The Policies of the Society for Modeling and Simulation, International

As approved by the Board of Directors  the Board of Directors
7/9/2012

This document describes (1) the Society’s current policies, and (2) the process by which additional policies are adopted and/or modified. The policies describe how the Board of Directors intends to execute the business of the Society in compliance with public law, the Articles of Incorporation, and the Bylaws. The Executive Committee, with the support of other committees and teams as designated by the Board, will ultimately be responsible for implementing the Society’s policies as appropriate.
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1. Introduction

1.1 Preamble

This document (hereafter “Policy Statement”) has been adopted by the Board of Directors (hereafter “the Board”) of the Society for Modeling and Simulation International (hereafter “SCS” or “the Society”) to set forth the manner in which the Society’s members, volunteers and employees should comport themselves with regard to matters of policy. These policies have been established by the Board to promote the orderly conduct of SCS’ business. All members and employees of the Society are expected to comply with the policies described herein, as well as all applicable local or federal laws and statutes.

The Policy Statement is part of a related series of documents that work together to guide the Operations of the Society as shown in the following figure.

The Society’s mission and purpose are to fulfill its founder’s, John McLeod’s, vision. John founded the Society in 1952 to establish *Simulation in Service to Society*.

The introductory part of this document describes its organization and intent. The second part, which comprises the bulk of the document, presents specific policy definitions. The last part consists of appendices with select reference materials.

The policies defined by this document specify their scope, i.e. the elements of the organization most affected by the policy. Examples of Policy scope include:
Each policy follows the *new policy template* provided in the Appendix and:

- Identifies the intent of that policy, and establishes the rationale behind its adoption;
- Specifies the office or committee with primary responsibility for executing the policy, as well as to whom the responsible party is accountable;
- Defines the scope of the policy,
- Provides definitions for any special words or phrases in the policy; and
- States the policy in a clear, straightforward manner.

It is the Executive Committee’s responsibility to develop and publish procedures, practices, or methods to more clearly state “how” the work referenced in each individual policy statement is to be done, allowing volunteers to learn from their predecessors’ work and to provide a sound basis for process improvement.

This document provides a table, listing the number, name, version, and most recent approval date for all approved policy statements, in addition to the statements themselves. Pursuant the Board’s revision of any policy, the updated policy statement will replace its predecessor in this document. The version and date of that policy in the policy table must also be updated to make it clear that the new version is the one to be used. Likewise, if a new policy is added, this change should be reflected in the aforementioned table. New policies are marked as version “new” and with the date approved.

### 1.2 Distribution

The current version of the policy document will be posted on the Society’s web site within 30 days of being adopted by the Board, and will be accessible to the general public.

### 1.3 Revision

The establishment and revision of the Policy Statement or specific SCS policies is the sole responsibility of the Society’s Board. New or revised policies may be proposed to the Board for their approval using the template contained in this document’s appendix. However, this document may not be changed except by the explicit, written approval of the Board.

Policies can be established or revised only by a majority vote of the full Board. Consequently the minutes of Board meetings in which a new or revised policy is approved should note the motion by which the adoption or revision is approved.
1.4 Governing Documents

From a practical, operational perspective, the primary governing document for the Society is its corporate Bylaws. The Bylaws are maintained by the Board. Compliance with the Policy Statement (inclusive of the individual policies adopted in accordance with the Policy Statement) is required of all members and staff, including the Board. In the event of conflict between one or more of the applicable governing documents, the order of precedence is:

1) Germaine laws and statutes;
2) Articles of Incorporation;
3) Bylaws;
4) Policy Statement;
5) Official practices and procedures that have been adopted by the Executive Committee in accordance with the procedure described herein;
6) Written practices and procedures that have been made available to constituents;
7) Unofficial practices and procedures that exist as a matter of precedent.
2.0 SCS Policies

The table below lists the current set of specific, individual policies, each of which is described more fully on a subsequent page or pages. The template for new policies -- along with other relevant information – is included as an appendix.

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1. Ethics and Behavior

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Society is a professional organization represented by its members, volunteer leaders, and employees. In turn, it recognizes the entire field of M&S practice, and all of the professional practitioners of M&S as key stakeholders. As part of this commitment to professionalism, the Society, working together with other similar entities, has defined the code of behavior and ethics expected of all simulation professionals. Volunteer leaders and employees of the Society have additional responsibilities. As such, an additional code of ethics and behavior is provided for them.

Scope: All simulation practitioners, Society volunteer leaders and employees, and members of the Board as defined in the following sections.

Responsibility of: Every individual should ensure their own behavior is in compliance with the relevant codes. The actions to be taken when individuals have questions, or believe that others have not complied with the applicable code are described in the following sections.

Accountable to: Most importantly, individuals are responsible to themselves for their own behavior. In the event a complaint or question about ethics or behavior is raised, the Board will create an ad hoc Committee of not less than three uninvolved board members to hear and resolve the question or complaint. For the purpose of this paragraph, a board member shall be considered “uninvolved” if and only if that person does not have material conflicts of interest regarding the matter, nor an a priori personal relationship with the involved party or parties.

Policy: SCS is committed to being an ethical and responsible organization in service to society. In order to ensure the highest standards of ethics, honesty, governance, and integrity are maintained, SCS has adopted a Code of Ethics and Behavior as described in the following sections. We refer to the elements of this policy as our Code. Our Code provides the guidelines and standards for acceptable business conduct.

1.1 Simulationist

Version New, approved by the Board 7/9/2012

Circumstance and Intent: Professional M&S practitioners, like all other professionals, require a professional code of ethics to clearly state their commitment to professional and ethical behavior.

Scope: The Simulationist Professional code of ethics applies to all professional practitioners of M&S.
Definitions:

Simulationist – A professional M&S Practitioner, who may or may not be a member of SCS or any other professional society, but who provides M&S products, services, leadership, or education to clients, customers, or students.

Responsibility of: Every simulation professional is responsible to be familiar with and to follow these ethical guidelines and to behave in the manner expected of a professional.

Accountable to: The SCS Board is responsible to adjudicate and resolve ethical questions and issues raised by or regarding SCS members and brought to the Board’s attention.

Policy: It is the policy of SCS that:

1) All professional simulationists are expected to understand and comply with the Simulationist Code of Ethics provided as an attachment to this document.
2) The SCS Board will answer questions and address issues related to ethics raised by or regarding SCS members.
3) The Board establishes an ad hoc ethics committee to accomplish this responsibility.
4) The Board establishes and imposes appropriate consequences for ethical lapses, possibly including censorship, loss of office, or loss of membership.

1.2 Society Leaders and Employees
Version New, approved by the Board 7/9/2012

Circumstance and Intent: Individual volunteers in a leadership position within the Society, and employees of the Society have a special responsibility to conduct themselves in the best interest of the Society, and to behave in a manner that reflects well upon the Society they are representing.

Scope: All employees (including contract employees) and all volunteers who are acting for or on behalf of the Society.

Definitions

Employee – any full or part time employee of the Society, including contract workers.

Volunteer – any member of the Society who is performing a task for or on behalf of the Society, including committee membership.

Responsibility of: It is the responsibility of each employee and volunteers to ensure that they and their co-workers operate in full compliance with the code of ethics and behavior.
**Accountable to:** The SCS Board is responsible to adjudicate and resolve ethical questions and issues raised by or regarding SCS members.

**Policy:** It is the policy the Society that:

1) Each Society employee and leader understands and complies with the code of ethics and business conduct provided in the appendix to this document.

2) The Executive Director prepares and maintains volunteer and employee handbooks to be made available to all volunteers and employees which provide a current and complete description of the activity they will be supporting, and which includes a reference to the code of ethics and business behavior.
2. Organization

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Board is responsible to establish an effective and efficient organization within which the Society conducts its work. The following policies describe the organizational elements of the Society and define their key responsibilities. Multiple policy statements may provide requirements and direction for any given organizational element and compliance with all is expected. Any conflicts between policies should be brought to the Board’s Governance Committee for resolution.

2.1 Board

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Board of the SCS is its governing body. Its members include the elected Directors at Large as well the Society President and the President-Elect who are ex officio members. The Board acts within the authority granted by the Articles of Incorporation and the Bylaws to ensure fulfillment of the Society’s purposes and objectives. The Board has overall responsibility to ensure that the business of the Society is conducted in an ethical, legal, and fiscally responsible manner, in compliance with its Bylaws and Articles of Incorporation, in the best interest of its membership, and guided by its Vision, Mission, and Goals.

The Board is primarily concerned with strategic planning and providing general guidance rather than with operational details. As such, the Board delegates its authority, at certain times and within prescribed limits, to the officers and to the Executive Committee. However, the Board retains absolutum dominion over all SCS matters. The Board is responsible to ensure that the business of the Society is conducted within the constraints of law, the Articles of Incorporation, and the Bylaws.

The Board exercises its responsibility to provide governance through the issuance of policy.

Scope: This policy applies to all members of the Board.

Definitions:

Board Member – A member of the Board; whether elected, or ex officio.

Director – A member of the Board, distinct from the Executive Director.

Responsibility of: It is the responsibility of every Board Member to understand and comply with this Policy Statement as well as the Society’s individual operating policies. It is the responsibility of the Chair of the Board to answer questions and make decisions about compliance. Consequences to a board Member’s knowing and willful failure to comply with this policy are defined in the Bylaws. In the event the behavior of Chair of the Board is questioned, the Chair will recuse themselves in accord with the Bylaws until the issue is resolved.
The Board has the following duties:

1. **Duty of Care**: A board member has the duty to exercise reasonable care when he or she acts as an agent of the Society. Reasonable care is understood to be an action or set of actions adhering to the *Prudent Man Rule*.

2. **Duty of Loyalty**: A Board Member must refrain all circumstances from using non-public information, which he or she has gained through his or her position within the Society, for personal gain, and must always act in the best interests of the organization. A board member must be faithful to the organization’s mission. He or she cannot act in a way that is inconsistent with the organization’s goals. The board member is trusted by the public to manage donated funds to fulfill the organization’s mission.

4. **In addition to the Duties of Care and Loyalty, Board Members bear the legal and moral responsibility to ensure, to the greatest extent of their ability, that:**
   a. The organization follows the law, the Articles of Incorporation, and the Bylaws;
   b. All contracts involving the use or allocation of material resources are entered into first and foremost for the Society’s benefit;
   c. No employee, volunteer-leader, or other insider engages in *self-dealing* practices;
   d. Individuals who are Board Members in good standing take all reasonable steps to attend Board meetings, and to serve on both standing and ad hoc committees as needed.

To accomplish these duties, the Board must, as a minimum, conduct the following activities:

1. **Mission and Strategic Planning**
   a. Directors are responsible for developing and carrying out the mission of the corporation, which includes determining the organization’s vision and direction as well as ensuring the availability of resources. Directors should undertake a periodic review of the corporation’s mission and strategy to ensure that they are compatible with the organization’s vision, direction, and resources, as well as in compliance with the law.

2. **Transparency and Clarity in communication**
   a. Directors are responsible for taking reasonable steps to communicate with Society members, stakeholders and the public about the Society’s affairs.
   b. In order to ensure effective communication, the Board should:
      i. Establish policies for communication and feedback
      ii. Establish a code of ethics for the Board
      iii. Establish a complaint and grievance procedure
      iv. Meet regularly
      v. Keep proper minutes and corporate records
      vi. Respond appropriately to requests for information
      vii. Develop a privacy policy

In addition, the Board has the following specific obligations:
Organizational Structures

1. Directors must develop appropriate structures for the organization that will enable it to achieve its vision.
2. No single structure is appropriate for all organizations; each organization is different and its structure may change over time.
3. Depending on what organizational structure is deemed appropriate, the directors must produce the documents which determine the organization’s structure, objects and authority, including:
   a. Articles of Incorporation
   b. Bylaws
   c. Policy
4. Directors must ensure the proper and legal approval of:
   a. Directors’ resolutions
   b. Members’ resolutions
   c. Items requiring external approvals, e.g. proper incorporation.
5. In order for the structure of an organization to be effective, the directors must develop proper and legal procedures for directors and members meetings.
6. An active and effective corporate Audit Committee is needed to help ensure that the directors’ duty to comply with the statutory and common law is satisfied by reviewing the structure, activities, and performance of the corporation at regular intervals and reporting on whether the organization is in compliance with the laws, rules, regulations etc., and whether the management, information and control systems are in place to carry out these laws.

The Role of the Board

1. In addition to understanding the corporation’s goals, structure, and activities, directors must understand the role of the Board and their duties as directors.
2. Directors should develop a board governance policy and a code of conduct for board members to give the directors guidance for how to proceed under various circumstances that might arise and ways in which the directors may discharge their duties.
3. The Board should develop a conflict of interest policy to assist the directors to discharge their duty to avoid conflicts of interests, to make clear the expectations of directors in the event a conflict of interest occurs or is suspected, and to make the policy clear to the directors themselves, to members, to other stakeholders, and to the general public.
4. Directors need to ensure their continuous education with regard to the activities of the corporation, relevant legislation, and the industry within which the organization operates.

Fiscal Responsibility

1. Fiscal responsibility is a very important part of ensuring that a corporation can meet its goals and objectives.
2. While management runs the day-to-day affairs of the corporation, the directors are ultimately responsible for establishing and maintaining fiscal responsibility in order that the directors may discharge their duty to manage and protect the assets of the organization.

3. Directors must establish a budget, monitor and control expenditures, and maintain proper oversight of accounting books and records.

4. Directors must ensure that the financial statements are prepared and audited.

**Human Resources**

1. Directors must exercise proper oversight of the management of the assets of the corporation. Directors should ensure that an effective employee and volunteer management team is in place and providing oversight of human resources.
   a. Effective management of employees includes:
      i. Ensuring compliance with employment legislation and workplace safety regulations.
      ii. Establishing policies and procedures for the day-to-day operations of the corporation and for certain extraordinary circumstances that might arise.
   b. Effective management of volunteers involves establishing policies for recruitment and supervision of volunteers, and especially screening potential volunteers, as well as providing leadership, feedback, and oversight.

**Implementing Assessment and Control Systems**

1. Directors should establish a framework of internal regulation, including a code of ethical conduct and policies on various areas of concern, to give management and employees guidance on how to handle issues that might arise. This would assist the directors in fulfilling a number of their duties, such as the duty of honesty, the duty of loyalty, and the duty to act in the best interests of the organization etc.

2. Establishing periodic review and audit procedures for the corporations, policies and assessment and control systems will enable a pro-active approach to emerging issues and challenges or to changes in the legislative or operating environment of the corporation.

**Planning for the Succession and Diversity of the Board**

1. One of the main benefits of incorporation is longevity; a corporation is not contingent on the availability or capacity of its leaders.

2. In recruiting and electing new directors it is important to ensure the diversity of the Board, making sure that the directors bring a variety of useful and relevant expertise to the operations of the corporation.

3. New directors need to be given appropriate orientation to the organization and its governing documents, structure, and activities, as well as the duties of directors.
4. Existing directors need to be continually reminded of their duties, as well as kept up-to-date with changes in the law that is relevant to the operations and governance of the organization.

**Accountable to:** The Board members are responsible to the membership and to each other to establish and comply with policy.

**Policy:** It is the Society’s policy that:

1) It operates in accord with the US tax code, the California State Corporate Code, The Articles of Incorporation, the Bylaws, and this policy document.

2) Board members are nominated and elected by the method prescribed in the Bylaws and the Nomination Committee's policies and procedures.

3) Board members do not receive compensation for their services to the Board; however, they may be reimbursed for pre-authorized and documented travel expenses if approved by the Treasurer. Any such reimbursement must be provided fairly, consistently, and in compliance with SCS business practices.

4) Board members receive information, training, and guidance with respect to their duties and roles.

5) The Board conducts its business in compliance with the Directors Code of Behavior Declaration and the Code of Ethics and Behavior included as attachments to this document.

6) The Board executes the duties, activities, and obligations described above.

7) Each newly elected, appointed, or *ex officio* board Member will sign a copy of the Board of Director’s Declaration (provided as an attachment to this document) and submit it the Secretary prior to assuming the responsibilities of a board member.

8) The Governance Committee periodically reviews this document to ensure that its guidance to the Board is compliant with current law; briefs the Board about any changes; and will provide at least an annual briefing to the board members to keep them informed about their current duties and responsibilities.

9) The Executive Director ensures that all board approved changes in governing documents are reflected in updated versions on the web site within 30 days of approval.

**2.1.1 Audit Committee**

Version *New, approved by the Board 7/9/2012*

**Circumstance and Intent:** The Board has a legal responsibility to provide adequate oversight of the operations of the Society. This includes but greatly exceeds the requirement for periodic external financial audits in that it addresses all aspect of the operations of the Society. The purpose of the audit activity is to determine whether the Society is performing its activities in compliance with bylaws and policy, in an efficient manner, and in a way that will reflect well upon the Society. The role of the Audit Committee is to regularly investigate elements of Society operations to ensure that every aspect of the Society business is conducted:
- Ethically and in full accord with public law, Society Bylaws, Generally Accepted Accounting Policy, and board policy;
- In accord with the Society's strategy; and
- As effectively and efficiently as practicable

**Scope:** Audit Committee members, all employees, leaders, and volunteers. Any or all activities performed by or on behalf of the society is subject to audit.

**Definitions**

**Audit** – A review of an aspect of Society operations conducted by the Board Audit Committee, or their designee.

**Critical Operation** – Any operation which is likely to affect the good name, reputation, or financial state of the Society.

**Finding** – An aspect of Society operation determined by the Audit Committee to be not in accord with Society policy.

**Operation** – Any activity conducted by or on behalf of The Society.

**Recommendation** – A suggestion by the Audit Committee for how an operation could be improved, or a finding corrected.

**Significant Finding** – A finding of the Audit Committee which the committee believes to vary significantly from Society policy and that should be immediately reported to the Board for the Board to take action.

**Responsibility of:** It is the responsibility of the Audit Committee to regularly and frequently identify and audit specific aspects of Society operations, more frequently auditing critical operations, and over time conducting a complete audit of all operations. It is the responsibility of the audit committee to conduct at least one on site event at the Society offices each year. It is the responsibility of the Audit Committee to prepare and maintain an audit plan and audit records. It is the responsibility of all SCS board members, officers, employees, contractors, and volunteers to provide complete, current, accurate, and timely responses to requests from the Audit Committee.

**Accountable to:** The Audit Committee is responsible to the Chair of the Society's Board to plan, execute, and document audits of Society operations.

**Policy:** It is the policy of the Society that:

1) The Board establishes a standing Audit Committee in compliance with the Bylaws.
2) The Audit Committee establishes, maintains, and makes available for board review a current audit plan listing the activities to be audited, along with the approximate time frame.
3) The Audit Committee solicits and considers recommendations for audits from the membership.
4) The Audit Committee conducts its operations in full compliance with Society policy, including ethics, privacy, and the Employee Manual.
5) The Audit Committee retains records describing the audits that they have conducted; the time frame and scope of each audit; and a record of all findings and recommendations.
6) At least annually the Audit Committee provides a summary report to the full board of all audits suggested or conducted, of all findings, and of all recommendations.
7) The Audit Committee reports all significant findings and recommendations to the Board no more than 7 calendar days after the committee determines the finding to be significant.
8) The Audit Committee plans, conducts, documents, and reports on at least four audits per year, approximately quarterly.

2.1.2 Governance Committee

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Society intends to conduct its operations effectively and in the best interest of the Society, its membership, international M&S community, and society at large. This requires the Society to regularly examine its own organizational structure and governing documents to ensure that it is well designed to achieve the Society’s Vision, Mission, and Goals; to implement the aspects of Society’s documented strategy that influences governance; and to identify opportunities for improvement.

Scope: The Governance Committee.

Definitions

Governance Document – Articles of Incorporation, Bylaws, and policy document.

Recommendation – A suggestion for improvement or correction of one or more of the governing documents.

Responsibility of: The Board Governance Committee.

Accountable to: The Chair of the Board.

Policy: It is the policy of the Society that:

1) The Board establishes a standing Governance Committee chaired by the President-Elect as required by the Bylaws.
2) The Governance Committee reviews all Society governing documents at least annually to determine if corrections are required, or if improvements are needed.

3) The committee documents any recommended corrections or improvements in the form of very specific motions to the Board, to enable the Board to make an informed decision about each recommendation. Each motion will include the specific wording changes recommended for each document, along with the rationale for the recommendation.

4) The Governance Committee provides a report of documents reviewed and recommendations since the last report at each board meeting, or at least annually.

2.1.3 Strategic Planning Committee

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Society must continuously evolve to meet the current and future needs of the membership, and the M&S community. The Society must have a cohesive and consistent strategy to drive the needed changes. It is intended that the President-Elect lead the development of the updated strategy to be used during his or her term of office.

Scope: Strategy Committee, Board, Executive Committee, Executive Director, President and President Elect.

Definitions

Strategy – High level direction used to guide the policy of the Society and day-to-day decisions of its leaders.

Strategic Guidance Document – A document created by the Strategy Committee that when approved by the Board, defines the strategic goals for the Society, identifies specific activities to be taken by identified elements of Society leadership, and specifies a timeframe within which the activities are expected to be conducted to achieve the goals.

Strategic Goals – High level goals that define the desired future state of the Society. Sound strategic goals are realistically achievable (through earnest effort), measurable (so it can be determined that they have been achieved), and actionable (meaning they can be used to develop executable plans).

Responsibility of: Strategy Committee to develop, maintain, and provide for board approval a Strategic Plan that is sound and consistent with the Society’s Mission and Goals. The Executive Committee is responsible to operate in accord with the approved Strategic Guidance Document, within the prescribed time frame, and achieve the stated goals to the best of their ability and to propose updates, extensions, and changes as they gain experience with the strategy.

Accountable to: The Chair of the Board, and the Board as a whole.
Policy: It is the policy of the Society that:

1) The Board establishes a standing Strategy Committee as required by the Bylaws. The Committee is normally led by the President-Elect with at least two other members. Voting membership in the Strategic Committee is not limited to members of the Board, however the committee is expected to include participation from the membership at large.

2) The Strategy Committee at least annually produces a Strategic Guidance Document and provides it to the Board for their review sufficiently prior to the end of the current term of the President and President-Elect to enable the Board to provide their input and approval prior to the end of the current President and President-Elect term.

3) The Strategic Committee may update and the Board may approve updates to the Strategic Guidance Document at any time to improve clarity, to accommodate changes in understanding or intent, or to adapt to changes in the environment.

4) The Strategic Guidance Document is written in such a way as to guide, but not unduly restrict, the day-to-day decision making process of the Executive Committee and its members.

5) The Strategic Guidance Document identifies significant changes needed in governance documents needed to implement the Strategy.

2.1.4 Personnel Committee

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Board is required to establish legally compliant, fair and consistent policy to manage all Society personnel, to provide oversight of all personnel management processes, and to manage the compensation for and provide performance evaluations to the Executive Director.

Scope: Personnel Committee

Responsibility of: It is the responsibility of the Personnel Committee to develop and provide for board approval personnel policy (including the employee handbook) and to provide performance assessments of and establish compensation levels for the Executive Director. It is the responsibility of the Executive Director to implement the Board approved personnel policy, and to provide management oversight of all Society employees. It is the responsibility of all employees to be familiar with and to comply with SCS personnel policy.

Accountable to: The Personal Committee and the Executive Director are responsible to the Chair of the Board for compliance with this policy.

Policy: It is the policy of the Society that:

1) The Personnel Committee is established within the Board as required by the Bylaws.
2) The personnel Committee provides input to the Governance Committee regarding SCS employee policy.

3) The Personnel Committee conduct performance reviews and any required compensation adjustment to the Executive Director at least annually.

4) The Personnel Committee ensures and supports the Executive Directors responsibility to develop and maintain employee and volunteer handbooks, in compliance with public law and good practices.

5) The Board Chair conducts the annual one-on-one performance review of the Executive Director, based on the findings and recommendations of the personnel Committee.

2.2 Executive Committee

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The day-to-day actions required to execute the Society’s mission require active leadership and decision making. The Executive Committee provides that leadership, acting under the oversight, but not day-to-day direction of the Board. It is expected that the President, the Executive Director, and the Vice-Presidents will work actively and cooperatively within the committee to effectively and efficiently conduct the operations of the Society.

Scope: Executive Committee, Executive Director, Vice-Presidents and volunteer leaders.

Definitions

Operations – All activity conducted by, for, or on behalf of the Society by employees, volunteer leaders, or members.

Action Item – a documented agreement by a specific, named individual or role to complete a defined activity not later than a specified date.

Responsibility of: The Executive Committee is responsible to provide the leadership needed to ensure that the Society performs the activities and produces the artifacts necessary to:

• Actively, efficiently, and effectively execute the day-to-day operations of the Society,
• Faithfully execute the policy and strategy of the Society,
• Serve the best interest of the membership, and
• Provide the Board full, accurate, and timely visibility into the status of the Society.

Accountable to: The Executive Committee is responsible to the Board in general and the Chair of the Board specifically.
**Policy:** It is the policy of the Society that:

1) The President establishes and leads the Executive Committee as required by the Bylaws with the Executive Director and the Vice-Presidents as voting members.
2) The President appoints the Vice-Presidents from among the membership at large.
3) The Executive Committee meets at least monthly.
4) The office staff provides a secretariat for the Executive Committee by recording minutes, documenting and reporting on action items and developing and delivering the minutes of each monthly meeting the members of the Board in the form of a monthly report on the activities and status of the Society.
5) The Executive Director provides a current and accurate financial report to the Executive Committee prior to each monthly meeting and includes it in the monthly report.
6) The President and each Vice-President present a written report of their activities and status.
7) The Executive Committee reviews the status of action items at each of their meetings.

### 2.2.1 Conference

**Version** New, approved by the Board 7/9/2012

**Circumstance and Intent:** The conduct of conferences is a fundamentally important activity of the Society. Successful conferences are central to the Society’s mission. It is expected that the Conference Committee will provide high quality, well planned, and successful conferences.

**Scope:** Conference Committee, Executive Committee, Executive Director.

**Definitions**

**Conference Timeline** – A list of activities required to plan and execute successful conferences, including identification of the person or committee responsible to conduct the activity and the time frame in which the activity is expected to be conducted. The timeline addresses all conferences in the conference plan, covers activities from establishment of dates and venues to production of proceedings and conference closeout activities, and identifies and allocates to responsible individuals all significant activities involved in planning and conducting high quality conferences.

**Responsibility of:** The Vice-President of Conferences and the Conference Committee to oversee and coordinate all operations related to conferences.

**Accountable to:** President.

**Policy:** It is the policy of the Society that:

1) The President appoints the Vice-President of Conferences who then establishes a committee with at least 2 other members as required by the Bylaws.
2) The Conference Committee at least annually develop and present for approval by the Board a schedule of all SCS conferences times and locations covering at least two years into the future after the Board meeting at which it is presented.

3) The Conference Committee at least annually develop, maintain, and obtain Executive Committee approval of a clear, complete conference planning timeline and communicate the timeline to all individuals with conference planning responsibilities.

4) The Conference Committee uses the conference planning timeline to manage their own work and that of the individuals and committees planning each individual conference.

5) The Conference Committee monthly determines the status of every conference in the current plan in terms of their accomplishment of the activities prescribed by the timeline, and reports that status to the Executive Committee for their review and subsequent submittal to the Board.

6) The Conference Committee appoints leaders for all planned conferences in accord with their own planning timeline and ensures that the appointed leaders are familiar with the conference planning timeline and their obligation for timely execution of and status reporting on the timeline activities.

7) The Conference Committee along with the Vice-President of conferences is responsible for overall conference budget adherence and promptly reporting any positive or negative variances in their monthly reports.

8) The Conference Committee provides oversight of current conferences and planning for future conferences.

2.2.2 Education

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Society is committed to promote the education and professional development of M&S practitioners, including developers, researchers, users, and leaders.

Scope: Education Vice-President and Committee.

Definitions

Education – Activities which support or improve the basic or advance education of M&S professionals, and which improve the application of M&S to other types of education.

Workforce Development – Activities which support M&S professionals’ commitment to continuing professional education and other activities which improve the state of the M&S professional workforce.

Responsibility of: The SCS Vice-President for Education and the committee he or she leads to develop and execute a plan of activities to improve the state of M&S Education and to provide opportunities for Workforce Development.

Accountable to: President.
Policy: It is the policy of the Society that:

1) The President appoints the Vice-President for Education who then establishes a committee with at least 2 other members as required by the Bylaws. Note that this does not mean that all hotel contracts must be signed 2 years in advance, but rather that planning has occurred regarding the conference location.
2) The Education Committee at least annually develops and presents for approval by the Executive Committee a plan for of all SCS for Education activities for the year.
3) The Education Committee uses their plan to manage their own work.
4) The Education Committee prepares and submits to the Executive Committee for their review and subsequent submittal to the Board a monthly status report which addresses every activity in the current plan.

2.2.3 Membership
Version New, approved by the Board 7/9/2012

Circumstance and Intent: It is a basic goal of the Society to provide direct service to the membership, in addition to those provided by the other Vice-Presidents, and to take action to grow the membership.

Scope: Vice-President for Membership and Membership Committee.

Responsibility of: The Membership Vice-President and the Membership Committee to coordinate the provision of direct services to the membership, to take action to grow the membership, and to periodically conduct interviews or surveys to measure member satisfaction with the Society and to collect suggestions for improvement in member satisfaction regarding all activities of the Society.

Accountable to: Executive Committee.

Policy: It is the policy of the Society that:

1) The President appoints the Vice-President for Membership who then establishes a committee with at least 2 other members as required by the Bylaws.
2) The Membership Committee at least annually develops and presents for approval by the Executive Committee a plan for of all SCS membership activities for the year.
3) The Membership Committee uses their plan to manage their own work.
4) The Membership Committee prepares and submits to the Executive Committee for their review and subsequent submittal to the Board a monthly status report which addresses every activity in the current plan.
2.2.4 Publications
Version New, approved by the Board 7/9/2012

Circumstance and Intent: The production of quality technical publications such as journals, magazines, newsletters is one of the major activities of the Society and is central to the Society’s ability to accomplish its mission.

Scope: Publications Vice-President and Publications Committee.

Responsibility of: The Publication Vice-President supported by the Publication Committee to provide planning and oversight of the development and production of SCS publications.

Accountable to: Executive Committee.

Policy: It is the policy of the Society that:

1) The President appoints the Vice-President for Publications who then establishes a committee with at least 2 other members as required by the Bylaws.
2) The Publication Committee at least annually develops and presents for approval by the Executive Committee a plan for all SCS publication activities for the year.
3) The Publication Committee uses their plan to manage their own work.
6) The Publication Committee prepares and submits to the Executive Committee for their review and subsequent submittal to the Board a monthly status report which addresses every activity in the current plan.

2.3 Nominating Committee
Version New, approved by the Board 7/9/2012

Circumstance and Intent: The effort of talented and committed volunteer leaders is central to the success of SCS. Identifying and recruiting highly qualified volunteer candidates for elective office is a major component of providing that leadership.

Scope: Nominating Committee.

Responsibility of: The nominating committee to identify and recruit enthusiastic and highly qualified candidates for the elected offices of the Society.

Accountable to: President and Chair of the Board.

Policy: It is the policy of the Society that:

1) The Chair of the Board appoints a leader (normally the Immediate Past President) for the Nominating Committee and that leader appoints at least 2 additional members as required by the Bylaws.
2) The Nominating Committee performs the duties identified in the Bylaws, e.g.: meets at least once annually and selects candidates, vets candidates, collects nomination forms, collects petition forms, and recommends a slate of candidates to the Board.

3) The Nominating Committee provides a full slate of candidates, including at least 1, but preferably 2 or more candidates for each elected position at least 90 days prior to each scheduled election, including a brief biography of each candidate.

4) The Nominating Committee obtains from each candidate for the Board and President-Elect a signed copy of the Board Member Code of Conduct Declaration prior to their name appearing on the ballot.

5) The Nominating Committee confirms via the Executive Director that each candidate for elected office is a current member in good standing of the Society before their name appears on the ballot.

6) The Nominating Committee provides background information to the Board and asks for board approval of the election slate.

2.4 Professional Accomplishment

Version New, approved by the Board 7/9/2012

Circumstance and Intent: As a part of its mission to serve the M&S community the Society has the obligation provide recognition of key contributors to the Society in the form of awards, or by selection as a Society Fellow.

2.4.1 Awards and Recognition

Version New, approved by the Board 7/9/2012

Circumstance and Intent: It is in the best interest of the Society and its members to formally recognize the contributions of individuals to the good of the Society and to the M&S community at large.

Scope: Awards and Recognition Committee

Definitions

Responsibility of: It is the responsibility of the Award and Recognition Committee to identify, document, and present to the Board qualified nominees for the various awards and recognitions provided by the Society. The Board is responsible to ensure the nominees are qualified, and to approve the awards they find to be suitable.

Accountable to: The Awards and Recognition Committee is responsible to the Board.

Policy: It is the policy of the Society that:

1) The board establishes an Award and Recognition Committee of at least 4 members, normally chaired by the Immediate Past President.
2) The Awards and Recognition Committee nominates to the Board candidates for the awards listed in the following table, applying the criteria and frequency guidance from the table below.
3) The nominations include evidence to support the candidates’ qualifications for the award.
4) The Awards and recognition committee solicits suggestions for award nominations from the membership.
5) Each recipient is given a suitable recognition certificate.

<table>
<thead>
<tr>
<th>Award</th>
<th>Qualification</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Outstanding Professional Contribution Award</td>
<td>The candidate will typically have contributed an innovative concept or product, or formulated creative insight, which has been embraced by some significant segment of the modeling and simulation community as evidenced by its widespread application in that community.</td>
<td>As appropriate</td>
</tr>
<tr>
<td>Distinguished Professional Achievement Award</td>
<td>The candidate will typically have made a group of technical contributions to modeling and simulation activities that have been widely disseminated in the technical literature. As a consequence of these contributions, the candidate will have achieved a stature that is generally recognized as being of high caliber.</td>
<td>At most once per year.</td>
</tr>
<tr>
<td>McLeod Founder’s Award for Distinguished Service to the Profession</td>
<td>This award typically recognizes a group of technical contributions which have been made by the candidate over a significant period of time; e.g., a decade or more. They clearly reflect a commitment by the candidate to nurturing a robust evolution of the profession. The significant nature of the contributions will be supported by their wide dissemination in the technical literature and their discernible impact on the manner in which some aspect of the modeling and simulation activity is carried out.</td>
<td>Typically given at most every three years</td>
</tr>
<tr>
<td>Outstanding Service Award</td>
<td>This award recognizes an outstanding to the Society by a member. Typical contributions by the candidate would be: leadership of a major conference which achieved substantial success for SCS, a major editorial contribution to one of the Society’s regular publications, or establishment of a new and successful business area or program for the Society.</td>
<td>As appropriate</td>
</tr>
<tr>
<td>Distinguished Service Award</td>
<td>This award recognizes distinguished service to the Society by a member at a level of dedication and achievement that is rarely demonstrated. The member will have made a series of significant contributions to the SCS over a 5 to 10 year period. Typically the contributions will include some combination of the following: running a conference over several years and achieving growth in its prestige and success, significant editorial service to one of the</td>
<td>Typically, at most one such award is given each year</td>
</tr>
<tr>
<td>Presidential Award for Service to the Society</td>
<td>This award recognizes unique long term service to the Society by a member. The candidate will typically have made a series of outstanding contributions over a 10 to 15 year period and exhibited leadership ability that has clearly resulted in a growth in the vitality of the Society. The candidate’s decisions while in positions of responsibility have influenced the future of SCS. In addition to his/her demonstrated leadership ability, the candidate will typically have an acknowledged stature for technical achievement.</td>
<td>Typically, at most one such award is given each 3 years.</td>
</tr>
</tbody>
</table>

### 2.4.2 Senior Fellow Committee

Version *New, approved by the Board 7/9/2012*

**Circumstance and Intent:** The Society desires to recognize well qualified individuals who represent the best qualities and qualifications of the M&S Profession.

**Scope:** Senior Fellow Selection Committee.

**Definitions**

**Senior Fellow** – A member of the SCS Fellowship nominated and selected in accord with this policy, and with the rights and privileges established in the Bylaws.

**Responsibility of:** The Senior Fellow Selection Committee to identify and nominate qualified candidates to recommend to the Board for selection as Senior Fellows of the Society.

**Accountable to:** Chair of the Board.

**Policy:** It is the policy of the Society that:

1. The Chair of the Board appoints a leader (normally the Immediate Past President) for the Senior Fellow Selection Committee and that leader appoint at least 3 additional members, one of whom must be a current fellow, as required by the Bylaws.
2. The Senior Fellow Selection Committee meets at least once every other year to review, consider and/or nominate fellow candidates to the Board.
3. The Senior Fellowship Committee document and maintain a set of specific qualifications for Senior Fellow Rank, and consistently use those criteria for their recommendations to the Board.
2.5 Presidents’ Council

Version New, approved by the Board 7/9/2012

Circumstance and Intent: Former Society Presidents provide a significant resource of experience, knowledge, and wisdom regarding the Society. The purpose of the Presidents’ Council is to make this resource available to current Society leadership.

Scope: All former Presidents of the Society.

Definitions:

Former President – Any Society member who has ever held, but does not currently hold, the office of President of The Society.

Responsibility of: Presidents’ Council, Executive Committee, and Board.

Accountable to: The Presidents’ Council is responsible to the Board to comply with Society policy, but members of the council are responsible only to themselves for their activities and products.

Policy: It is the policy of the Society that:

1) The Presidents’ Council is recognized as a valuable independent organization responsible to organize itself, operates in compliance with Society policy, and provides whatever products or services, or conducts whatever activities the committee believes to be in the best interest of the Society.

2) Members of the Council, as former board members, continue to comply with the Board member code of conduct when acting for or on behalf of the Society.

3) The Board or Executive Committee may ask, and the Council may agree to conduct activities on behalf of the Society including studies, reviews, audits, and reports.
3. Relationships with Other Organizations

Version New, approved by the Board 7/9/2012

Circumstance and Intent: It is in the best interest of the Society and membership to establish affiliations with other non-profit, tax-exempt organizations when those affiliations provide benefit to the membership or help the Society execute its mission or achieve its Vision and goals as specified in the Bylaws. It is the intent of this policy to provide guidelines for establishing, maintaining, and terminating such relationships, while ensuring that each new and recurring relationship is in the best interest of the Society, its membership, and its Mission. Note that relationships with other institutions such as industry or government agencies can be established via corporate (institutional) membership.

Scope: President-Elect, Board

Definitions

External Affiliate – An organization with whom the Society has established an affiliation agreement.

Responsibility of: It is the responsibility of the President-Elect to manage all external affiliate relationships including ensuring that the organizations involved are in compliance with the terms of the agreements, to work with other organization to recommend new relationships and to draft the required new affiliation agreements, to at least annually review each agreement to ensure the agreement is still in the best interest of the Society, and to make recommendations to the Board regarding relationship to be established, modified, or terminated. It is the responsibility of the Board to approve or disapprove all new affiliation agreements, as well as modifications and terminations of existing agreements.

Accountable to: The President-Elect is accountable to the President, the Executive Committee and ultimately to the Board to manage all existing external affiliation agreements.

Policy: It is the policy of the Society that:

1) The President-Elect manages external affiliate relationships and reports to the Board as required by the Bylaws.

2) All enquiries from other organizations regarding existing or potential affiliations be referred to the President-Elect, and the President-Elect retains records of all such enquiries and include them in the report to the Board.

The Strategic Planning Committee provides suggestions to the President-Elect regarding promising affiliations.

3) The Executive Director maintains records of all external affiliations, including approved agreements.
4. **Control of Intellectual Property**

*Version New, approved by the Board 7/9/2012*

**Circumstance and Intent:** The employees, leaders, and members of the Society, when acting for or on behalf of the Society, are responsible to identify and protect the intellectual property of the Society and to protect the intellectual property of members.

**Scope:** All SCS members and employees.

**Definitions**

**Intellectual Property** - Creations of the mind: inventions, literary and artistic works, and symbols, names, images, and designs used in commerce.

**Fair Use** - Quotation of excerpts in a review or criticism for purposes of illustration or comment; quotation of short passages in a scholarly or technical work, for illustration or clarification of the author’s observations; use in a parody of some of the content of the work parodied; summary of an address or article, with brief quotations, in a news report; reproduction by a library of a portion of a work to replace part of a damaged copy; reproduction by a teacher or student of a small part of a work to illustrate a lesson; reproduction of a work in legislative or judicial proceedings or reports; incidental and fortuitous reproduction, in a newsreel or broadcast, of a work located in the scene of an event being reported.

**Responsibility of:** The Executive Committee to ensure that the intellectual property of the Society is protected; and of every member of the Society to comply with this policy and to be observant for possible infringement.

**Accountable to:** The Executive Committee is responsible to the Board to monitor and maintain compliance with this policy.

**Policy:** It is the policy of the Society that:

1) The Society holds copyright on all Society logos, publications and documents, including the contents of the website and all photographs and recordings of Society activities. **Note:** Authors who provide content for the Society release copyright to the Society.

2) All documentation and logos of the Society be marked to indicate that the Society holds copyright, using the either the copyright symbol © or the word “copyright”, together with the year in which the work was created; e.g. “© 2012 SCS” or “Copyright 2012 SCS”. **Note:** SCS holds copyright whether or not the marking is present and the material is copyrighted as soon as it is created – publication is not required to establish copyright.

3) Any release of copyright requires prior approval by the President and Executive Director.

4) That copyright of content provided to SCS by employees or members acting for or on behalf of the Society are presumed to be held by the Society, not the author.
5) In accord with the US code title 17, the copyright prevents any person or organization from doing any of the following without explicit, written permission of the Society:
   - reproduce the work in copies or phonorecords
   - prepare derivative works based upon the work
   - distribute copies or phonorecords of the work to the public by sale or other transfer of ownership, or by rental, lease, or lending
   - perform the work publicly, in the case of literary, musical, dramatic, and choreographic works, pantomimes, and motion pictures and other audiovisual works
   - display the work publicly, in the case of literary, musical, dramatic, and choreographic works, pantomimes, and pictorial, graphic, or sculptural works, including the individual images of a motion picture or other audiovisual work
   - perform the work publicly (in the case of sound recordings) by means of a digital audio transmission

6) The Audit Committee periodically reviews SCS published works to determine compliance with this policy. Any member who believes that an infringement of SCS copyright has occurred will immediately notify the President or Executive Director, and that the President or Director take corrective action if they believe an infringement has occurred. Corrective action may include formal notification of the publisher of the infringing material, formal registration of the copyright with the US copyright office (if this has not already occurred, and the infringed work has been published in the last 5 years), and filing of an infringement suit via the court system.

Note: This policy does not apply to fair use of SCS copyright material by organizations or individuals.

4.1 Use of SCS Logo

Version New, approved by the Board 7/9/2012

Circumstance and Intent: The SCS logo represents the Society, and should not be used by anyone or for any purpose that would detract from the Society’s good name or reputation.

Scope: All SCS members and employees.

Definitions

Logo – Any graphic or symbol designated by the Board as an SCS logo, including all logos used by the Society in the past.

Responsibility of: The President and Executive Director.

Accountable to: The President and Executive Director are responsible to the Board to implement this policy.
**Policy:** It is the policy of the Society that:

1) The SCS logo is not subject to the fair use provision of copyright law. Any unauthorized use may be an infringement.

2) Any request from any organization or individual use of an SCS logo is referred to the President and Executive Director.

3) The President and Executive Director determine and agree that the requested use would be in the best interest of the Society before granting their joint approval.

4) The Executive Director maintains a record of each approved use.

5) The Audit Committee periodically reviews uses of the logo and determines:
   a. If unauthorized uses have occurred, then takes corrective action.
   b. Where approved uses of the logo occurred determine whether they were in fact in the best interests of the Society, then provide recommendations to the Board on how to improve the guidelines for logo use that are provided to the President and Executive Director.

6) The Society registers its logo (or logos) with the US Copyright Office to enable legal action and reimbursement of legal fees in the event the Society elects to pursue an infringement lawsuit.
5. **Administration policy**

*Version New, approved by the Board 7/9/2012*

**Circumstance and Intent:** The Operations of the Society are complex and International in scope. Clear policy is required to define the requirements for administration of these operations.

**Scope:** As described in the following detailed policies.

**Definitions**

*Administration* – Activities and operations of the Society that, while fundamentally important to the success of the Society, are supportive of but not directly related to the product lines of the Society, i.e., Publications, Conferences, Membership, and Education.

**Responsibility of:** The office staff under the direction of the Executive Director has primary responsibility for most administrative actions, while the Vice-Presidents have primary responsibility for the product line operations. The overall success of the Society requires effective execution of both types of operation, and strong cooperation between them. See the following policies for more specifics.

**Accountable to:** In general, the Vice-Presidents are responsible to the President for product line Activities. Both the President and Executive Director are responsible to the Board. See the following detailed policies for more specifics.

### 5.1 Budget

**Circumstance and Intent:** Sound fiscal policy management requires budgeting, spending, monitoring and reporting which are the means by which the board exerts its legal, fiduciary responsibility to oversee Society operations. The budget process produces an annual budget that reflects strategic and business objectives for the upcoming fiscal year. The budget process brings together the Society’s staff and officers to coordinate activities and establish controls needed to effectively manage the business of the Society. The annual SCS budget reflects expected and planned activities of expenditures and revenues of the Society in the upcoming fiscal year.

**Scope: Definitions**

*Budget* - A statement or set of statements that provides proforma estimates of the Society’s financial position and a summary of annual operations for some future period. Once approved by the Board, the Budget provides stakeholders with estimates future income, project- or activity-specific resource allocations, and provides metrics for comparison against which SCS’s actual financial statements are reported and compared.
Fiscal Year - A 12-month period as defined in the Articles of Incorporation.

Responsibility of: The Treasurer, with support from the Executive Director and input from the President-Elect and Vice-Presidents is responsible to prepare the annual budget and present it to the Board for approval. The Executive Director is responsible to conduct Society business operations in accord with the approved budget. Specific Responsibilities include:

1) The Executive Director solicits budget lessons learned for the rest of the fiscal year from the currently serving President and Vice-President’s and solicits budget inputs from the President-Elect and incoming Vice-Presidents.
2) The Executive Director develops a draft budget based on the inputs provided in a) above. The Executive Director presents the draft budget to the Executive Committee for their review.
3) The Executive Director presents the draft budget to the Treasurer for review and comment.
4) The Executive Director distributes the draft budget to all Board members.
5) The Treasurer and the Executive Director present the proposed budget to the Board of Directors for review, and revisions, if necessary and approval.
6) The Executive Director distributes approved budget to the Board of Directors and the incoming Executive Committee.

Accountable to: Board of Directors

Policy: It is the policy of the Society that:

1) The fiscal year of the Society runs from July 1–June 30
2) All Society operations are conducted in compliance with an approved budget at all times.
3) The Treasurer provides a proposed budget to the Board of Directors in a timely fashion allowing the Board to consider, revise, and approve the budget for the fiscal year prior to the beginning of the fiscal year.
4) The Treasurer establishes, the President enforces, and the Executive Director supports a timeline for budget inputs as required to prepare a timely budget proposal to the board.

5.2 Membership Services
Version New, approved by the Board 7/9/2012

Circumstance and Intent: The provision of services to the membership and volunteers of the Society is, in addition to conducting the Society’s finance and business operations, the purpose of the Society offices led by the Executive Director. Because the success of the Society is fundamentally the responsibility of the members and volunteers, and because the office staff is small, the portion of membership services provided by the office, while very important, is relatively small. The purpose of this policy is to describe the Society’s expectation of the
membership services from the office, and to define how those services are requested and managed

**Scope:** Executive Director and Office Staff

**Definitions**

**Membership Services** – Services provided by the office either directly to the overall membership or the volunteers ranging whether routine (conference registration, membership renewal, etc.) or in response to a special request (e.g. creation of a special report for the Board).

**Responsibility of:** It is the responsibility of the Executive Director and office staff to provide services as required by this policy. It is the responsibility of the Directors, Officers, volunteer leaders and general membership to abide by the policy when requesting other than routine services.

**Accountable to:** The Executive Director is accountable to the Board Chair.

**Policy:** It is the policy of the Society that:

1. The Executive Director and office staff work provide the following services to the membership:
   a. Enable communication from leadership to membership via a website, email, and other means as needed.
   b. Manage election process execution.
   c. Reliably respond in a timely fashion to member requests for information, products, or services.
   d. Quickly and efficiently respond to requests from non-members to join the Society
2. Keep records of services provided to members, and report on them to the Executive Committee.
3. Provide suggestions for improvement of membership services to the Executive Committee.

### 5.3 Finance and Accounting

**Version** New, approved by the Board 7/9/2012

**Circumstance and Intent:** As a not-for-profit corporation, the Society is strongly encouraged, but not obliged to comply with Generally Accepted Accounting Procedures. As a not-for-profit corporation, the Society is not subject to all provisions of the Sarbanes-Oxley Act, however it is expected that the Society will take adequate measures to discover and prevent errors and fraud. Specifically, the Society is required to have an independent Audit Committee and to establish policies regarding loans to executives, whistleblowers, and document retention. It is
encouraged to take action to improve the accuracy and timeliness of its financial disclosure documents, and to change auditors every few years.

**Scope:** Executive Director, Executive Committee, Directors at Large and Board

**Responsibility of:** It is the responsibility of the Executive Director to ensure that the specified financial controls are applied, that the required reports are provided, and that data is provided to the Audit Committee and to the external auditors to ensure that the controls have been properly implemented. It is the responsibility of the members of the Board to act as fiduciaries of the Society.

**Accountable to:** Executive Committee and Board.

**Policy:** It is the policy of the Society regarding assets and liabilities that:

1) Assets and liabilities are recorded in compliance with the GAAP rules for accrual accounting.
2) SCS will maintain a series of internal control checklists which help protect company assets and liabilities.
3) SCS will capitalize all assets which have an expected useful life of more than one year and a value of $500.00 or more. Exceptions to this include certain office equipment.
4) Assets and liabilities shall be reported on the balance sheet using fair market value, as determined by the Executive Director.

It is the policy of the Society regarding accounts payable and accounts receivable that:

1) A competitive bidding process is to be used for all purchases over $2,000.
2) Accurate financial records are maintained and pay vendors are paid in a timely manner.
3) Vendors selected to be paid by accounts payable must be approved by the Executive Director.
4) An IRS form 1099 will be issued to all outside contractors per IRS regulations.
5) Accounts Receivable records will be accurate, complete, and maintained in a manner to indicate the length of time the suppliers’ debt has been outstanding.

It is the policy of the Society regarding financial reports that:

1) Industry standard financial reports will be issued, including as a minimum: Statement of Activities, Statement of Financial Position, Accounts Receivable Aging, Cash Flow Forecast, Conference Reports and Active Current Membership Report.

It is the policy of the Society regarding expense reimbursement that:

1) All expenses shall be reimbursed to SCS staff according to SCS preapproval and reimbursement processes.
2) The SCS reimbursement process requires documentation and validation of expenses for compliance with IRS regulations and reasonableness.

It is the policy of the Society regarding payroll that:

1) Employee time reports shall be submitted no later than 1 day prior to the production of payroll.
2) Paychecks shall be distributed on payday and no sooner than 8AM on payday.
3) Paychecks will be issued weekly, on Friday.

It is the policy of the Society regarding purchasing that:

1) Purchasing is authorized by the delegated authority policy and is approved by the Executive Director.
2) All purchases over $2,000 for a specific project or purpose require competitive procurement, where competitive procurement includes procurement by competitive bidding, negotiation, and the use of independent appraisals to ensure fair value is received.
3) All items purchased by SCS shall be received and inspected to ensure compliance with the specifications and quantities ordered.
4) The following contract categories are governed by this policy without exception:
   - Advertising
   - Design and Engineering services
   - Construction and Project Management services
   - Accounting, Legal, and Consulting services
   - Lease Agreements
   - Insurance Agreements
   - Hotel contracts

It is the policy of the Society regarding bank account reconciliation that:

1) All SCS bank accounts are reconciled no later than 7 days after receipt of the monthly bank statements.

5.4 Contracts
Version New, approved by the Board 7/9/2012

Circumstance and Intent: In order to accomplish its mission the Society is frequently required to sign contracts with other individuals and business entities. Each contract represents a legal obligation placed on the Society to provide funds or conduct activities. A solid record of compliance with contracts is an important element of the Society’s good name and reputation so policy is required to guide the issuance and approval of contracts by or on behalf of the Society. The Society is legally bound to ensure that all contracts into which it enters are in the
Society’s best interest, and with full confidence that all parties in the contract are fully capable and committed to fulfill the terms of the contract.

**Scope:** All employees and volunteer leaders authorized to sign contracts or write checks on behalf of the Society, the Chair of the Board, the Treasurer, and the Audit Committee.

**Definitions**

**Contract** – A legally binding agreement by which the Society is obliged to provide goods, services, or funds in exchange for other goods, services, or funds. This includes checks, lease agreement, personal service agreements, and all other forms of legal obligation entered into or accepted by or on behalf of the Society.

**Responsibility of:** President, Executive Director, or any other person authorized to enter into an agreement on behalf of the Society.

**Accountable to:** The Board.

**Policy:** It is the policy of the Society that:

1) The Chair of the Board maintains a list of individuals authorized to sign contracts for or on behalf of the Society. This list would not normally include the Chair, but would normally include the President, the Treasurer, and the Executive Director. The list will also contain any agreed upon limits such as maximum dollar amounts or other limits on obligations a given individual may undertake.

2) All commitments beyond the stated limits require approval of the Board Chair.

3) The named individuals and only the named individuals are authorized by the Board to encumber the Society’s resources.

4) No obligation can be made on behalf of the Society that does not comply with the Board approved budget with explicit permission from the Board.

5) The authorized individuals defined in paragraph 1) of this policy are otherwise approved to enter into any contract that they determine to be is in the best interest of the Society, is in compliance with the policy of the Society, and is in accord with the approved budget.

6) The Treasurer shall review the Society’s expenses and contractual obligations at least quarterly.

7) The Audit Committee periodically reviews the Society’s contracts and the associated processes.

**5.5 Personnel**

**Version New, approved by the Board 7/9/2012**

**Circumstance and Intent:** It is in the best interest of the Society and its employees to have a clear agreement of the rules and guidelines regarding their employment. The intent of this policy is to provide that guidance.
Scope: All employees and their volunteer leadership, Personnel Committee.

Definitions

Employee – any full or part time employee of the Society, including contract workers.

Volunteer Leadership – any member of the Society in a supervisory role over any employee.

Responsibility of: All employees and their volunteer leadership.

Accountable to: Executive Director, other management employees, Board Chair, Personnel Committee.

Policy: It is the policy of the Society that:

1) The Executive Director create and maintain an Employee Manual, obtain approval from the Personnel Committee for all proposed changes, make the manual available to all employees, and obtain from each new employee a signed copy of the employees acknowledgement of receipt of the manual.

2) All employees and their volunteer leaders comply with the provision of the manual.

3) The Chair of the Board has final authority to resolve any questions or issues regarding employees, their volunteer leaders, or the manual. Exception: If the Chair is a party to the issue or question, the Chair will appoint an independent board member to resolve the issue.

4) The most current, approved version of the Employee Manual will be available in hardcopy in the office, and will be published on the web.

5) The Audit Committee periodically review actions taken under the guidance of the manual and prepare suggestions for any needed improvements. This review should include interviews with employees.

5.5.1 Role Definition

Version New, approved by the Board 7/9/2012

Circumstance and Intent: Good management requires that the Society clearly define the expectations of every job assignment in the Society. Clearly defined roles make it far easier to recruit qualified people for positions, to train them for those positions as well to measure, improve, and, if necessary correct their performance. Clear role definition includes the name of the role, any specific qualifications required to perform the role, the responsibility and authority of the role, a definition of to whom the role is accountable, and the activities and artifacts which the role is expected to conduct and produce, along with an description of how the quality of the role’s performance will be measured. The roles descriptions should address the defined categories to ensure the description is clear and complete.
**Scope:** This policy applies to all roles and positions in the Society.

**Definitions**

**Role** – An activity carried out by an individual within the organization who has specific responsibilities to perform certain actions and create identified artifacts to help execute some aspect of the mission of the Society.

**Role Title** – The unique designation that differentiates this role from any other and associates it with a person’s name as the holder of that role.

**Direct Supervisor** – The role holder to who the person performing the role is accountable for performance and from whom the person receives assignments.

**Relevant Structural Organization** – The lowest-level structural group with which this role is affiliated (e.g., Executive Committee, Conference Committee, Summer Simulation Conference Committee, etc.)

**Eligibility Qualifications** – Minimum attributes required for a candidate to be considered for assignment to this role (i.e., degree, years of experience, skills or certifications, specific abilities, physical requirements, desire to assume role, demonstrated and recognized competencies).

**Functional Mission** – The top-level end result accomplished by successfully performing the functional responsibilities of a role; the goal toward which all functional activities should be directed (e.g., to develop high-quality off-the-shelf M&S publications).

**Functional Responsibilities** – The essential actions that must be performed by the person in this particular role in order to successfully accomplish the functional mission of this role. Actions may include activities such as planning, organizing, coordinating, directing, executing, evaluating, developing, designing, implementing, creating, writing, and reporting. There should probably be no more than 10 responsibilities listed in this section.

**Operational Authority** – What the role holder has the authority to do on his or her own recognizance to accomplish the functional responsibilities of this role (e.g., choose the appropriate tools to complete a task, recruit volunteers as required, approve purchases of equipment up to a defined cost ceiling)

**Responsibility of:** The Personnel Committee has the ultimate responsibility to ensure that the roles and responsibilities of the officers and leaders of the Society are defined to enable the Society to effectively perform its mission. It is expected that every responsible leader will ensure that every role they create or staff is defined as required by this policy. The Audit committee will include an evaluation of role definitions in any audit concerning volunteer or employee staff.
Accountable to: Every leader is responsible to their superordinate leader to ensure that their subordinate’s roles and responsibilities are defined. The Chair of the Board is responsible to ensure that all members of the Board and Officers of the Society have current and complete role definitions.

Policy: It is the policy of the Society that:

1) Every person who holds an assigned position in the Society, whether appointed, elected, or employed to that position, have a current and complete role description.
2) Each role description is prepared using the template provided as an attachment to this document.
3) The Executive Director maintains records of all role descriptions and makes them available to all officers, leaders, volunteers, and leaders of the Society.
4) The Executive Director Establish and maintain a change management process by which suggestions improvements to any role can be made by any member, leaders control the roles descriptions of their subordinates, the Board can conduct reviews and provide oversight, and process and status can be reviewed by the audit committee.

5.5.2 Employee Personnel
Version New, approved by the Board 7/9/2012

Circumstance and Intent: it is the best interest of the Society to attract and retain well qualified employees, to fully comply with all applicable provisions of employment law and regulation, and to clearly state the rights, obligations of employees, as well as the Society’s expectations of them.

Scope: Chair of the Board, Personnel Committee, Executive Director, office staff.

Definitions

Employee – Any individual employed by the Society whether full, part-time, or temporary, both exempt and non-exempt, according to the provisions of the Fair Labor Standards Act of 1938, As Amended. This does not include contractors or vendors or those who provide volunteer services to SCS.

Responsibility of: It is the responsibility of the Chair of the Board, the Executive Director, and all others who have supervisory responsibility over employees of the Society, as well as that of all employees, to understand and comply with the employee policy of the Society. It is the responsibility of the Board Personnel Committee to maintain this policy and to conduct specific personnel management tasks established by the Society Bylaws and policy. It is the responsibility of the Executive Director to develop and maintain and employee handbook that implements this policy and communicates it to the employees of the Society.
**Accountable to**: The Executive Director and Personnel Committee are accountable to the Chair of the Board. All employees other than the Executive Director are directly or indirectly (i.e. through other managers) accountable to the Executive Director.

**Policy**: It is the policy of the Society that:

1) It will comply with all employment law, including that affecting employment of immigrants, as well as the US and California State Tax Codes.
2) It is an equal Opportunity Employer in all employment practices with respect to race, color, national origin, ancestry, sex, religion, creed, age, gender, mental or physical disability, veteran status, registered domestic partner, citizenship, sexual orientation, gender orientation, medical condition (including pregnancy), gender identification, genetic characteristics, or any other consideration based on applicable law.
3) Employees of the Society serve “at will” as defined in California law.
4) Employees abide by the code of ethics and business conduct.
5) Unlawful harassment or discrimination is not permitted, whether by or toward, any employee, member, volunteer, contractor, or vendor.
6) Retaliation against anyone who complains files a report regarding, reporting, threatening to report harassment or wrongdoing will not be tolerated.
7) Violence or threats of violence, to or by employees, contractors, members, vendors, contractors, members, volunteers, or customers will not be tolerated.
8) The Offices of the Society are smoke, drug, alcohol, and controlled substance free.
9) The Society has the right to search and observe employees in the workplace, including email, computer files, laptops, and cell phones
10) All employees be given annual performance and compensation reviews
11) Employees have the right to inspect their employment files.
12) Employees are provided the benefits listed in the following table (details provided in employees handbook).

<table>
<thead>
<tr>
<th>Benefit</th>
<th>Eligibility</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical and Dental Insurance</td>
<td>All Full Time Employees (regularly scheduled 40 hours per week or more)</td>
<td></td>
</tr>
<tr>
<td>Personal Time Off (Vacation, Sick Leave, Appointments)</td>
<td>All Full Time employees. Part time employees working over 15 hours /week receive prorated time off</td>
<td>See Personal Time Off Tables below</td>
</tr>
<tr>
<td>11 Paid Holiday days off (1 floating, 10 specific days)</td>
<td>Full Time Employees</td>
<td></td>
</tr>
<tr>
<td>Jury Duty</td>
<td>Full Time Employees</td>
<td></td>
</tr>
<tr>
<td>Bereavement</td>
<td>Full Time Employees</td>
<td></td>
</tr>
</tbody>
</table>
Personal Time Off Chart for Eligible Full-Time **Exempt** Employees

<table>
<thead>
<tr>
<th>Length of Service</th>
<th>HOURS (per pay period)</th>
<th>HOURS (per year)</th>
<th>DAYS (per year)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 1st year Anniversary</td>
<td>4.615385</td>
<td>120</td>
<td>15 days</td>
</tr>
<tr>
<td>From 1 year Anniversary up to 4 year Anniversary</td>
<td>4.923077</td>
<td>128</td>
<td>16 days</td>
</tr>
<tr>
<td>From 4 year Anniversary</td>
<td>5.538462</td>
<td>144</td>
<td>18 days</td>
</tr>
<tr>
<td>From 6 year Anniversary on</td>
<td>6.153846</td>
<td>166</td>
<td>20 days</td>
</tr>
</tbody>
</table>

Personal Time Off Chart for Eligible Full-Time **Non-Exempt** Employees

<table>
<thead>
<tr>
<th>Length of Service</th>
<th>HOURS (per pay period)</th>
<th>HOURS (per year)</th>
<th>DAYS (per year)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 1st year Anniversary</td>
<td>2.769231</td>
<td>72</td>
<td>9 days</td>
</tr>
<tr>
<td>From 1 year Anniversary up to 4 year Anniversary</td>
<td>3.076923</td>
<td>80</td>
<td>10 days</td>
</tr>
<tr>
<td>From 4 year Anniversary</td>
<td>3.692308</td>
<td>96</td>
<td>12 days</td>
</tr>
<tr>
<td>From 6 year Anniversary on</td>
<td>4.307692</td>
<td>112</td>
<td>14 days</td>
</tr>
</tbody>
</table>

### 5.5.3 Volunteer Personnel

**Version New, approved by the Board 7/9/2012**

**Circumstance and Intent:** it is the best interest of the Society to attract and retain well qualified volunteers, to clearly state their rights and obligations, and the Society’s expectations of them.

**Scope:** All Directors, Officers, leaders, and volunteers.

**Definitions**

**Volunteer** – Any providing service to or on behalf of the Society without receiving pay or compensation. Volunteers may receive awards, meals, and may be reimbursed for travel, but are not be employees, vendors, or contractors of the Society.

**Responsibility of:** It is the responsibility of the Chair of the Board, the President, President-Elect, Vice-Presidents, and all others who have supervisory responsibility over volunteers of the Society, as well as that of all employees, to understand and comply with the volunteer policy of the Society. It is the responsibility of the Board Personnel Committee to maintain this policy. It is the responsibility of the Executive Committee to develop and maintain and volunteer handbook that implements this policy and communicates it to the volunteers of the Society.
**Accountable to:** The Executive Director and Personnel Committee are accountable to the Chair of the Board. All employees other than the Executive Director are directly or indirectly (i.e. through other managers) accountable to the Executive Director. Volunteer Leaders are accountable to the superordinate leader.

**Policy:** It is the policy of the Society that:

1) It is an equal Opportunity Employer in all volunteer practices with respect to race, color, national origin, ancestry, sex, religion, creed, age, gender, mental or physical disability, veteran status, registered domestic partner, citizenship, sexual orientation, gender orientation, medical condition (including pregnancy), gender identification, genetic characteristics, or any other consideration based on applicable law.

2) Volunteers abide by the code of ethics and business conduct.

3) Unlawful harassment or discrimination is not permitted, whether by or toward, any employee, member, volunteer, contractor, or vendor.

4) Retaliation against anyone who complains files a report regarding, reporting, threatening to report harassment or wrongdoing will not be tolerated.

5) Violence or threats of violence, to or by employees, contractors, members, vendors, contractors, members, volunteers, or customers will not be tolerated.

6) The Offices of the Society are smoke, drug, alcohol, and controlled substance free.

7) That all volunteers be given the opportunity for an annual performance review.

### 5.6 Risk, Issue, and Opportunity Management

**Version New, approved by the Board 7/9/2012**

**Circumstance and Intent:** As a part of the normal activities duties volunteers and employees conduct for the Society they commonly identify risks, issues, and opportunities that they wish to bring to the attention of the Society’s leadership, and the leadership needs to know about them so they can determine what actions, if any, they should take. It is expected that the leaders of the Society will also observe and document risks issues and opportunities, but the leaders are also responsible to regularly review them and determine what action, if any, should be taken. This policy describes the Society’s approach to Risk, Issue, and Opportunity Management.

**Scope:** All members and employees, Executive Director, Executive Committee, Board.

**Definitions:**

**Risk** – A problem that might occur if preventive action is not taken. Risks are characterized by their probability of occurrence and the size of their consequences, should they occur. When a risk has been identified and determined to be valid an organization can take action to prevent the occurrence of the problem (avoid), take action to reduce the consequences of the problem if it did occur (abate), or decide to
take no action, and deal with the problem if it does occur (accept). It is also possible to set the risk aside for a later review, perhaps when the situation becomes clearer (defer).

**Issue** – An actual or perceived problem that has already occurred, or which is certain to occur. In other words it can’t be avoided, but it may be possible to take action to reduce the likely consequences.

**Opportunity** – A potentially positive event that might occur if some specified action is taken.

**Critical Risk, Issue, or Opportunity** – A risk, issue, or opportunity that is likely to significantly affect Society operations in the near term.

**Responsibility of:** All members and employees to identify and report to leadership any observed significant risks, issues or opportunities. It is the responsibility of the Executive Director to collect all identified risks, issues, and opportunities and report them to the Executive Committee. It is the responsibility of the Executive Committee to, on a monthly basis, assess the validity of the identified risks, issues, and opportunities, to make a determination as to what actions the Society should take, if any, and include their conclusions in their monthly report to the Board. The Board may direct the re-evaluation of specified risks, issues, or opportunities.

**Accountable to:** The Executive Committee is accountable to the Chair of the Board to execute this policy.

**Policy:** It is the policy of the Society that:

1) The Executive Director solicits and documents risks, issues, and opportunities identified by the membership, employees, and leadership of the Society, and provide the list to the Executive Committee.

2) The Executive Committee reviews the list of identified risks, issues, and opportunities at each of their monthly meetings, disposition each of them as either invalid (very unlikely to occur, or of no significant consequence), avoid, abate, accept, or defer and identify any actions, if any, that the Society should take.

3) The Executive Committee includes the dispositioned list in their monthly report to the Board.

4) The Executive Director or their delegate reviews all identified risks, issues, and opportunities not later than 2 business days after the risk, issue, or opportunity is identified to determine if it appears to be critical.

5) The Executive Director coordinates with the President or Chair of the Board not later than 2 business days after identifying a risk, issue, or opportunity as Critical to validate the classification and to determine the best course for the Society.

6) The Society maintains liability and director’s insurance policies to address potentially catastrophic risks.
5.7 Process Management

Version New, approved by the Board 7/9/2012

Circumstance and Intent: SCS needs defined processes both to support process improvement, and to reduce the challenge associated with a person’s performance of an activity for the first time. Well maintained documented processes allow people to learn from their predecessor’s experience, simplify the learning process, and reduces stress. They act as a kind of corporate memory - useful to remind even experienced people about what a given activity requires and is supposed to produce. The intent of process documentation is not to provide detailed instructions for minor tasks, nor is the intent to restrict people’s creativity, but rather to harness the benefits of previous creative thinking.

Scope: This policy applies to anyone who documents a process for the Society.

Definitions

Activity – Something someone does while performing in a role as part of a process. Useful activities normally produce artifacts.

Artifact – A product. Something created by a process activity, often a document, but could be anything.

Agent or Actor – A person who participates in a process by performing an activity or providing an artifact.

Process – A series of steps, conducted by an individual or team, which leads to specific desired outcomes or produces specific products.

Role – The job being performed by an actor or agent in the process.

Responsibility of: It is the responsibility of all SCS leaders and Committees to identify, document, and maintain their key processes.

Accountable to: Each leader, team, or Committee is accountable to their own leader, and ultimately to the Board for process definition.

Policy: It is the Policy of SCS that:

1) All key SCS processes be documented using the process template attached to this document.
2) Processes definitions are evaluated regularly - preferably each time they are executed – and updated as needed to reflect lessons learned, improvements, and the effects of any other changes.
3) Leaders, teams, and committees own and maintain their own process documents and are free to change them as often as they like.
4) Leaders encourage and support subordinate leaders, teams, and committees process efforts, but not to control them.

5.8 Metrics
Version New, approved by the Board 7/9/2012

Circumstance and Intent: The Society has a mission to accomplish, a vision to fulfill, and a strategy to implement. In order to determine the degree to which we are accomplishing those things SCS must establish measures of success. Any improvement requires knowledge of the current state, a desired future state, and some measurable way to tell the difference. Metrics provide that measure. Metrics need not be numeric, and may be subjective, but are a vital enabler needed by the Society to meet its goals.

Scope: All officers and leaders of the Society.

Definitions

Metric – A measure, qualitative or quantitative, of progress from some current state to some goal. A measure of the quality or other attribute of a product or process. Also, the value assigned to such a measure.

Responsibility of: All SCS leaders are responsible to identify and apply suitable metrics to the portion of the Society’s operation for which they are responsible.

Accountable to: Each leader is responsible to the leader to which they support, and ultimately to the Board.

Policy: It is the policy of the Society that:

1. Metrics provide a basis for the measurement of the quality and effectiveness of all society operations.
2. That every leader who is responsible for some aspect of Society operations identifies the key metrics that measure the effectiveness and quality of the products or services for which they are responsible.
3. That each leader computes the value of each of their metrics regularly and periodically, and that the metrics be included in their status reports.
4. That these metrics, in conjunction with process definition, be used to support process improvement.

5.9 Information Technology
Version New, approved by the Board 7/9/2012

Circumstance and Intent: Information Technology (IT) is a critical enabling resource of the society. Reliable, secure, and effective IT is required to conduct the Societies financial operations, communicate with membership and the overall M&S community, and to conduct
ongoing business of the Society, including conferences, publications, membership, and education.

**Scope:** The Executive Director, Executive Committee, and volunteer leaders.

**Definitions**

**Information Technology** – Anything related to computing technology, such as networking, hardware, software, the Internet, or the people that work with these technologies. Services include system administration, computing security, development, and operations. Features include websites, email, messaging, and email.

**Responsibility of:** The Executive Director has the responsibility to ensure that the IT resources of the Society are legally complaint, effective, affordable, secure, and available, and that back office functions (e.g. accounting, payroll, etc.) are supported. It is the responsibility of each of the committees to ensure that the content of IT systems (e.g. web pages) provides a timely and accurate representation of their activities. The Executive Committee has the overall responsibility for website content.

**Accountable to:** The committees are accountable to the Executive Committee for website content. The Executive Director is responsible to the Board Chair for IT system operations. The Executive Committee is responsible to the Board for website content and quality.

**Policy:** It is the policy of the Society that:

1. Cost effective, reliable, and secure Information Technology resources are required for Society operations.
2. The Executive Director will provide and manage the Society’s resources in compliance with policy, budget, and sound business principles; including standards such as format, branding, e-commerce, and look – feel.
3. Volunteers will provide and keep current standard compliant content for their areas of responsibility.
4. The Executive Director will seek technical support from volunteer or paid consultants as required by good business practice, within the constraints of the provided budget.

5.10 **Document Retention**

**Version New, approved by the Board 7/9/2012**

**Circumstance and Intent:** The Society is legally responsible to retain certain records for specific time periods ranging up to permanent retention. This policy identifies the kinds of documents to be retained, the time period for which each type of document should be retained, and the rules for disposing of documents which are no longer needed.

**Scope:** Executive Director and Office Staff
Definitions

**Document** – Any writing that is relevant to the business operations of the society. They may take the form of electronic messages, computer files, or paper. They may include forms, checks, records, contracts, or presentations.

**Responsibility of:** It is the responsibility of the Executive Director and Office Staff to ensure that SCS documents are retained and disposed of in accord with this policy. It is the responsibility of the secretary to ensure that all records, particularly email messages and or other records relating to board actions are provided to the office for retention.

**Accountable to:** The Executive Director and Secretary are accountable to the Board Chair.

**Policy:** It is the policy of the Society that:

1. The Executive Director and office staff work retain documents in accord with the document retention schedule attachment.
2. The Secretary obtains all board meeting records and provides them to the Executive Director and office staff for Retention.
3. That the Executive Director ensures secure storage is available for business records.
4. That the Executive Director at least annually reviews stored records and disposes of records that are no longer needed.
5. That the Executive Director maintains a log of all records so disposed.
6. That the Executive Director ensure that records are disposed of in a manner that meets the privacy and security policies of the Society.
### Attachments

<table>
<thead>
<tr>
<th>Attachment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Simulationist Code of Ethics</td>
</tr>
<tr>
<td>SCS Employee and Volunteer Leader code of Ethics and Business Conduct</td>
</tr>
<tr>
<td>Director’s code of conduct declaration</td>
</tr>
<tr>
<td>Policy Development Template</td>
</tr>
<tr>
<td>Role Template</td>
</tr>
<tr>
<td>Candidate Petition Form</td>
</tr>
<tr>
<td>Process Template</td>
</tr>
<tr>
<td>Document Retention Schedule</td>
</tr>
</tbody>
</table>
Simulationist Professional Code of Ethics

1. Preamble

Simulationists are professionals involved in M&S activities and/or with providing M&S products and/or services.

2. Personal Development and Profession

As a simulationist I will:

1. Acquire and maintain professional competence and attitude.
2. Treat fairly employees, clients, users, colleagues, and employers.
3. Encourage and support new entrants to the profession.
4. Support fellow practitioners and members of other professions who are engaged in M&S.
5. Assist colleagues to achieve reliable results.
6. Promote the reliable and credible use of M&S.
7. Promote the M&S profession; e.g., advance public knowledge and appreciation of M&S and clarify and counter false or misleading statements.

3. Professional Competence

As a simulationist I will:

1. Assure product and/or service quality by the use of proper methodologies and Technologies
2. Seek, utilize, and provide critical professional review
3. Recommend and stipulate proper and achievable goals for any project
4. Document simulation studies and/or systems comprehensibly and accurately to authorized parties
5. Provide full disclosure of system design assumptions and known limitations and problems to authorized parties
6. Be explicit and unequivocal about the conditions of applicability of specific models and associated simulation results
7. Caution against acceptance of M&S results when there is insufficient evidence of thorough validation and verification
8. Assure thorough and unbiased interpretations and evaluations of the results of M&S studies.

4. Trustworthiness

As a simulationist I will:

1. Be honest about any circumstances that might lead to conflict of interest
2. Honor contracts, agreements, and assigned responsibilities and accountabilities
3. Help develop an organizational environment that is supportive of ethical behavior
4. Support studies which will not harm humans (current and future generations) as well as environment.

5. Property Rights and Due Credit

As a simulationist I will:

1. Give full acknowledgement to the contributions of others
2. Give proper credit for intellectual property
3. Honor property rights including copyrights and patents
4. Honor privacy rights of individuals and organizations as well as confidentiality of the relevant data and knowledge.

6. Compliance with the Code

As a simulationist I will:

1. Adhere to this code and encourage other simulationists to adhere to it
2. Treat violations of this code as inconsistent with being a simulationist
3. Seek advice from professional colleagues when faced with an ethical dilemma in M&S activities
4. Advise any professional Society which supports this code of desirable updates.
Code of Ethics and Business Conduct

Overview

This document describes the code of conduct expected of all employees and volunteer leaders. This code of conduct is in addition to the Code of Conduct for Simulation Professionals that is endorsed by the Society. It is general and not intended to be all-inclusive but provides additional details about the policy of the Board regarding how SCS executes its business. This document applies to all SCS employees, and all volunteers, including members of the Board, while they are acting on the Society's behalf. Please read our code and follow it.

Policy

The Society is committed to being an ethical and responsible organization in service to Society. In order to ensure the highest standards of ethics, honesty, governance, and integrity are maintained, we have adopted this Code of Ethics policy. We refer to the elements of this policy as our Code. Our Code provides the guidelines and standards for acceptable business conduct.

It is the policy of SCS that all employees, directors, and volunteers representing the Society be knowledgeable of and complaint with the Organization’s Code.

An employee or volunteer that believes they have discovered a matter that appears to be in violation of the Code has a duty to report the matter in accord with Compliance Reporting article below.

We have also adopted a Whistleblower policy to ensure that employees or volunteers reporting a genuine concern or complaint will not be discriminated or retaliated against and have the opportunity to make such reports anonymously.

Applicable Laws

The conduct of the Society and its employees are to be in compliance with the laws and regulations relating to the Society’s business.

Any employee, officer or director involved in court or other similar proceedings arising out of his or her employment with, or service to, the Society is expected to abide by the rules, cooperate with the orders of, and not in any way commit perjury or obstruction of justice. All Society employees must, at a minimum, comply with all applicable laws that relate to the conduct of our business in the relevant jurisdiction.

Generally Accepted Accounting Principles (GAAP)

Generally Accepted Accounting Principles are accounting principles that are considered to have substantial authoritative support. Pronouncements made by the Financial Accounting Standards board (FASB) are considered GAAP. You can learn more about GAAP and FASB at http://www.fasb.org. All Society records are to be in compliance with Generally Accepted Accounting Principles and Securities and Exchange Commission laws and regulations.
Employees and volunteers are expected to maintain accurate and reliable corporate records that comply with GAAP, the SEC, and Society policies and procedures.

The Society CEO, Financial Officer, and others identified by the CEO have specific legal obligations to ensure the Society provides full, fair, accurate, timely, and understandable financial reports and internal controls.

**Equal Employment Opportunity**

We do not tolerate unlawful discrimination or harassment of any kind. Employment by the Society or acceptance of volunteers within the Society is based solely on your merit and qualifications.

**Moral and Ethical Standards**

All employees and volunteers are expected to adhere to sound moral and ethical standards.

**Loyalty**

All employees and volunteers have a duty of loyalty to the Society and may not take personal advantage of any opportunity that properly belongs to the Society.

**Kickbacks and Gratuities**

The Society considers it to be unethical and illegal for any employee or volunteer to accept or offer payment, gift, gratuity, or employment to or from vendors, contractors, government officials, or any other organization as an inducement for preferential treatment. All offers for kickback and gratuity shall be reported to the Executive Director.

The Society does not consider the giving or acceptance of a ball cap, tee shirt, jacket, an occasional lunch, game of golf, or the like with non-government officials to be a kickback, gift or gratuity for the purpose of this policy.

**Conflicts of Interest**

The best interests of the Society are expected to be foremost in the minds of our employees, volunteers, and directors as they perform their duties. No employee, director, or volunteer while acting for the Society shall be, potentially be, or appear to be, subject to influences, interests, or relationships, which conflict with the best interests of the Society.

No employee, without prior approval of the Board, may serve as an Officer, Director, manager, employee, or agent of any Society that is a competitor, supplier, or customer of SCS. Any volunteer, officer, or director acting in such a capacity shall disclose such a potential conflict of interest immediately when it occurs, or at the beginning of the volunteer’s term, whichever comes first.
Employees should not engage in outside interests that divert time and attention from properly attending to Society affairs.

The Society does not make loans to or guarantee obligations of Society employees, officers, volunteers, or directors.

**Improper Influence on Conduct of Audits**

No officer, director, or any other person acting under the direction thereof, shall take any action to fraudulently influence, coerce, manipulate, or mislead any independent public or certified accountant engaged in the performance of an audit of the financial statements of the Society for the purpose of rendering such financial statements materially misleading. Examples of such behavior include, but are not limited to:

1) Offering or paying bribes or other financial incentives, including offering future employment or contracts for non-audit services.
2) Providing an auditor with an inaccurate or misleading legal analysis.
3) Threatening to cancel or canceling existing non-audit or audit engagements if the auditor objects to the Society’s accounting.
4) Seeking to have a partner removed from the audit engagement because the partner objects to the Society’s accounting.
5) Blackmailing, and making physical threats.

**Confidential Information**

Employees and Directors may not divulge confidential or proprietary information except as defined by board policy.

**Employee Privacy**

The Society is committed to protecting the privacy of its employees and volunteers. This includes employee or volunteer personally identifiable information data maintained by the Society. Employee data will primarily be used to support Society operations, provide employee benefits, and comply with laws and regulations. The Society and all employees are expected to comply with all data protection laws, regulations, and Society policies.

**Computing Resources, Email, and the Internet**

All information on Society computer systems, including electronic mail, is the property of the Society. To ensure that computing resources are used in accordance with expectations, management may inspect and disclose the contents of electronic messages if such inspection and disclosure is made for legitimate business purposes or as necessary to protect the rights and property of the Society.

Use of computing resources to offend or harass others is not acceptable and prohibited. Employees, who use the Internet to access sites that contain offensive materials related to sex,
race, or other protected categories, or who otherwise violate these prohibitions, will be subject to termination.

Employees may use Society computing resources for personal use so long as such a use does not violate the above, does not interfere with the execution of company business, and will not reflect badly on the employee or the Society.

**Political Activities**

The Society is required by the US Tax Code to be an apolitical organization. As such, no Society funds or assets will be contributed or used for the purpose of influencing any election or political decision. This policy does not prohibit Society participation in activities to educate elected officials regarding matters within the Society’s domain of interest; however such educational activities conducted on behalf of the Society shall be conducted with great care to avoid the appearance of lobbying.

**Safety and the Environment**

The Society is committed to full compliance with all safety and environmental laws and regulations. All employees are expected to comply with these laws, regulations and Society policies. Any employee or volunteer who detects an activity for which the Society is responsible that would potentially cause injury or harm to a fellow member of any other individual is required to take appropriate action to ensure the situation is identified and corrected.

**Drugs and Alcohol**

Illegal drugs at our workplaces or sponsored events are strictly prohibited. We do not permit the use of alcohol during work and we urge caution not to consume alcohol in a way that leads to inappropriate behavior, impaired performance, or endangers the safety of others.

**Timeliness**

All employees are expected to carry out their assigned duties in a timely manner.

**Compliance Procedures**

Any employee who knows, or has reason to believe, of violations to this Code or other Society policies and procedures is expected to promptly report the matter to the Society’s President or board chair. In for any reason the employee or volunteer feels uncomfortable reporting the issue to one of these individuals, they may report it to any member of the Board.

No employee or volunteer will be subject to retaliation, discrimination, or other adverse treatment for reporting known or suspected violations of this and other Society policies and procedures.
Director’s Code of Conduct Declaration

General

1. I will always hold the betterment of the membership of the organization as my priority, including during all participation in discussions and voting matters.
2. I recognize that I am obligated to act in a manner which will bear the closest public scrutiny.
3. I am responsible to understand and comply with the organization’s policies, standards, processes, practices or code of ethics and behavior and to contribute to the Board any suggestions of ways to improve them.
4. I will not abuse my position as a board member by suggesting to any organization employee that I am entitled to or expect any special treatment beyond regular members of the organization.
5. I will declare any conflict of interest, be it real, potential, or apparent, which is not immediately obvious with regard to any matter being discussed in my presence during a meeting.
6. If the Board decides at any time during a meeting that I have a conflict, I will accept their request that I refrain from participating in the discussion and I will leave the meeting at the Board’s request. I understand that the Board’s decision will be recorded in the minutes, either with or without the reasons for the decision being also recorded.
7. I understand that the following activities are considered by the organization to be conflicts of interest, and that conflicts of interest are not limited to the following situations:
   • Where a director makes a decision or does an act motivated by other or additional considerations than “the best interests of the organization”.
   • Where a director personally contracts with the organization or where he or she is a director of other organizations which are contracting with this organization.
   • Where a director learns of an opportunity for profit which may be valuable to him or her personally or to another organization of which he or she is a member, or to other persons known to the director.
   • Where a director, in any circumstance as related to the organization, puts his or her personal interests ahead of the best interests of the organization.

Information

8. I will not knowingly take advantage of or benefit from information that is obtained in the course of my official duties and responsibilities as a board member, and that is not generally available to membership.
9. I will be alert to information which the organization can use to develop improved policies and strategies.
10. I will protect the organization’s information closely and will not release or share confidential information without the permission, preferably in writing, of the person who provided it.
11. I will maintain confidentiality of all information which the Board deems ought to be kept confidential.

Resources

12. I will be mindful of resources which are in my trust on behalf of the organization, and will help establish policies which ensure the maximization of secure and protected resources.
13. I expect to be reimbursed for legitimate expenses incurred by myself for the sake of the organization. I will keep all such expenses reasonable and justifiable and will discuss expenses which may be in question with the organization’s Treasurer.

Gifts and Hospitality

14. Should business associates or others offer me gifts, favors, or benefits on a personal basis because of the business the organization does with them, I will recognize that such offers may be an effort to secure advantage from me, and I will reject such offers on the basis that it is against the organization’s policy to accept gifts from business contacts. The most I will accept will be normal promotional handouts of a nominal value.
15. I will not routinely accept the hospitality of others offered as a consequence of my position. For example, when meals are taken with business colleagues, I will pay for as many meals as do my colleagues.

**Representing the Organization**

16. As part of my duties as a board member, I represent the organization informally and formally to other associations, societies, government officials, and business representatives. I recognize that it is important that I represent the organization in such a way as to leave others with a positive impression of the organization. In my duties I will preserve and enhance the good reputation of the organization and will avoid behavior which might damage its image.

**Interpretation**

17. The Chair of the Board shall ensure that the practice of this policy will be fair, just, and equitable in all situations of interpretation and application.

**Enforcement**

18. The Chair of the Board is ultimately responsible for immediate interpretation, application and enforcement of the Board members’ code of ethics policy. All complaints concerning a possible code of ethics violation shall be made in writing to or by the Chair of the Board with a copy provided to the complainant.

- The Chair of the Board shall make an initial determination of the issue and shall attempt initial resolution of the problem with the complainer and the complainant.
- If this initial attempt at resolution is not successful, the Chair of the Board shall appoint a tribunal composed of three board members to investigate the complaint. The tribunal is required to investigate as required and submit a written report to the President within 30 days. The Chair of the Board will render his or her decision within ten days of receiving the tribunal’s report.
- The Chair of the Board decision may be appealed in writing to the Board for consideration the Board’s next regular meeting at the organization’s next regular scheduled meeting for a final decision. The final decision shall be delivered in writing to the complainer and complainant.

**Delegation and Penalties**

19. Should the Chair of the Board be the subject of a written complaint, the Corporate Secretary shall perform the duties normally assigned to the Chair of the Board in this matter.

20. Penalties imposed for breach of the code of ethics may include, but are not limited to, the following:

- Excluding the director from portions of all future meetings and discussions which relate to the stated conflict of interest, and/or
- Censure of the director, in private, in public, or both, and/or
- Removal of the director from office in accordance with the Bylaws.

I have read and I accept the Society’s Code of Ethics for board members

____________________________________
Date

Signature of Director or Nominee
Role Definition Template

Role <insert role title> Definition

Reporting to:  <insert supervisor/leader’s role title>

Structural Organization:

<insert name of organization element with which this role is affiliated, e.g Executive Committee, Conference Committee, etc. >

Description of Role and Authority Level:

<insert short paragraph which describes the overall purpose of this position and how it contributes to the goals or function of the business, include the authority level >

Functional Mission:

< Describe the top-level end result accomplished by successfully performing the functional responsibilities of a role; the goal toward which all functional activities should be directed (e.g.to develop high-quality off-the-shelf M&S publications).>

Key Functions, Responsibilities & Duties:

<insert the main responsibilities and duties of the position. Then list the skills or competencies which the candidate will need in order to complete those duties. Include all relevant responsibilities and guidance from all applicable policies. Use either table format (below) or paragraph format. Describe the essential actions that must be performed by the person in this particular role to successfully accomplish the functional mission of this role. These may include activities such as planning, organizing, coordinating, directing, executing, evaluating, developing, designing, implementing, creating, writing, and reporting. There should probably be no more than 10 responsibilities listed in this section. >

<table>
<thead>
<tr>
<th>Functions, Responsibilities, and Duties of the role</th>
<th>Eligibility Qualifications / Competencies sought</th>
</tr>
</thead>
<tbody>
<tr>
<td>e.g. Respond to enquiries – over the phone and face-to-face from the staff and public</td>
<td>Communication skills including conflict resolution and friendly manner</td>
</tr>
<tr>
<td>e.g. Miscellaneous admin duties and support business team</td>
<td>Good organizational skills and attention to detail Team orientated approach</td>
</tr>
</tbody>
</table>

Other Desired Qualifications or Attributes:

<insert short paragraph which describes the type of person best suited to fulfill the role. >
Policy Template
Version New, approved by the Board 7/9/2012

Circumstance and Intent: What problem is the policy intended to address? What is the desired outcome?

Scope: Role, committee affected by policy (e.g. all, employees, board members etc.)

Definitions

Word – Special meaning for this policy

Responsibility of: name of office, role, or committee responsible to execute the policy.

Accountable to: Name of Officer or committee to whom the responsible persons are accountable for the execution of the task.

Policy: Brief, clear statement of what the Board expects the responsible people to do, including a description of the activities they are expected to perform; the products they are expected to produce; and the timeframe in which the activities are to be conducted and the products produced. This is what the Board expects to happen, not how it is to be done.
Candidate Petition Form

Name of Petition Candidate:

________________________________________________________

Elected Position for which the candidate is petitioning:

________________________________________________________

Supporting Member’s Signatures:

1)

________________________________________________________

2)

________________________________________________________

3)

________________________________________________________

4)

________________________________________________________

5)

________________________________________________________

6)

________________________________________________________

7)

________________________________________________________

8) ....

________________________________________________________
### Process Template

#### XXX Process Definition

**Source, Input, Process, Output, Consumer - SIPOC**

<table>
<thead>
<tr>
<th>Source</th>
<th>Process</th>
<th>Consumer</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Source</strong>&lt;br&gt;* Staff</td>
<td><strong>Process</strong>&lt;br&gt;1. <strong>Situation</strong> - define the current situation of the Society and its operational context. Document.&lt;br&gt;2. <strong>Target/Goal</strong> – define desired future state&lt;br&gt;3. <strong>Question</strong> – ask how the desired future state will be identified. Document.&lt;br&gt;4. <strong>Metric</strong> – Define measurements used to assess degree of success in achieving desired future state. Document.&lt;br&gt;5. <strong>Plan</strong> – Establish (at a very high level) the steps to be taken by leadership to achieve the desired goals. Document. Publish Strategy.</td>
<td><strong>Consumer</strong>&lt;br&gt;* SCS leadership&lt;br&gt;* Future strategic Planning activities</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Input</th>
<th></th>
<th>Output</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Input</strong>&lt;br&gt;* Situation Description</td>
<td><strong>Output</strong>&lt;br&gt;* Strategy Definition&lt;br&gt;* 5 PowerPoint Presentations – Situation, Target/Goal, Metric, Plan</td>
<td></td>
</tr>
</tbody>
</table>

**Note:** This is an iterative process and each step can be revisited as needed.
## Document Retention Schedule

### A. General Corporate records
1. Articles of incorporation and amendment  
   Permanent
2. Annual Reports  
   Permanent
3. Audit Reports, Public and Internal  
   Permanent
4. Board of Directors minutes  
   Permanent
5. Bylaws  
   Permanent
6. Capital Stock Certificates and transfers  
   Permanent
7. Charter  
   Permanent
8. Contracts (other than employment)  
   10 years after expire
9. Election Records  
   Permanent
10. Membership Ballots  
    Permanent
11. Membership Applications and all correspondence  
    5 years
12. Organization Charts for office staff  
    Permanent
13. Strategic Planning Final Approved Plan  
    Permanent

### B. Legal records
1. Business Permits  
   Permanent
2. Contracts- Employees, Government, Special  
   Permanent
3. Copyrights  
   Permanent
4. Correspondence- Legal  
   Permanent
5. Leases  
   10 years
6. Licenses  
   Permanent
7. Trademarks-Registered  
   Permanent

### C. Insurance
1. Insurance policies  
   10 years
2. Insurance appraisals  
   Permanent
3. Safety Records  
   6 years
4. Accident Reports  
   7 years
5. Worker compensation claims  
   7 years
6. Unemployment insurance  
   7 years

### D. Human Resources
1. Accident Reports  
   7 years
2. Attendance Records (Timesheets)  
   7 years
3. Authorizations for employment, changes in  
   Wage/salary rates, leave of absence, terminations  
   7 years
4. Disability Benefits  
   6 years
5. Employee Applications, not hired  
   3 years
6. Employment contracts  
   Employment term +7
7. Employee earnings and payroll records  
   7 years
8. Job evaluations  
   Employment term +7
9. Employees personnel records including
   - Application forms
   - Attendance records
   - Medical and dental history, performance evaluations
   - Termination papers, exit interview records
   - Withholding information, garnishments,
   - Test results (individual), Pension Plan agreement
   - Profit sharing agreement, life insurance agreements
   - Vacation files

10. Records of leave granted any employee under the federal

11. Records of any sexual harassment complaints and
    the investigations and actions taken in response

12. Records showing employment eligibility under the
    Immigration Reform and Control Act (I-9)

13. Unclaimed wages

14. Health and safety related reports

15. Workers compensation benefits

E. Accounting Systems

1. Accounts Payable Ledger
2. Accounts receivable Aging Reports
3. Accounts Receivable Ledger
4. Accounts Receivable Invoices
5. Accounts Written-off
6. Authorization - Accounting
7. Balance Sheets
8. Bank Reconciliations
9. Bank Statements
10. Bank Deposit Slips
11. Budgets
12. Canceled Checks (except as noted by *)
13. Cash Book
14. Cash Disbursement & Receipt Record
15. Cash Sales Slips
16. Charts of Accounts
17. Check Register
18. Expense Reports
19. Financial Statements
20. General Ledger
21. Investment - Sales/Purchases
22. Journal Entries
<table>
<thead>
<tr>
<th></th>
<th>Petty Cash Records</th>
<th>7 years</th>
</tr>
</thead>
<tbody>
<tr>
<td>24.</td>
<td>Profit/Loss Statements</td>
<td>Permanent</td>
</tr>
<tr>
<td>25.</td>
<td>Purchase Order</td>
<td>7 years</td>
</tr>
<tr>
<td>26.</td>
<td>Subsidiary Ledger</td>
<td>Permanent</td>
</tr>
<tr>
<td>27.</td>
<td>Trial Balance</td>
<td>Permanent</td>
</tr>
<tr>
<td>28.</td>
<td>Vendor Invoices</td>
<td>7 years</td>
</tr>
<tr>
<td>29.</td>
<td>Voucher Check Copies</td>
<td>7 years</td>
</tr>
<tr>
<td>30.</td>
<td>Payroll Journals</td>
<td>10 years</td>
</tr>
</tbody>
</table>

**F. Fixed Assets**

<table>
<thead>
<tr>
<th></th>
<th>Depreciation Schedule</th>
<th>Permanent</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>Inventory Records</td>
<td>Permanent</td>
</tr>
</tbody>
</table>

**G. Payroll**

<table>
<thead>
<tr>
<th></th>
<th>Checks-Payroll</th>
<th>7 years</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>Payroll Register</td>
<td>7 years</td>
</tr>
<tr>
<td>3.</td>
<td>Payroll records after termination</td>
<td>10 years</td>
</tr>
<tr>
<td>4.</td>
<td>Salary History</td>
<td>8 years</td>
</tr>
<tr>
<td>5.</td>
<td>Time Reports</td>
<td>7 years</td>
</tr>
<tr>
<td>6.</td>
<td>W-2 Reports</td>
<td>Permanent</td>
</tr>
</tbody>
</table>

**H. Taxes**

<table>
<thead>
<tr>
<th></th>
<th>Canceled checks –tax payments</th>
<th>10 years after expire</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>Correspondence</td>
<td>10 years after expire</td>
</tr>
<tr>
<td>3.</td>
<td>Depreciation schedules</td>
<td>Permanent</td>
</tr>
<tr>
<td>4.</td>
<td>Income Tax Returns</td>
<td>Permanent</td>
</tr>
<tr>
<td>5.</td>
<td>Payroll Tax Returns</td>
<td>Permanent</td>
</tr>
<tr>
<td>6.</td>
<td>Sales Tax Returns</td>
<td>Permanent</td>
</tr>
</tbody>
</table>

**I. Letters and correspondence, general guidelines**

<table>
<thead>
<tr>
<th></th>
<th>Unimportant letters, form letters, and notes that require no acknowledgment or follow-up.</th>
<th>Keep 12 months</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.</td>
<td>Letters of general inquiry and replies which complete A cycle of correspondence and have no value after a reasonable period of time.</td>
<td>Keep 12 months</td>
</tr>
<tr>
<td>3.</td>
<td>Letters requesting specific action such as name or address change, complaints which have no further value after changes are made or a action taken</td>
<td>Keep 12 months</td>
</tr>
<tr>
<td>4.</td>
<td>Electronic mail (email) and any files attached thereto, provided that the subject matter of such email and and or attached files are not covered by some other</td>
<td></td>
</tr>
</tbody>
</table>
provision of this policy; otherwise email is to be kept only for 90 days. Keep 3 years

5. Letters that constitute all or part of a contract or that are important in the clarification of certain points in a contract or related to tax payments

Permanent

* Cancelled checks for tax payments, purchase of property, special contracts, etc. should be retained permanently and filed with relevant documents.