's fund-raising efforts through personal giving in accordance with one's means (to both annual funds and capital drives), and to be willing to share in the solicitation of others.

To devote time to learn how NAMI functions—its uniqueness, strengths, and needs, its reputation and standing.



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To carefully prepare for, regularly attend, and actively participate in Board meetings and Committee assignments.

To accept and abide by the legal and fiscal responsibilities of the Board as specified by institutional charter, bylaws, and state statutes and regulations.

To vote according to one's individual conviction, to challenge the judgment of others when necessary, yet to be willing to support the decision of the Board and work with fellow Board members in a spirit of cooperation.

To recognize that the Board President alone speaks for the Board.

To maintain the confidential nature of Board deliberations and to avoid acting as spokesperson for the entire Board unless specifically authorized to do so.

To understand the role of the Board as a policy-making body and to avoid interference in administrative functions.

To learn and consistently to use designated institutional channels when conducting Board business (e.g., responding to staff and volunteer grievances, responding to inquiries concerning the status of an Executive Director, etc.)

To comply with conflict-of-interest policy and disclosure developed by the Board.

To refrain from actions and involvement that might prove embarrassing to the institution and to resign if such actions or involvement develop.

To make judgments always on the basis of what is best for the organization as a whole.

To recognize that the Executive Director is an agent (and employee) of the Board and can represent NAMI Wake County at Community events and engagements.

No Board member may represent themselves as speaking on behalf of NAMI Wake County to any group or organization without the President's authorization. When a Board member speaks on behalf of NAMI Wake County, any honoraria shall be paid to NAMI Wake County.

Unacceptable Conduct

Unacceptable conduct by a NAMI-WC Board Member, Staff, Member, Facilitator or volunteer may result in discipline, with or without prior warning, in the sole



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discretion of NAMI-WC. Types of behavior and conduct that NAMI-WC considers unacceptable includes but is not limited to the following:

- A. Lying; falsifying NAMI-WC records, or any documents submitted to a third party on behalf of NAMI-WC; or, otherwise being dishonest or fraudulent.
- B. Violating NAMI-WC's Diversity, Equity & Inclusion Policy or other policies that are designed to maintain a safe, secure and non-discriminatory environment.
- C. Substantial, reckless or repeated violation of or disregard for any NAMI-WC policies, procedures, protocols, or postings.
- D. A pattern of excessive tardiness or absenteeism, or failure to complete assigned tasks.
- E. Unauthorized use of NAMI-WC supplies or equipment, particularly for personal or third party benefit.
- F. Intentionally or recklessly damaging Confidential Information, Technology Resources or property in the possession or control of NAMI-WC even if belonging to others ("NAMI – WC Property").
- G. Unauthorized removal of any NAMI-WC Property or Confidential Information from NAMI-WC premises or Technology Resources.
- H. Stealing from NAMI-WC or a NAMI-WC employee, member, director, partner organization or individual served by NAMI-WC, or anyone whose information or property is in the possession or control of NAMI-WC.
Failing to comply with NAMI-WC's Technology Policies or otherwise failing to maintain the confidentiality of any information NAMI-WC is ethically or legally required to keep confidential.
- I. Possessing a firearm or other weapon on any NAMI-WC premises or representing NAMI-WC.
- J. Using profane, obscene, abusive, or threatening language or actions, or otherwise interfering with another individual's work or performance or creating an intimidating or hostile environment.
- K. Fighting, assaulting, battering, intimidating or abusing another person.

- L. Disrupting or interfering with NAMI-WC's business or other individual's work.
- M. Inefficient or unsatisfactory performance, or insubordination of employees.
- N. Other behavior not in alignment with NAMI-WC's mission, values and strategic plan.

Board Member Leave of Absence Policy

NAMI- WC expects full participation from all Board members. However, we also recognize that Board members may experience circumstances in which a temporary leave from Board duties is reasonable and necessary for continued service on the Board.

A Board member may request a temporary leave of absence for a reasonable period of time with approval of the Board President or the Executive Director, in their reasonable discretion. Requests will be thoughtfully balanced with the needs of the organization and a clear plan from the Board member to return to full service. The circumstances underlying such a request will be treated as confidential and disclosed beyond the Executive Committee only on a need to know basis unless approved by the Board member requesting leave.

Upon approval of a leave of absence, the Executive Director and/or Board President will establish periodic check ins with the member on leave, to be conducted at reasonable intervals throughout the leave period.

Failure of a Board Member to reasonably participate in established check-ins, and failure to return to active service at the end of an approved leave period without an approved extension, will be considered a violation of this Code of Conduct.

Communication, Annual Review and Training

The Code of Conduct will be communicated to all Board Members, Staff, Members, Facilitators and volunteers.

Board Members, Staff, Facilitators and other volunteers who represent NAMI-WC will be required to review and affirm compliance with the Code of Conduct on at least an annual basis.

NAMI-WC Wake County's Diversity, Equity, and Inclusion (DEI) Policy applies to NAMI-WC Board Members, Staff, Members, Facilitators, volunteers, program



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participants, and organizational partners and their representatives. NAMI-WC is committed to a diverse, inclusive, and equitable environment where all such individuals, as well as the individuals and communities NAMI-WC serves, are valued and respected.

The DEI Policy shall be published and accessible on the NAMI-WC website.

Diversity, Equity and Inclusion Statement

NAMI-WC's Commitment to Diversity, Equity & Inclusion

Diversity, Equity, and Inclusion (DEI) are core values to NAMI Wake County. We believe that the quality of these values is enhanced and strengthened through interactions with and learning from people with diverse lived experiences and who represent all walks of life. We are committed to equally valuing all persons and their experiences throughout our organization. DEI is not just a phrase; each word speaks to distinct values. In having intentional conversations among NAMI Wake County's directors, employees, persons seeking employment, volunteers, agents, persons doing business with NAMI Wake County and persons seeking to do business with NAMI Wake County, we intentionally provide definitions for diversity, equity, and inclusion allowing for shared understanding and thoughtful conversations.

Diversity: The representation of different and unique identities, characteristics, experiences, and perspectives.

Equity: Giving everyone equal opportunities to succeed by increasing access, resources, and opportunities for all; especially for those who are underrepresented and have been historically disadvantaged.

Inclusion: A welcoming culture in which differences are celebrated. Everyone is valued, respected, and encouraged to reach their full potential.

NAMI Wake County's Commitment Against Racism and Discrimination

NAMI Wake County is committed to equal opportunity for all persons and will not tolerate any discrimination against or harassment of persons on the basis of factors including but not limited to: race, color, religion, sex, sexual orientation, gender identity, national origin, political affiliation, genetic information, veteran status, disability, age, background, lifestyle, and/or culture. Further, we acknowledge the effects of racism, racial trauma and other manifestations of hate/bigotry that cause significant harm to individual and collective mental health and the associated



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disparities access to, utilization of, and the quality of treatment of mental health care services in communities of color. These inequities and need for cultural competence in mental health treatment cannot be ignored.

A diverse, equitable, and inclusive environment and culturally appropriate practices for all NAMI Wake County's directors, employees, persons seeking employment, volunteers, agents, persons doing business with NAMI Wake County and persons seeking to do business with NAMI Wake County are essential to fulfilling NAMI Wake County's mission of providing support, education, and advocacy to individuals, families, and caregivers, living with mental health challenges, to lead better lives. Our DEI commitment extends beyond the NAMI Wake County entity; we are committed to advancing diversity, equity, inclusion, and justice for all on a local, state, national and global scale.

Last Revised 4/1/2021

NAMI-WC's Respectful Environment Policy

NAMI-WC is committed to providing an environment that is respectful of all groups and participants. A respectful environment is one where all participants are valued, recognized and treated worthy of due regard and courtesy, regardless of their personal characteristics or circumstances. Disrespectful behavior will not be tolerated, including but not limited to behavior that is contrary to NAMI-WC's DEI statement or that constitutes Harassment or Bullying.

NAMI-WC shall actively endeavor to recruit, engage and serve individuals reflecting the diverse community that NAMI-WC serves, including race, culture, ethnicity, age, religion, socio-economic status, veteran status, sexual orientation, gender, gender identity and disability, and shall not discriminate on the basis of any such categories in the requirements for or terms and conditions of employment, membership, Board or volunteer service, provision of services or support, or in its policies or actions.

The NAMI-WC Board of Directors will regularly review its own composition and membership demographics compared to those of our County or State using national census data, in order to aspire towards reflecting that composition.

In keeping with NAMI-WC's values regarding DEI and with applicable law, NAMI-WC shall include in its bylaws, operating policies and procedures, and other governing documents, explicit statements that require the organization to embrace the broadest possible application of this Policy.



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NAMI-WC shall collect a baseline of members' voluntarily supplied demographic information. Systems shall be put in place to protect the confidentiality of this information; and, demographic information will only be reported in the aggregate.

NAMI-WC will reach out to and welcome diverse communities through recruitment, marketing, public education, and awareness activities. NAMI-WC will strive to support recruitment and retention of a diverse and inclusive membership and leadership.

Whenever there is a demand and the interests of members can be served by support through groups sharing some affinity, including but not limited to lived experience or primary language, NAMI-WC shall encourage its NAMI State Organization and members to offer multiple support groups beyond their baseline family and/or Peer groups.

Anti-Harassment & Anti-Bullying Policy

Harassment and bullying are disrespectful conduct that unreasonably interferes with an individual's work, performance, service or access to NAMI-WC services, or creates an intimidating or hostile environment for any NAMI-WC Staff, director, member, volunteer, partner organization representative or any group or individual whom NAMI-WC serves. Such behavior will not be tolerated.

NAMI-WC Board Members, Staff, Members, Facilitators, volunteers, program participants, and organizational partners and their representatives are expected to show respect for others and to refrain from statements or behavior that can be reasonably construed as harassing or bullying towards any NAMI-WC Board Members, Staff, Members, Facilitators, volunteers, program participants, organizational partners and their representatives, , representatives of affiliate organizations, any individuals or groups that NAMI-WC serves, or any other member of the NAMI-WC community.

Sexual Harassment is a type of harassment where the actions taken are sexually related. Sexual harassment does not refer to behavior or occasional compliments of a socially acceptable nature. It refers to sexually related statements or behavior that is not welcome, is offensive, fails to respect the value of others, lowers morale, interferes with performance or access to services, or creates an intimidating or hostile environment. All sexually related statements and behaviors are prohibited and will not be tolerated in NAMI-WC activities, regardless of whether they rise to the level of sexual harassment as a matter of law.



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Examples include the following:

- Verbal: A request for sexual favors, sexual innuendoes, suggestive comments, jokes of a sexual nature, sexual propositions or threats.
- Non-Verbal: Posting or dissemination of sexually suggestive written materials, objects or pictures, graphic commentaries, suggestive or insulting sounds, obscene gestures, leering or whistling, requests for sexual favors.
- Physical: Unwanted physical contact, touching, pinching or patting, sexual advances.

Reporting:

If you believe that you or someone else has been subjected to or witnessed a violation of this Policy, you are strongly urged to immediately report the matter in accordance with NAMI-WC's Whistleblower Policy. NAMI-WC will promptly undertake an investigation of all reports under this Policy.

Any NAMI-WC Personnel found to have violated this Policy will be subject to discipline.

Retaliation in any form against anyone who complains or participates in an investigation pursuant to this Policy is strictly prohibited. Any acts of retaliation will be considered a violation of this Policy and will be subject to disciplinary action.

Communication, Annual Review and Training:

The Diversity, Equity and Inclusion Policy will be communicated to all Board Members, Staff, Members, Facilitators and volunteers.

Board Members, Staff, Facilitators and other volunteers who represent NAMI-WC will be required to review and affirm compliance with the Code of Conduct on at least an annual basis.

21. Whistleblower Policy

Purpose

This Whistleblower Policy applies to all NAMI-WC Board Members, Staff, Members, Facilitators, volunteers, program participants, organizational partners and their representatives, persons seeking employment, volunteers, agents, persons doing



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business with NAMI Wake County and persons seeking to do business with NAMI Wake County “(Covered Persons”).

Covered Persons are expected to comply with NAMI-WC Policies as applicable and observe high standards of business and personal ethics in the conduct of their duties and responsibilities. Covered Persons are also expected to practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.

This Whistleblower Policy establishes protections for Covered Persons who make good faith complaints about Covered Conduct, as defined in the Conduct to Be Reported under this Policy (See paragraph below), from retaliation, harassment, or adverse employment consequences as a result of making such complaints. This Whistleblower Policy also encourages and enables Covered Persons to raise serious concerns with the Board prior to seeking resolution outside NAMI Wake County.

This Whistleblower Policy shall not prevent the Executive Director of NAMI Wake County from promulgating personnel policies or other administrative policies for employees, persons seeking employment, volunteers, agents, those doing business with NAMI Wake County, and those seeking to do business with NAMI Wake County that are more extensive than this Policy.

Conduct to Be Reported Under the Policy

For purposes of this Whistleblower Policy, “Covered Conduct” means (a) actual or suspected violations of NAMI-WC Policies, including but not limited to the Conflict of Interest Policy, Code of Conduct and Diversity, Equity & Inclusion Policy; (b) questionable or improper accounting or auditing practices or actions, or circumvention of or attempts to circumvent internal accounting or auditing controls; (c) breach of duties of integrity, loyalty or confidentiality; (d) violation or suspected violation of applicable law; and (e) any form of retaliation against a Covered Persons who makes a good faith complaint about Covered Conduct or participates in an investigation of Covered Conduct.

Reporting Responsibility and Procedure

Covered Persons are encouraged to report any Covered Conduct for which they are aware. Board Members and Staff are required to report Covered Conduct of which they are aware.

A report of Covered Conduct may be made verbally or in writing to any Director. Reporting information, including a contact chart, will be posted on the NAMI-WC website.

Reports made to any Director or to report@nami-wake.org pursuant to this Policy will be reported by the Director in writing to the Board President or, in the event the complaint contains allegations about conduct of the Board President, to the Board Vice President or Secretary.

Investigatory Responsibility and Procedure

All reports will be promptly investigated and appropriate corrective action will be taken as warranted by the investigation.

Within two weeks of the Board President's or Board Vice President or Secretary's receipt of the complaint, the complainant will be sent confirmation that the complaint has been received and an investigation is underway.

All complaints will be investigated in accordance with their circumstances. A Conduct Committee appointed by the Executive Committee (or the Board President in the case of a Board or Staff member, as provided below) will determine the scope and timeline for the investigation, coordinate the investigation, and make recommendations to the Executive Committee regarding the outcome. In appropriate circumstances the Conduct Committee may recommend engaging outside professional resources to conduct and/or advise on the investigation. After the investigation is complete, the Executive Committee will make a decision or in appropriate circumstances make a recommendation to the Board for decision. All decisions involving suspension in excess of thirty (30) days, termination of employment or Board Member service, or permanent expulsion from NAMI-WC activities must be approved by the Board.

The complainant will receive a written notification of the completion of the investigation and confirmation that, if warranted, appropriate corrective action has been taken.

Board Member and Staff Disciplinary Procedures

In the case of complaints or violations involving NAMI-WC Board Members, Staff, Members, facilitators, volunteers, program participants, or organizational partners or their representatives, the Conduct Committee shall consist of the Executive



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Director, Board President and either the Vice President- Governance or the Vice President DEI as appointed by the Board President.

The following progressive discipline steps will be followed in the case of a determination of a violation, with exceptions as expressly stated below:

1. Documented coaching;
2. Written Warning;
3. Final Written Warning;
4. Termination of Duties (for Board members, requires Board or Member Approval in accordance with Bylaws)

Disciplinary steps may be skipped and may be implemented more than once, depending on the nature of the violation. In the case of violations that are not determined to be egregious (as defined below), a rolling 12-month period will apply, such after 12 months with no additional violations, any further non-egregious violation will be considered without reference to prior non-egregious violations.

In the case of an egregious violation, an individual may be placed on a leave of absence pending the outcome of the investigation (paid or unpaid for Staff, in the discretion of the Conduct Committee).

For purposes of this policy, “egregious” violations are serious infractions that involve (i) a material negative impact on the mission and/or reputation of NAMI-Wake or on any of its fund-raising activities, programs or partners; (ii) a material threat to the health, safety or program involvement of any person associated with NAMI-Wake; (iii) a material breach of NAMI-Wake’s DEI policy; (iv) a violation of applicable law, including but not limited to financial indiscretions, and violations of civil rights and anti-discrimination laws; or (v) a violation of the No Retaliation provision of this Policy.

Disciplinary procedures apply to actions in all contexts, regardless of whether the individual is acting in a Board, Staff, member, volunteer, participant or other capacity.

No Retaliation

Harassment, retaliation or adverse employment consequence against any Covered Person who in good faith makes a complaint under this Policy is strictly prohibited. The Board will take appropriate steps to stop any such harassment, retaliation or



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adverse employment consequence brought to its attention. An individual who engages in such retaliation is subject to discipline up to and including termination of employment, Board membership, membership or volunteer service. Complaints regarding retaliation will be handled in the same manner set forth in the preceding section concerning complaints about Covered Conduct.

Acting in Good Faith

For purposes of this Whistleblower Policy, “good faith” means reasonable grounds for believing the information disclosed in the complaint supports a finding that Covered Conduct has occurred. Any good faith complaint is fully protected by this Policy, even if the complaint is, after investigation, not substantiated. Any employee who makes a complaint that he or she knows to be false, or to be made with reckless disregard for the truth or falsity of the complaint, will be subject to disciplinary action up to and including termination.

All parties to an investigation will be treated with respect and dignity, and in accordance with NAMI Wake County’s policies, Mission and Values. All accused individuals will be provided a full and fair opportunity to provide information they consider relevant to any complaint against them, before any disciplinary action is taken. A temporary leave of absence to allow for an investigation and decision-making is not considered disciplinary action.

Confidentiality

Complaints may be submitted on a confidential basis by the complainant or may be submitted anonymously. Complaints and investigations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation and the Board’s obligation to abide by applicable laws or comply with subpoenas and court orders.

Appeal Process. A Covered Person may appeal a determination rendered hereunder in regard to their own conduct as follows:

- ***Appeal To Have All Or A Portion Of The Determination Overturned.*** Such an appeal may be made where the Covered Person whose conduct was investigated demonstrates that: (i) the procedures set forth in this Policy were not followed; (ii) the Covered Person was not able to present a full account of their conduct in the investigation; or (iii) there is new or additional information that was not considered in the determination. If any



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part of the determination is overturned, all of the disciplinary actions imposed will be reconsidered.

- ***Appeal To Reconsider The Disciplinary Actions Imposed.*** Such an appeal contests only the disciplinary actions imposed, and may be made where the Covered Person whose conduct was investigated: (i) offers additional mitigating evidence not considered in the original determination; or (ii) offers to take appropriate measures relevant to the offense, to mitigate the harm caused and/or promote restitution and healing.

An appeal must be in the form of a written document with supporting material if warranted. In-person presentations, social media or other forms of appeal will not be accepted.

An appeal will be brought to the Conduct Committee that conducted the investigation, in the first instance, which will assess whether it meets the above conditions. If so, the appeal will be considered and a determination made as promptly as reasonably possible and in no more than ninety (90) days, as follows.

If the determination appealed from was recommended by the Conduct Committee and accepted by the Executive Committee without any material changes, the Conduct Committee will consider the appeal in light of previous information and make a recommendation to the Executive Committee. If the Executive Committee entered a modified determination after the Conduct Committee's recommendation, the Conduct Committee will forward the appeal to the Executive Committee for consideration, and the Executive Committee will either render a determination on the appeal or make a recommendation to the full Board for a determination,

The Committee considering the appeal may choose to seek additional information, including legal counsel. The Committee will then vote to: (a) accept the appeal in full and revoke the decision and corresponding action; (b) accept the appeal in part and amend the decision and/or corresponding action; (c) reject the appeal; or (d) refer the appeal to the full Board. A decision (a), (b) or (c) will require a two thirds majority vote; otherwise, decision (d) will apply. Where it is deemed appropriate by the Committee, individuals involved in the original investigation or named in the appeal may be given the opportunity to provide information in the appeal process.

A Covered Person may appeal at any time and as many times as they see fit, but subsequent appeals must provide new information, or they will be rejected without consideration. The outcome of the appeal will be communicated to the appellant, and will be communicated to others on a need to know basis.

22. Reimbursement

Any programmatic expenses that are incurred by a volunteer, staff member, or Director must be pre-approved for reimbursement by the Executive Director. If not explicitly stated in NAMI Wake policies.

23. Record Retention and Destruction (RDD) Policy

A. GENERAL POLICY STATEMENT

1. The purpose of this Policy statement is to allow NAMI Wake County to identify, retain, store, and dispose of the organization's records in an appropriate, legally sound, and orderly manner. This is a document management Policy to ensure that staff, volunteers, and directors follow consistent guidance about document retention as well as document destruction/deletion practices.
2. Except as otherwise indicated, documents shall be retained for the number of years indicated in Part B. Document retention policies are highlighted by the IRS by asking about their presence on IRS Form 990.
3. Irrespective of the retention periods specified in Part B, upon (i) receiving notice of a lawsuit, government investigation, or other legal action against or involving the organization, or (ii) learning of circumstances likely to give rise to such an action, proceeding, or investigation, then all documents in any way relating to such matter shall be preserved and safeguarded.
4. No Officer, Director, employee, agent or member of the Organization shall knowingly destroy a document with the intent to obstruct or influence the investigation or proper administration of any matter within the jurisdiction of any government department or agency or in relation to or contemplation of any such matter.
5. Employees are expected to utilize documentation practices as trained and are required to comply with the documentation standards outlined in this Policy. Failure to do so could result in disciplinary action, up to and including termination of employment or Board or volunteer service. Employees, Board Members and volunteers with questions about this Policy should consult with management or seek legal advice.



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6. Documents maintained solely in electronic format will be scanned and retained in highly organized electronic folders on the Organization's network in accordance with this schedule.
7. The Organization is to maintain complete, accurate and high-quality records in local, damage-proof storage for the duration of the time periods provided for in this Policy. When any such time period is complete, the records are to be destroyed as soon as practicable.
8. When destroying records, a reputable third party document management vendor (e.g., "Shred-It") should be used. The records must not just be thrown in a trash bag. Such a vendor can also be used for CD or magnetic storage destruction. An approved electronic "erase" module can be used to "destroy" electronic data and network storage.
9. The Executive Director shall be responsible for authorizing, overseeing, and ensuring that records are destroyed pursuant to this Policy.

B. RECORD RETENTION GUIDELINES

1. General Corporate Records

Type of Record	Retention Period
Articles of Incorporation and amendments thereto	Permanently
Bylaws	Permanently
Corporate resolutions	Permanently
Meeting Minutes	Permanently
Patents, trademark registrations, copyright registrations	Permanently
Property records (including leases, deeds, easements, rights of way, appraisals, costs, depreciation reserves, blueprints, plans, end-of-year trial balances, tax records)	Permanently
Board Membership ballots	3 years following the applicable vote
Board Membership applications	Board Membership term, plus 3 years

Correspondence relating to Board member, member and volunteer discipline matters	The period of membership, plus 3 years
Contracts	7 years

2. Accounting, Finance and Tax Records

Type of Record	Retention Period
Income tax returns and filings, audit reports from independent audits, Cash books, Charts of accounts, and end-of-year financial statements	Permanently
Bank reconciliations	3 years
Checking records, including account statements, check register	3 years
Banking records and bank statements, expense accounts, petty cash records, deposit and withdrawal records, credit card receipts, accounts receivable and payables, invoices to members and vendors, social security tax records, federal and state tax bill and statements, end-of-year financial statements, supporting documentation for financial statements and tax forms, budget data	7 years

3. Personnel Records and Payroll Documents

Type of Record	Retention Period
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Resumes/applications and related employment materials, including background checks, letters of reference and related documents: For applicants not hired	2 years
Above records for employees	Employment term, plus 4 years
I-9 Forms: For Active employees	Employment term
I-9 Forms: For Terminated employees	Employment term, plus the later of 4 years
Employee Records: <ul style="list-style-type: none"> ○ Compensation, job history and timekeeping records ○ FMLA/USERRA and related leave records ○ Performance appraisal/disciplinary action records ○ Benefit records ○ Records related to disputed issues involving external agencies or parties, wage charge or hour investigation by DOL, EEOC charge, arbitrations, court actions, etc. ○ Records of any sexual harassment complaints and the investigations and actions taken in response 	Employment term, plus 4 years
OSHA & employee safety records	Five years following the end of the year to which they relate, except medical exams and exposure records which must be kept for duration of employment plus 30 years
Benefit Plan Records	Permanently

Workers' Compensation claims	30 years after date of injury/illness
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4. Insurance

Type of Record	Retention Period
Insurance records and policies	Permanently
Accident reports	7 years
Appraisals	7 years
Workers' compensation claims	7 years
Unemployment insurance	7. years

5. Contributions/ Gifts/ Grants

Type of Record	Retention Period
Contribution Records	Permanent
Documents Evidencing Terms of Gifts	7 years after end of grant period
Grant records	7 years after end of grant period

24. Annual Review & Training

Certain policies in these Operating Policies & Procedures are subject to annual review and/or training, as follows:

Policy & Section Reference	Target Time Period/Action
Conflict of Interest Policy – Section 18 Code of Conduct – Section 19 DEI Policy – Section 20	Q1 Annual Review and confirmation of compliance <u>from Board Members, Staff, Facilitators and other volunteers who represent NAMI-WC.</u>



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Recruiting – Section 20	Q2 Annual Board training for Q3 recruiting
Staff Compensation Review – Section 6	Q4 Annual EC review/proposal for Board decision, for any adjustment to be effective January 1



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ACKNOWLEDGMENT OF RECEIPT OF NAMI-WAKE COUNTY OPERATING POLICIES

I have received a copy of the NAMI-WC Operating Policies & Procedures Handbook adopted September 2, 2021 ("Handbook") and have read and understand the material contained herein. I have been allowed to ask questions and realize that the Executive Director or any NAMI-WC Officer may answer questions concerning the contents of the Handbook.

I agree to, and will comply with, the policies and procedures in the Handbook (as amended by NAMI-WC from time to time). I understand that NAMI-WC reserves the right to change, modify, or abolish any or all of the policies, benefits, rules, and regulations contained or described in the Handbook as it deems appropriate at any time, with or without notice.

EMPLOYEES ONLY: I further understand that, unless otherwise specified in a written agreement between myself and NAMI-WC, signed by the Executive Director or a NAMI-WC Officer, I am employed on an "at will" basis, and my employment is terminable at the will of NAMI-WC or me at any time, with or without cause, and with or without notice. I have been informed and understand that nothing contained in the Handbook or any other NAMI-WC policy or procedure creates an express or implied contract or an employment relationship other than one on an "at will" basis.

This Handbook supersedes and replaces all previous communications and understandings with respect to the matters addressed in the Handbook.

This Handbook (including any amendments made to it by the NAMI-WC) is NAMI-WC 's property and must be returned, along with all copies and excerpts of it, prior to or at termination of my relationship with NAMI-WC.

Name:

Signature:

Date:



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