

VERDE VALLEY ARCHAEOLOGY CENTER

OPERATIONS AND POLICY MANUAL



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Section 1: Introduction

This policy manual provides the Board of Directors of VVAC with a reference guide to the Board's policies, practices, and procedures. Development of a manual is essential since the policy governance model requires that the only policies of the Board are those contained in the manual: 'unwritten and unofficial policies' will not exist.

All members of the Board of Directors shall be given an Operations and Policy Manual at the beginning of each year. Any questions that arise from the policies and procedures about the governance of the Center shall be addressed after the first meeting in which the handbook has been distributed.

As policies are created and revised, the policy creation and revision dates shall be tracked and noted on the bottom of each policy page in the manual or as otherwise deemed appropriate.

This Operations and Policy Manual is for the guidance of the five components of the organizational structure of the VVAC – Board, Staff, Committees, Volunteers and Members.

The manual is divided into the following sections.

1. Introduction
2. Mission and Planning
3. Financial Stability
4. Leadership and Organizational Structure
5. Conflict of Interest Policy
6. Collections Stewardship
7. Education and Interpretation
8. Facilities and Risk Management
9. Collections Stewardship
10. Records Retention Policy and Schedule
11. Human Resources Policies
12. Community Relations
13. Appendices

Section 2: Mission and Planning

The Verde Valley Archaeology Center and Center (hereafter called the Center) is an incorporated registered nonprofit public charity managed by a Board of Directors. The Center may by special resolution increase or decrease the number of Directors. No business of the Board shall be transacted except at a meeting of Directors at which a quorum of the Board (at least five Directors) is present. Where there is a vacancy or vacancies in the Board of Directors, the remaining Directors may exercise all the powers of the Board, so long as a quorum of the Board remains in office.

2.1 VVAC's Mission

The Verde Valley Archaeology Center's mission is to preserve archaeological sites and collections, to curate the collections locally, and to make them available for research and education; to develop partnerships with American Indians, cultural groups and the communities it serves; and to foster a deeper understanding of prehistory and American Indian history in the Verde Valley through the science of archaeology. This includes the following activities:

- a) Promoting interest in the archaeology of the Verde Valley region, to encourage an appreciation of and support for archaeological research;
- b) recording archaeological information by means of survey, excavation, and other proper forms of investigation; protecting archaeological sites from unnecessary or wanton destruction; encouraging the preservation of archaeological sites; and encouraging the conservation of artifact collections and their attendant documentation;
- c) encouraging a scientific attitude in the collection and study of artifacts; discouraging commercialism in the archaeological field and to work for its elimination;
- d) promoting the spread of archaeological knowledge through publications, meetings, and other educational programs;
- e) serving as a bond among those interested in the archaeology of the Verde Valley region;
- f) soliciting and providing financial and other material support to students, organizations, agencies, and institutions who share these purposes, thereby lessening the burdens of government.

2.2 Fulfilling the Mission

The Verde Valley Archaeology Center and Center strives to fulfill its mission through the following activities:

- a) To provide public programs including school programs, exhibitions, workshops, seminars, lectures, collections, and other related activities and events which enhance the role of the VVAC as a center of education and enjoyment for the general public;
- b) To research, record, and preserve the prehistoric sites of the surrounding region, as well as the history of the American Indians of the region;
- c) To print, publish, sell and distribute publications and literature of all kinds relating to the objectives and activities of the Center;
- d) To maintain and operate an archaeology library and museum store in support of and as incidental to the attainment of the objectives of the Center and for the education and enjoyment of patrons;
- e) To receive and maintain funds for the furtherance of the Center's mission.

2.3 Core Organizational Strategies

To fulfill the above mission, the Center will pursue the following strategies, all of which have implications for structure, planning, and programming:

- a) Develop and maintain a large membership base that can increase organizational capacity, including financial.
- b) Develop significant and mutually beneficial relationships with like-minded organizations.
- c) Develop and maintain a broad, sustainable organizational funding base.
- d) Maximize the number and quality of educational programs and activities, emphasizing hands-on and field trip experiences.
- e) Establish and maintain high standards for the science of archaeology in the operation, programs and activities of the VVAC.
- f) To establish a Center for exhibiting and interpreting Center collections for the public

Section 3: Financial Stability

The Financial Stability section of this manual has been prepared to document and codify the internal financial and accounting procedures and processes currently in use at VVAC. The purpose of these procedures is to ensure:

- that finances are managed with responsible stewardship
- that guidelines of grantors and donors are complied with
- that assets are safeguarded, and
- that financial statements are in conformity with generally accepted accounting principles.

3.1 Basis of Accounting

The VVAC fiscal year is from October 1 through September 30. VVAC uses the accrual basis of accounting through the fiscal year with accounting software QuickBooks Online for Nonprofits. VVAC, following nonprofit accounting standards, relies on using the **statement of financial position** (balance sheet), **statement of activities** (income statement), and **cash flow statement**.

The statement of financial position gives a screenshot of the health of a nonprofit during a period of time. The statement shows assets, liabilities, and net assets. Unlike the balance sheet, the nonprofit version substitutes net assets for equity. The net assets plus liabilities must equal the assets on the statement of financial position. Net assets are classified in one of two ways: with donor restrictions or without donor restrictions. If donors make donations for specific purposes, you must label them as “with donor restrictions.”

The statement of activities works similarly to the income statement. Its purpose is to report revenue and expenses during a period of time. Like the statement of financial position, VVAC reports revenues with or without donor restrictions.

Lastly, the cash flow statement shows how much money is entering and leaving the organization during a specific time period. The cash flow statement organizes cash into three categories, which are operating, investing, and financing activities. It is possible to have either positive or negative cash flow in a nonprofit.

3.2 Internal Controls

The organization employs several safeguards to ensure that financial transactions are properly authorized, appropriated, executed and recorded. The Board of Directors has authority to approve fiscal policies and is required to review them annually.

3.2.1 Revenue Recognition for Donations

When the VVAC receives a donation, the revenue is recognized when the donation is received. The donation may be unrestricted or restricted. Donations for membership, classes, lectures or undesignated gifts are considered unrestricted net assets and are deposited into the General Fund checking account.

A donation made specifically to the Capital Campaign is recognized as a restricted or unrestricted net asset, depending on the intent of the donor. The donation is deposited into the Capital Campaign checking account. The restricted subaccount contains donations earmarked for a specific item as

determined by the Donor. Other donations to the Capital Campaign, not specifically designated by the donor, are considered unrestricted but can only be used for an expense associated with the Capital Campaign.

A donation to the Endowment Fund is recognized as permanently restricted net assets and is recognized when the donation is received. Such donations are regarded as “donor restricted” donations. These donations are deposited in the Endowment bank account.

3.2.2 Revenue Recognition for Grants

If the VVAC receives a government or foundation grant based on an application (e.g. for curation supplies), the grant income is considered a donation. When the VVAC receives a grant donation, the revenue is recognized when the donation is received and is deposited into the General Fund checking account. However, in order to track expenditures, a subaccount is created within QuickBooks, usually by the name of the grantor, such as “IMLS” or “Site Watch.” Expenses are then drawn against the appropriate subaccount and documented accordingly.

If the VVAC receives a grant in exchange (exchange transaction) for a service, then the revenue would be recognized as earned. The determination as to when revenue is earned is dependent on the language in each specific grant. The following factors are indicative of an exchange transaction:

- There are economic penalties if the terms of the agreement are not met
- The grantor specifies the time and place of delivery of any goods or services
- The payment is calculated in a manner that provides a "profit margin" for the recipient
- The grantor receives a direct benefit from the payee (excluding any intrinsic benefit from helping the VVAC)
- The grant requires that the recipient provide the grantor with a specific service, facility or product rather than providing the benefit to the general public

If, for example, it is a cost-reimbursement grant (which is the most common) VVAC would recognize grant revenue equal to the amount of allowable expenses incurred. If the grant was for a fixed amount, then VVAC would recognize revenue under the “percentage of completion” method. Under this method VVAC would recognize revenue based on the percentage of the project that has been completed. The percentage completion is a somewhat subjective determination that is often based on the project manager's estimation. The key factor is that VVAC must have a methodology in place for estimating the percentage of completion at the time the grant is received and that this methodology is followed consistently.

3.2.3 Revenue Recognition for Volunteer Services

There are situations where the VVAC can recognize the value of volunteer services. This is the case when the services create or improve upon a non-financial asset, such as flooring. If so, the revenue is recognized in the amount of the value of the hours contributed or via the change in fair value of the altered asset. Other services may only be recognized as revenue if all of the following criteria are met:

- Special skills are required
- The work is done by volunteers who have these skills
- The services would otherwise have to be purchased

3.2.4 Revenue Procedures

The VVAC maintains a Chart of Accounts – Income within QuickBooks Online. This list is reviewed periodically to maintain an accurate representation of organizational revenue.

- All checks received by mail, or in the Museum Store, are assembled by the Office Manager or designee who immediately stamps the reverse with the appropriate bank endorsement stamp (General Fund). A copy of each check is made and paper clipped to the originals checks in preparation for deposit.
- Cash in the cash register and donation box is counted on Mondays by the Office Manager or designee. Any amount in excess of the established cash drawer maximum (“Cash Register Cash” in QuickBooks) is counted and prepared for deposit with any checks.
- The Office Manager or designee completes the deposit slip, recording the cash amount for verification by the Treasurer or Accountant.
- If the checks will be deposited via mobile deposit, the Office Manager or designee will stamp the back of each check as described above, make copies, and indicate the purpose of the check on the copies, e.g., membership renewal, donation, etc. for recording by the Treasurer or Accountant. The Treasurer will make the mobile deposit and will attach the acceptance of deposit email from the bank to the original check(s) before recording into QuickBooks.
- Deposits are made by the Executive Director, Treasurer or designee. The deposit receipt is attached to the check copies and given to the Accountant for QuickBooks entry. The bank account to be debited and the revenue type to be credited will be provided by the Treasurer. The supporting documentation is copied and attached to the entry. The bank receipts and check copies are filed in the folder for the month of deposit.
- Credit card revenue is received as follows:
 - Beginning in August 2020, the VVAC switched automated services to Doubleknot. Doubleknot processes all payments made online through the VVAC website, such as dues, classes, trips, admissions, museum store sales or special events.
 - The VVAC uses the Doubleknot Point-of-Sale (POS) system. Doubleknot employs Stripe to processes all credit card payments.
- Doubleknot makes all deposits into the General Fund. It is not capable of distinguishing between a Capital Campaign item and a General Fund item. Therefore, before closing the month’s accounting period, the Treasurer will make an interbank account transfer of the appropriate funds from the General Fund (Operating) into the Capital Campaign account.

3.2.5 Expense Recognition and Procedures

Not-for-profit organizations are required to track expenses by natural categories such as salaries, office supplies, etc. The VVAC maintains a Chart of Accounts – Expenses within QuickBooks. This list is reviewed periodically to maintain an accurate representation of organizational expenses.

- The Treasurer is responsible for maintaining the Chart of Accounts and revising as necessary.
- Requests for disbursements are submitted in three (3) ways:
 - Original invoice

- Purchase document request
 - Employee or contractor reimbursement (expense report)
- The Executive Director has the authority to approve expenses in accordance with the approved budget by verifying the expenditure, amount, category and appropriate allocation information.
- Recurring expenses, such as telephone, trash collection, etc., may be set up as automatic payments through the bank.
- Checks can be written for invoices by the Executive Director or Treasurer, or other Board approved member. Only a single signature is required.
- All monies received by the Center for restricted funds will be segregated into separate fund accounts in the general ledger.
- No salary advances will be made under any circumstances.
- A credit card account can be maintained in the name of the Center, with individual cards issued in the names of the Executive Director, President, Treasurer, and/or a Director designated by the Board. Authorized expenditures may be made by these individuals using the Center credit card. In every case of credit card usage, the individual charging a Center account will be held personally responsible in the event that the charge is deemed personal or unauthorized. The credit card limit shall not exceed ten thousand (\$10,000.00) dollars. All Credit card purchases must be fully documented (i.e., expense purpose, travel authorizations, receipts, individuals paid for, etc.) using the official Center form (Appendix C) before the charges will be considered for payment.
- Reimbursement requests will be paid upon complete expense reporting and approval using the official Center form. Reimbursements will be authorized by the President or Treasurer.
- Unbudgeted expenditures, as well as non-recurring expenditures projected to exceed five hundred (\$500.00) dollars, shall be approved by the Board.
- The Treasurer or Accountant enters all invoices into the “Enter Bills” QuickBooks when received to maintain an accurate “Accounts Payable” record. All invoices are copied and attached to the QuickBooks entry. The bank account to be credited, the expense type to be debited, and the functional classification will be provided by the Treasurer or Executive Director.

3.2.6 Functional Classification of Revenue and Expenses

Not-for-profit organizations are required to track expenses by function. Functional categories include program, general and administrative, fundraising, etc. Most organizations, such as the VVAC, have more than one program and each of these is tracked separately.

- The VVAC maintains a List of Classifications within QuickBooks. The list is reviewed periodically to maintain an accurate representation of program activities.
- Classification of an expense is determined by the Executive Director or Treasurer. Most are straightforward such as plastic bags for “Curation” or books for the museum store for “Publications and Merchandise.”
- Occasionally expenses are split into multiple classifications based on estimates such as:
 - Office Manager wages/taxes are split 50-50 between Public Education (docent time) and General & Administrative
 - Director of Archaeology salary/taxes are split 50-50 between Museum Exhibits and Curation

3.2.7 Bank Reconciliations

- All bank statements are given to the Accountant at the beginning of each month who then reviews the statements for unusual balances and/or transactions in a timely manner.
- The Bank Statements are then reconciled to the QuickBooks accounts to validate the monthly assets and expenditures with appropriate categories.
- Reconciled bank statements are reviewed with the Treasurer within 30 days of the close of the month.
- The Treasurer will approve reconciliation reports by signing and dating the report.

3.2.8 Physical Security

The organization maintains physical security of its assets to ensure that only people who are authorized have physical or indirect access to money and other valuable property.

- Financial records are maintained in the Treasurer's office. This office is locked when neither the Accountant nor the Treasurer are present.
- Blank checks are stored in the locked file cabinet located in the Treasurer's office.
- Passwords are used to access the QuickBooks accounting software, the Doubleknot system, and the bank services website. Passwords are periodically changed.
- The only cash-on-hand is located within the cash register. A limited number of volunteers and employees have access to the cash register. Each person with access has an individual password. An access report is available to monitor such access.
- The bank deposit of checks and cash is made at least weekly by the Treasurer, the Executive Director or their designee.
- The VVAC building has a door sensing alarm system monitored by an alarm service company. The system is activated whenever the building is unoccupied.
- Security cameras have been installed covering three sides of the building exterior, internal hallways and exhibit rooms. Software allows the viewing of all cameras from the reception desk or remote location.
- There are a limited number of authorized individuals with key cards to access the VVAC building. Access can be set for 24/7 or only during Museum Hours, depending on the individual's duties. This list is monitored on a regular basis (at least yearly) based on turnover.
- A limited number of keys to rooms within the building are available. Keys with an A1 code apply to the external building doors. A2 keys are for most internal office spaces. An A4 key is limited to the IT closet. C1 keys apply to those areas designated as Curation. This list is monitored on a regular basis (at least yearly) based on turnover.
- A Fire Department "Knox Box" is located outside the Curation external entrance. The Knox Box contains A1, A2 and C1 keys for the fire department to reduce access time and minimize forced entry damage.

3.3 Budgeting/Forecasting

The organization's budget is prepared and approved annually. The budget is prepared by the Treasurer with input from the Executive Director, Office Manager and various Committees. The budget is approved by the Board of Directors prior to the start of each fiscal year. The budget is revised during the year only if approved by the Board of Directors.

Each year, the Treasurer will receive priorities from the Board or the Executive Committee not later than May 1. These priorities will be used to develop a high-level budget for approval by the Board. The same figures used in the high-level budget will then be used in developing an internal allocations budget for approval by the Board no later than September 30. This budget will guide expenditures for the next fiscal year.

Budgeting for any fiscal year shall not deviate materially from Board's policies, risk fiscal jeopardy or fail to be derived from a multi-year budget plan if one exists. Accordingly, the Executive Director shall not cause or allow budgeting which:

- a) Contains too little information to establish credible projection of revenues, expenses, and cash flow, separation of capital and operational items, and disclosure of planning assumptions
- b) Plans the expenditure in any fiscal year of more funds than are conservatively projected to be available for that period; or
- c) Fails to provide money each year for Board prerogatives, such as Board development, and Board and Committee meetings.

3.4 Financial Condition

With respect to the actual ongoing condition of the organization's financial health, the Executive Director and Finance Committee shall not put the organization at financial risk, nor allow a material deviation of actual expenditures from the budget approved by the Board. Accordingly, the Executive Director and Finance Committee shall not:

- a) Expend more funds than approved in the annual budget;
- b) Allow cash to drop below the amount needed to meet the Center's financial obligations; or
- c) Allow tax payments or other costs to be overdue or inaccurately filed.

3.5 Fiduciary Responsibilities

The Board is the governing body of the Center and as such is responsible for ensuring that the financial resources for the operational and the capital needs of the Center are in place. Board Members shall:

- a) Exercise prudence in the control and transfer of funds.
- b) Faithfully read and monitor the Center's financial statements and otherwise help the Board fulfill its fiduciary responsibility.
- c) Recognize that diversification of funding sources increases a Center's financial stability by providing multiple resource opportunities and as such, the Center will seek to diversify its funding sources.
- d) All cash accounts will be held in the name of the Center at financial institutions that are insured by the FDIC. No bank account will carry a balance over the FDIC insured amount.

The Board shall, through its Treasurer and Executive Director, develop an annual budget which is approved and controlled by the Board. The Board is committed to adhering to an appropriate budget process in order to manage the Center's financial resources.

The Center is committed to operating in an open and transparent manner and therefore will provide information to members and the general public on the financial status of the Center upon request according state and federal requirements for 501(c)(3) organizations.

The division of duties is as follows:

3.5.1 Board of Directors

- Reviews and approves the annual budget.
- Reviews annual and periodic financial statements and information.
- Designates two (2) or more members of the Board to be authorized signers on the Centers financial accounts.
- Reviews and approves all conveyances, all contracts and agreements and all other instruments requiring execution on behalf of the Corporation over five hundred (\$500.00) dollars.
- Reviews and approves all inter-fund transfers and all non-recurring or unbudgeted expenditures over five hundred (\$500.00) dollars.
- Reviews and approves recommendation of the Finance Committee regarding annual audits.

3.5.2 Executive Director

- Responsible for the day-to-day financial management of the organization.
- The Board authorizes the Executive Director to hire and supervise staff and independent consultants, pay bills, receive funds, and maintain bank accounts.
- Approves all bills, reimbursement requests, and other payables in a timely fashion.
- Maintains employee and independent contractor files.
- Supervises the activities of the Office Manager and other paid staff.
- Serves as an ex-officio member with “voice,” but no “vote” on the Finance Committee.
- Pays all obligations, and files required reports, in a timely manner.
- Makes no contractual commitments for amounts in excess of \$500 without specific approval of the Board.
- The Executive Director is authorized to sign checks for budgeted items. Unbudgeted amounts shall require approval of the Board of Directors.
- The Executive Director is authorized to enter into contracts for activities that have been approved by the Board as a part of budgets or plans. The Board of Directors must authorize any contracts outside of these parameters.

3.5.3 Treasurer

- Voting member of the Finance Committee.
- Maintains custody of the records of account for all funds and securities of the Center.
- Ensures that the financial records and operations are in accordance with relevant standards, and laws.
- Reviews and verifies accuracy of financial transactions.
- Reviews and prepares all monthly financial statements for presentation to the Board of Directors.
- Prepares and submits Arizona Corporation Commission annual filing due in August.
- Supervises the reconciliation of the end of month bank and credit card charge statements.

- Processes approved request for inter-fund transfers.
 - Monitors the balances in the bank accounts to determine when there is a shortage or excess in the checking account.
 - Makes transfers as necessary with the goal of maximizing the potential of earning interest.
 - Transfers are reported to the Board of Directors in the Treasurer's report.
- Has overall responsibility for the accounting system and integrity of accounting system data.
- With input from the Board of Directors, the Director of Archaeology, the Executive Director and Office Staff, establishes a calendar year Budget and oversees its input into QuickBooks.
- Tracks Grant and restricted assets and expenses associated with each.

3.5.4 Office and Marketing Manager

- Receives and opens all incoming mail.
- Performs duties as assigned by the Executive Director.
- Prepares Letter of Acknowledgement for all donations and contributions signed by Executive Director.
- Performs the inventory record keeping for the Museum store.
- Counts cash in register every Tuesday with the Accountant.

3.5.5 Accountant

- Enters receipts to proper accounts and categories into QuickBooks.
- Processes ADP payroll and incurred expense checks.
- Prepares and submits federal and state tax withholding payments, quarterly federal form 941 and state form A1-ORT tax withholding reports, and federal year-end W-2s and 1099s.
- Maintains and reconciles the end of month bank statements.
- Ensures the financial records and operations are in accordance with relevant standards and laws.
- Reviews and verifies accuracy of financial transactions and category assignments.
- Pays all approved invoices, reimbursement requests, and other payables in a timely fashion.
- Develops reports as determined by the Treasurer and/or the Finance Committee for submittal to the Finance Committee and for the Board of Directors.
- On a yearly basis or as determined by the Finance Committee, assists in the collection of data in support of the annual audit and development of Federal Form 990.
- Provide and document second party verification and accounting of Cash (Register and Donation Box) transactions on a weekly basis.

3.5.6 All Committee Chairs

- Develops first draft of committee budgets and works with the Treasurer and Finance Committee to finalize the annual Budget.
- Accountable for approved committee budgets in purchasing decisions and in preparing check request vouchers with the proper account allocation.

3.5.7 Finance Committee

- Prepares/updates a one to five (1-5) year financial plan.

- Prepares/updates annual cash flow projections and analysis.
- Regularly reviews operating expenditures to identify opportunities for reducing costs.
- Regularly reviews Center's restricted and Endowment funds to identify appropriate investment opportunities to protect principal and provide growth, and to ensure proper use.
- Establishes a budgeting process.
- Reviews and makes recommendations on internal financial controls and accounting policies and procedures to ensure that the records and financial operations are in accordance with relevant standards, Federal and State laws and regulations, and Center by-laws.
- Evaluates the need for annual independent audit and recommends to the Board of Directors.

3.5.8 Endowment Board

- Consists of three to five (3-5) members in good standing appointed by the Board of Directors. The President, Treasurer, and Executive Director are ex-officio members with voice, but no vote. These members are custodians of the Verde Valley Archaeology Center Endowment Fund with voice.
- Manages the invested funds and oversees distribution from the Fund in compliance with the Policies and Guidelines of the Account/Fund.

3.6 Financial Instruments

The banking business of the Center shall be transacted with such banks or trust companies as the Board may determine. Such banking business or any part thereof shall be transacted under such agreements, instructions and arrangements as the Board may from time to time prescribe and authorize, and all checks, bank drafts, and money orders of the Center shall be drawn in the name of the Center, and signed on its behalf by such persons as the Board may, from time to time, designate.

3.7 Check signing authority

The Treasurer, President, Executive Director, and other Board member in good standing designated by the Board, are designated signing officers of the Center and are authorized and empowered on behalf of the Center, from time to time, to sign and deliver checks, drafts, acceptances, agreements to give security and all agreements, documents, and instruments obligating the Center to a bank or trust company or as required by a bank or trust company.

3.8 Board Members and Fundraising

One of the prime responsibilities of all Board members is to ensure the well-being and success of the Center. Fundraising, therefore, is a central focus of the Board.

It is the responsibility of all individual Board members to contribute actively to the fundraising efforts of the Center by participating in fundraising strategies and by making their own personal contribution each year and by using (where appropriate) personal influence with other corporations, individuals and groups.

3.9 Financial Reporting

VVAC's financial statements are prepared in accordance with Generally Accepted Accounting Principles (GAAP). The presentation of the Financial Statements follows recommendations of the Financial Accounting Standards Board (FASB) No. 117, "Financial Statements of Not-For-Profit Organizations."

The Treasurer prepares financial reports on a monthly basis, no later than 30 days after the close of the prior month. The Treasurer is responsible for producing the following year-to-date reports:

Statement of Financial Position

A nonprofit's statement of financial position (similar to a business's balance sheet) reports the organization's assets and liabilities in some order of when the assets will turn to cash and when the liabilities need to be paid. The amounts are as of the date shown in the heading which is usually the end of a month, quarter, or year. Since a nonprofit organization does not have owners, the third section of the statement of financial position is known as net assets (instead of owner's equity or stockholders' equity).

Statement of Activities

Since a nonprofit's primary purpose is to provide programs that meet certain societal needs, it issues a statement of activities (instead of the income statement that is issued by a for-profit business). The statement of activities reports revenue and expense amounts according to the three classifications of net assets: permanently restricted, temporarily restricted, or unrestricted.

Statement of Cash Flow

This summarizes the resources that become available to the organization during the reporting period and the uses made of such resources. It's especially useful in real-time because it reports income that has been received and expenses that have been paid. A statement of cash flow with the budget amounts is helpful for the board to be able to anticipate any shortfalls for planning purposes.

Statement of Functional Expenses

This reports all expenses as related either to program services or to supporting services. Expenses under program services are shown divided among the various programs. Expenses under supporting services are generally divided between (1) management and general expenses and (2) fundraising expenses. This report is essential for the completion of the annual IRS Form 990.

The Executive Director and Treasurer review financial reports each month and present reports to the full Board of Directors. For each Board of Directors meeting, the Executive Director prepares a narrative report that summarizes the organization's current financial position and includes explanations for budget variance.

3.10 Audit

Not every charitable nonprofit is required to conduct an independent audit. Some nonprofits, because of the size of their annual budgets, or because of the sources of their funding, are required by state or federal law to conduct an independent audit. Arizona state law does not require NPO audits (Statute and Description: Ariz. Rev. Stat. § 10-11622). At the federal level, NPOs that expend federal grants of more than \$500,000 in any fiscal year are subject to the single audit requirements (General Accounting Standards A-133 requirements).

The VVAC may choose to obtain an independent audit even if not legally required to do so. An "independent audit" is performed by a public accounting firm or an individual who is a certified public accountant ("CPA") who is engaged to provide an independent opinion to the management

whether or not the nonprofit's financial statements/records comply with accounting standards known as "GAAP" (generally accepted accounting principles.) In an independent audit the person conducting the audit is not a board member or an employee of the organization being audited, therefore the review is thought to be more objective than if the reviewer were under the control of, or controlled the nonprofit.

An audit provides the highest level of assurance that an organization's financial statements are fairly presented and free of misstatements. Only an independent CPA can perform an audit for an NPO, but a well-informed internal Audit Committee can help make the process run more smoothly. Many grantors commonly request audited financial statements. In some cases, they will accept statements prepared in-house by the Audit Committee. Alternatively, some grantors may accept an independent CPA "review" which does not undertake the extensive testing performed by an audit, but will provide a limited assurance that the financial statements are fairly presented. A review costs less than an audit.

The primary function of the Audit Committee of the Board of Directors is to assist the Board of Directors in fulfilling its oversight responsibilities relating to the Organization's financial reporting, which shall include oversight of:

- the integrity of the Organization's financial statements;
- the Organization's compliance with legal and regulatory requirements;
- the Organization's preparation and submission of IRS form 990; and
- the Organization's risk assessment and risk management and the policies and controls in place to monitor and mitigate such exposure.

The Committee's role is one of oversight. It is recognized that the Organization's management is responsible for preparing the Organization's financial statements and the independent auditors, if engaged, are responsible for auditing or reviewing those financial statements.

Committee Composition

The Audit Committee shall be comprised of three or more members appointed by vote of the Board of Directors at least a majority of whom shall be a member of the Board of Directors. Members of the Committee may be members of the Board of Directors, employees, officers of the Organization or Volunteer members of the Organization. Each member of the Audit Committee shall meet independence and experience requirements satisfactory to the Board of Directors. The Board shall appoint one member of the Committee to act as its Chair. The members of the Committee shall serve terms of one year, and shall be eligible for re-appointment.

Committee Meetings

The Committee will meet at least four times a year, with authority to convene additional meetings as circumstances require. The Committee will invite members of management and others to attend meetings and provide pertinent information, as necessary. Meeting agendas will be prepared and provided in advance to members, along with appropriate briefing materials. Minutes will be prepared and the Committee will report to the Board the results of its meetings.

Duties and Responsibilities

The following list of responsibilities is set forth as a guide to the Committee in fulfilling its purpose and may be modified from time to time as appropriate. The Committee:

1. Shall be responsible for oversight of the performance of the independent auditors if the Board of Directors determines an independent audit is necessary. The Board of Directors appoints, terminates if necessary, and sets the compensation for the independent auditors.
2. Requires each member of the Board of Directors and Audit Committee and, if engaged, the independent Auditors, annually to declare:
 - a) Any relationships and/or services which may impact on their objectivity and independence in performance of their commitment to the Organization;
 - b) Any transaction between the Organization and any insider or affiliate which is required to be disclosed in the Organization's IRS form 990;
 - c) Compliance with the Organization's codes or policies prescribing ethical conduct.
3. Reviews with management the quality and adequacy of the Organization's internal controls and internal accounting procedures, including (i) any deficiencies in the design or operation of those controls which could adversely affect the Organization's ability to record, process, summarize and report financial data, and any material weakness in internal controls; and (ii) any alleged fraud, whether or not material, that involves management or other employees or volunteers who have a role in the Organization's internal controls.
4. Reviews with management, the preparation of IRS form 990 or applicable alternative Return of Organization Exempt from Income Tax, including any variations from prior year returns and/or significant issues address in the current filing.
5. Reviews with the independent auditors, or if an independent auditor is not engaged by the Board of Directors, with the Organization's President and Treasurer, in connection with the Organization's annual and quarterly financial statements:
 - a) All critical accounting policies;
 - b) All alternative treatments of financial information within generally accepted accounting principles ("GAAP") for policies and practices related to material items that have been discussed with management officials of the Organization, including the ramifications of the use of such alternative disclosures and treatment preferred;
 - c) Financial, regulatory, and accounting initiatives;
 - d) The effect of any off-balance sheet structures on the Organization's financial statements;
 - e) Any material transactions and relationships between the Organization and any insider or affiliate;
 - f) The reporting of any donor restrictions regarding any assets of the Organization.
 - g) The status of the Organization's reporting requirements included as Schedule 1.
6. Reviews with the President and Treasurer, the Organization's policies with respect to risk assessment and risk management, including the Organization's major financial and non-financial risk exposure and the policies and controls in place to monitor such exposure;
7. Reviews with the President and Treasurer, any legal or regulatory matters, including activities subject to the Native American Graves Protection and Repatriation Act, that may have a material impact on the Organization's financial statements or otherwise may create financial and/or non-financial risk exposure to the Organization;

8. Meets with the Board of Directors annually to report on:
 - a) Any issues or weaknesses found or suspected in regards to the Organization's financial statements;
 - b) Any issues or weaknesses found or suspected in regards to the Organization's regulatory reporting and/or compliance obligations;
 - c) Any issues or weaknesses found or suspected in regards to the Organization's current IRS form 990 or applicable alternative and recommendation for submission of such form by the Organization's Treasurer;
 - d) Any issues or weaknesses found or suspected in regards to the Organization's risk management and risk mitigation policies and/or procedures.

9. Meets with the Board of Directors on request, but not less than quarterly to report on:
 - a) Review and report on any issues or weaknesses found or suspected in regards to the Organization's quarterly financial statement;
 - b) Review any issue to be reported annually in meeting with the Board of Directors if changes in circumstances since the last annual meeting so warrant.

10. Performs any other activities consistent with the Organization's charter, by-laws and applicable laws and regulation as the Board of Directors deems necessary or appropriate.

Authority to Retain Consultants

Only upon the specific prior authorization by the Board of Director shall the Committee have the authority to retain special compensation, legal, accounting or other consultants to advise it. The Committee may request any officer or employee of the Organization to meet with any members of the Committee.

Restrictions on Compensation

No Committee member may accept any consulting, advisory or other compensatory fee from the Organization or its subsidiaries.

3.11 Tax Compliance

Most charitable nonprofits, such as the VVAC, that are recognized as tax-exempt have an obligation to file an annual information return with the Internal Revenue Service. A charitable nonprofit's Form 990 must be filed with the IRS on the 15th day of the 5th month after the close of the nonprofit's fiscal year. For the VVAC that date is February 15th.

The Form 990 may be completed and filed by the VVAC Treasurer. An outside preparer can be recommended by the Treasurer to the Board of Directors. If an outside preparer is chosen, the Executive Director and Office Manager will be the staff liaisons with the preparer. The Treasurer will review the tax returns prior to filing and has ultimate approval authority. Completed 990 forms will be made available to the membership and the public on the VVAC website.

3.12 Payroll

Payroll Preparation & Approval

The VVAC used the ADP system for payroll processing Payroll is on a bi-weekly basis for non-salaried employees. Employees prepare a weekly payroll report form showing hours worked and

leave taken. Forms for the two-week pay period are submitted by the Wednesday after the pay period ends. The hourly rate of pay range is specified in each particular job description, subject to change as determined by the Board of Director in the annual budget preparation process.

Salaried employees are paid on a bi-weekly basis at the rate determined by the Board of Directors in the annual budget preparation process. Leave taken must be documented and submitted the Wednesday after the pay period ends.

A work week is defined as Sunday, 12:00 am through Saturday, 11:59 pm.

Once the income for each employee has been ascertained, withholding and deductions are calculated by ADP. Payroll taxes for Social Security, Medicare, unemployment, disability and workers' compensation are withheld from every pay subject to statutory requirements and limits. Income taxes are withheld based on data supplied on the employees W-4 form.

Pay Upon Termination

Upon voluntary and involuntary termination, payroll is processed and distributed to the employee according to the regular two-week interval. The Executive Director calculates the final paycheck and distributes the check to the employee.

Tax Report Preparation and Filing

The W-2, Form 1099 and taxes are completed by the ADP. Annual W-2 forms for each employee are completed for Federal and State income tax reporting.

3.13 Purchasing Policy

The role of the purchasing policy is to define standard methods and procedures for the VVAC to purchase products and services from different vendors. This policy covers all expenses for the VVAC. Compliance with this policy is mandatory for all employees and volunteers. The VVAC does not have a dedicated purchasing team. As a result, establishing purchasing authority and a process is essential. By doing this, individuals help to build accountability and fiscal control.

The Executive Director is authorized to purchase items that are specifically mentioned within the approved Fiscal Year budget, regardless of dollar level, without further approval. The Executive Director can also purchase non-budgeted items that do not exceed \$500, and does not exceed the budget for that line item, such as "Office Supplies." However, if the purchase of a non-budgeted item exceeds \$500, or the budgeted line item, a Purchasing Requisition Form (Appendix E) must be completed and submitted to the Treasurer for Board Approval.

In addition, any employee or volunteer requesting that the VVAC purchase a specific item or items, such as restroom supplies, equipment or office supplies, must complete a Purchasing Requisition Form. The form is to be submitted to the Executive Director and, if approved, submitted to the Treasurer to ensure that funds are available and within the approved budget.

3.14 Purchases & Procurement

Any expenditure in excess of \$500 for the purchase of a single item requires approval of the Board of Directors unless the item was specifically identified in the budget preparation process. Regular and

recurring expenditures, such as printing and utilities, that exceeds \$500 do not require Board approval.

Invoices are required for all purchases and services. Invoices are opened and reviewed by the Office Manager. All invoices are given to the Treasurer to be categorized and entered into the QuickBooks “Enter Bills” module. Invoices are scanned and attached to the QuickBooks record. This action sets up an Accounts Payable (A/P). The Treasurer monitors available funds and the “due date” of the invoices, and direct the Accountant to pay specified bills at a specified time.

Checks are prepared by the Executive Director, Treasurer or Accountant. Copies of the paper invoices are filed in the folder, with the check stub, in the month paid. After two years these documents will be archived but they will not be destroyed.

3.15 Petty Cash

The VVAC does not maintain a petty cash fund. The only cash is in the Museum Store cash register reflecting purchases recorded in the Doubleknot system. The Office Manager along with the Accountant is to count the cash register cash every Tuesday. Any amount in excess of the approved cash register cash balance established by the Treasurer (\$180) is to be removed and prepared for deposit.

3.16 Employee/Volunteer Expense Reimbursements

Employees or volunteers can be reimbursed for items they purchase for the VVAC. This can include such items as rest room and cleaning supplies. Any purchase should receive pre-authorization by either the President or the Executive Director to ensure compliance with the approved budget.

Requests for reimbursement must be made by completing the Employee/Volunteer Reimbursement Request Form (Appendix D) with the receipts attached to the form. Employees or volunteers can donate the purchase of the item(s) shown on the form to the VVAC for tax purposes. The completion of the form, with the appropriate donation line checked, is requested to allow the recording of the “In Kind Donation” in the VVAC’s financial records. The form must include the approval signature of the Executive Director and Treasurer.

3.17 Travel Expenses

The VVAC will provide reimbursement for employees and volunteers for pre-approved travel related expenses, including transportation, hotels, and food. These expenses must be reasonable and necessary, as well as job-related. Travel exceeding the approved budget level must be pre-approved in writing by the Executive Director, President, Treasurer, or Board of Directors.

The VVAC will only reimburse travel related expenses when the employee provides documentation of the expense with receipts from purchases or other verifiable documentation.

Employees seeking reimbursement must complete the Travel Reimbursement Request Form (Appendix C). The form must be fully and accurately completed, and submitted to the Executive Director, President or Board of Directors. All receipts will be scanned and attached upon payment.

Use of an employee's personal automobile will be reimbursed in accordance with the federally approved mileage rate for business use of personal vehicles. Reimbursement of meals when there is no overnight travel may be paid when the meal has a defined business purpose. For out-of-area travel,

VVAC will reimburse all pre-approved travel related actual costs, such as hotel accommodations, transportation to and from the destination, including airline, train or bus tickets, taxicab fares, meals and gratuities etc. Alternatively, the employee/volunteer may claim a per diem amount limited to the federally approved per diem limits provided to employees for any overnight business travel. Employees and volunteers should travel at the lowest available airfare to accommodate the purpose of the business trip.

3.18 Capital Equipment

- It is the Center's policy to capitalize all items that have a unit cost value greater than two thousand five hundred (\$2,500.00) dollars. Items purchased with a value or cost less than two thousand five hundred (\$2,500.00) dollars will be expensed in the period purchased.
- A Fixed Asset Log is maintained by the Accountant
 - Include date of purchase
 - Asset description
 - Schedule for depreciation of the asset
 - Purchase/donation information,
 - Cost/fair market value
 - Donor/funding source
 - Identification number,
 - Life of asset so as to calculate and record depreciation
 - Land is not depreciated
- A physical inspection and inventory will be taken of all fixed assets as directed by the Audit Committee or designated person annually.
- Any change in status or condition of any property or equipment shall be indicated on the Fixed Asset Log.

Capital purchases comprise furniture, fixtures, equipment, software, leasehold improvements, etc. that meets two criteria: 1) a useful life of more than one year and, 2) cost more than \$2,500.

The VVAC budget is updated each year and should include proposed capital purchases that are anticipated to take place during the year. Those purchases itemized within the approved capital budget are considered approved. Capital purchases not within the approved budget, or beyond the scope of the discretionary amount, must be specifically approved by the Board of Directors. To seek such approval, the Executive Director must provide the price and rationale for the purchase.

3.19 Depreciation Schedule

Annual depreciation expense will be included in VVAC's annual operating budget. The VVAC uses the straight line method where the value of the fixed asset is depreciated evenly over the life of the asset according to the following IRS guidelines:

5-Year Property

- a. Automobiles, vans, and trucks.
- b. Computers and peripheral equipment.
- c. Office machinery (such as typewriters, calculators, and copiers).

7-Year Property

- a. Office furniture and fixtures (such as desks, files, and safes).

- b. Any property that does not have a class life and has not been designated by law as being in any other class.

39-Year Property

Nonresidential real property (such as an office building, store, or warehouse)

When a fixed asset is disposed of or sold, it should be removed from the books of the VVAC.

Section 4: Leadership and Organizational Structure

4.1 Memberships

The Board shall fix and determine, from time to time, the fees and qualifications for membership, and the Secretary shall maintain a register of members in good standing. A member in good standing shall have paid a membership fee for the current year or have been presented with a membership card in recognition of services rendered, whether for the current year or for life.

4.2 Classes of Membership

Individual membership in the Center shall include the following categories: Honorary, Patron, Life, Sponsor, Sustaining, Contributing, Supporting, and Student. Annual dues shall be fixed by the Board of Directors. Honorary membership may be conferred by the Board on any individual who has made notable contributions to achieving the goals of the corporation. Such members shall be exempt from payment of dues. Business memberships in the Center shall include the categories of Basic, Standard, Patron, and Executive, at an amount determined by the Board of Directors.

4.3 Role of the Board of Directors

Good governance is the foundation that enables the Center to succeed. The effective operation of the Center is based on a well-functioning Board of Directors (governing authority) that has a strong working relationship with the Center's Executive Director. Together, the Board and the Executive Director set the direction of the Center, obtain and manage the resources needed for it to fulfill its mission and ensure that the Center is accountable to the public.

The Board fulfills the basic responsibilities of nonprofit governance by:

- a) determining the organization's mission and purposes;
- b) selecting the Executive Director and supporting and assessing his or her performance;
- c) ensuring effective organizational planning and adequate resources;
- d) managing resources effectively (including exercising good stewardship of collections);
- e) ensuring that the organization's programs and services advance the mission;
- f) enhancing the organization's public standing;
- g) ensuring legal and ethical integrity and maintaining accountability;
- h) recruiting and orienting new members of the governing authority; and
- i) assessing performance of the governing authority.

4.4 Board Member, Staff and Volunteer Code of Ethics

The Board expects of itself and all staff and volunteers ethical and businesslike conduct in all Center matters including fundraising. This commitment includes proper use of authority and appropriate decorum in group or individual behavior when functioning as Board members, staff or Center representatives.

- a) Board Members must represent loyalty to the interests of the Center. This accountability supersedes any conflicting loyalty such as that to advocacy on behalf of outside interest groups and membership on or involvement with other Boards or staffs.
- b) Board Members must avoid any conflict of interest with respect to their fiduciary responsibility.
- c) Board Members must not attempt to exercise individual authority over the organization

except as explicitly set forth in Board Policies.

- d) Board Members' interaction with the Executive Director or with staff must recognize the lack of authority of any individual Board member or group of Board members except as noted above.
- e) Board Members' interaction with the public, press or other entities must recognize the same limitation and the similar inability of any Board member or Board members to speak for the Board unless authorized by the Board as a whole.
- f) Board Members should make no judgments of the Executive Director or individual staff performance except as that performance is assessed against explicit Board policies by the official process.
- g) Board Members, Staff and Volunteers shall abide by federal, state, and municipal laws.
- h) Board Members, Staff and Volunteers shall keep information regarding donations, donors, artifact acquisitions, etc. in confidence. This includes pieces in the current collection and proposed collections. It will be the Executive Director's responsibility to disseminate this requirement to Board Members, Staff and Volunteers.

4.5 General Expectations of Individual Board Members

- a) Know the Center's mission, goals, policies, programs, services, strengths, and needs.
- b) Serve in leadership positions or undertakespecial assignments willingly and enthusiastically, when asked.
- c) Follow trends in the Center's field of interest.
- d) Bring a positive attitude to the Board's deliberations.
- e) Set aside personal interests and act on behalf of the membership.
- f) Support the revenue generation and fund-raising activities of the Center.
- g) Make a personal financial gift(s) each year in support of the Center.
- h) Board Members shall not disclose personal information or any other information that may be detrimental or perceived as detrimental to the reputation or business of any client, supplier, members, donor, staff members, volunteer or other party involved with the affairs of the Center.

4.6 Meetings

Board Members shall:

- a) Prepare for and participate in entire Board and committee meetings.
- b) Ask timely and substantive questions at Board and committee meetings consistent with his or her conscience and conviction.
- c) Serve the Center in all its affairs of interest and service equally.
- d) Support Board decisions.
- e) Adhere to the Board's confidentiality policy, both during the term of a Board appointment and after leaving the Board.
- f) Maintain independence and objectivity and act with a sense of fairness, ethics and personal integrity dictate.
- g) Suggest agenda items periodically for Board and committee meetings to ensure policy-related items are addressed.

4.7 Board Media

- a) When contacted for an expression of Center policy or position on an issue, Board Members shall refrain from commenting and direct the inquiry to the President or the Executive Director.
- b) The President and Executive Director are responsible for coordinating the release of all information to the media and advising the Board, and staff on appropriate responses.
- c) When speaking in public on matters related to the Center, Board members must express only those policies and positions endorsed by the full Board.

4.8 Role of the President

- a) The President of the Center (or in his/her absence, the Vice-President) shall, when present, preside at all meetings of the Board. In the absence of the President and Vice-President, the Directors shall choose one of their members to preside at the meeting.
- b) The President shall sign such contracts, documents, or instruments in writing as require his/her signature.
- c) The President shall be the chief executive officer of the Center and shall be responsible to the Board for the co-ordination of all affairs of the Center. In all matters of the Center, the President shall be deemed to be an agent of the Center, acting under the authority and the express direction of the Board or any committee thereof, as the case may be.
- d) The President shall have the general supervision, subject to the authority of the Board, of the business and affairs of the Center and the power to appoint and remove any and all employees and agents of the Center not elected or appointed by the Board and to settle the terms of their employment and remuneration.

4.9 Role of the Vice-President

- a) The Vice-President shall be vested with the powers and shall perform all the duties of the President in the absence or inability or refusal of the President to act.
- b) The Vice-President shall sign such contracts, documents or instruments in writing as require his/her signature and shall have such other powers and duties as may from time to time be assigned to him/her by the Board.

4.10 Role of the Secretary

- a) The Secretary shall, when present, act as Secretary of all meetings of Directors and Members, shall have charge of the minute books of the Center and the documents required by state or federal statute.
- b) The Secretary in consultation with the President shall prepare the agenda for all meetings of Directors and Members.
- c) The Secretary shall sign such contracts, documents or instruments in writing as require his/her signature.
- d) The Secretary shall have such other powers and duties as may from time to time be assigned to him/her by the Board or are as incidental to the office.

4.11 Role of the Treasurer

- a) Subject to the provisions of any resolution by the Board, the Treasurer shall have care and custody of all funds and securities of the Center and shall deposit the same in the name of the Center in such bank or banks or with such depository or depositories as the Board may direct.
- b) The Treasurer shall keep or cause to be kept full and accurate books of account in which shall be recorded all receipts and disbursements of the Center.

- c) The Treasurer shall sign such contracts, documents or instruments in writing as require his/her signature and shall have such powers and duties as from time to time be assigned to him/her by the Board or as are incident to the office.
- d) The Treasurer may be required to give such bond for the faithful performance of his/her duties as the Board in their controlled discretion may require, but no Director shall be liable for failure to require any bond or for the insufficiency of any bond or for any loss by reason of the failure of the Center to receive any indemnity thereby provided.
- e) The Treasurer shall render to the Board an account of all his/her transactions and of the financial position of the Center when required.
- f) The Treasurer may recommend the appointment of an auditor and present a financial report to the Members.

4.12 Emergency Powers

Situations may arise where decisions are needed within a time frame which necessitates action by the President or Executive Committee without reference to the entire Board of Directors.

The President or Executive Committee is authorized to act when the situation requiring action is either: covered by existing policy or covered by a prior delegation of authority by the Board.

Emergency powers are established to cover circumstances outside the above framework. In such circumstances the President and/or the Executive Committee are authorized to protect the integrity and viability of the organization, taking action consistent with Board policies.

- a) Where a decision is necessary within three working days, such Emergency Powers are assigned to the President.
- b) Where a decision is necessary within three weeks, and where no meeting of the Board is planned within that time period, such Emergency Powers are assigned to the Executive Committee.

Whenever Emergency Powers are exercised by either the President or the Executive Committee, the decision-makers are accountable to the Board. A written report substantiating any action taken under this Section must be submitted to the Board of Directors at the next meeting.

4.13 Annual General Meeting

Annual meetings of members shall be held on the third Tuesday in January, the first such meeting to be held in calendar year 2011, if not a legal holiday, and if a legal holiday, then on the next secular day following, or at such date and time as shall be designated from time to time by the board of Directors and stated in the Notice of the Meeting. At the annual meeting, members shall elect a Board of Directors and transact such other business as may properly be brought before the meeting.

Written notice of the annual meeting stating the place, date, and hour of the meeting shall be given to each member of record entitled to vote at such meeting not less than ten nor more than sixty days before the date of the meeting. Members entitled to vote at the meeting shall be determined as of four o'clock in the afternoon on the day before notice of the meeting is sent.

Quorum

The majority of members entitled to vote at the meeting, present in person or represented by proxy, shall constitute a quorum at all meetings of the members for the transaction of business except as otherwise provided by statute or by the articles of incorporation.

Voting

All memberships are “family” memberships covering all individuals within the same household. Each primary member from a family group represented at any meeting of the members in person or by a proxy, as provided in these Bylaws, will be entitled to one vote.

4.14 Directors Term of Office

Directors shall be elected at each annual members meeting to serve for terms of two years, or until their successors are elected.

4.15 Annual Report

At the Annual General Meeting the President, Treasurer and Executive Director shall present reports of the affairs of the Center for the previous year, a financial statement of the Center, and other such information relating to the Center’s affairs.

4.16 Committee Structure

- a) A committee is a Board committee if its creation and responsibilities are dictated or authorized by the Board. The only Board committees are those the Board establishes by resolution for specific purposes.
- b) Board committees as a whole recommend action to the Board. The Board’s committee structure will be reviewed annually or as appropriate and necessary to further the ends of the Center.
- c) The responsibilities of each committee may be reviewed periodically by the committee itself but proposed changes must be approved by the Board in order to be implemented. Committee responsibilities must include a statement of purpose, mandate, meeting cycle, and qualifications required of members. Committees shall identify responsibilities for sub-committees which they wish to establish within their mandate. Responsibilities for all committees shall be attached to this policy as Appendix A.
- d) Committees must operate within the framework of the overall budget approved for Board operations for each fiscal year. Anticipated funding requirements for each committee must be presented to the Board by October 1 for consideration for the next fiscal year’s budget.

Committees may include, but are not limited to the following:

- Executive Committee
- Finance Committee (and Audit Committee)
- Outreach Committee
- Program Committee
- Repository Committee

4.17 Attendance at Board and Committee Meetings

Board Member and Committee Member absences have a direct impact on matters of quorum and influence and the Center’s ability to conduct its business. It is, therefore, the responsibility of all

Board and Committee members to prepare for and participate in Board and Committee meetings.

Any Board member who misses four (4) Board meetings in a calendar year and any member of a committee who misses four (4) committee meetings in a calendar year may be removed from office, unless the Board determines by resolution that there was an acceptable reason for the absence.

4.18 Role of the Executive Director

- a) The Executive Director shall be the chief administrative officer of the Center.
- b) Subject to the authority and general direction of the President and the Board, the Executive Director shall manage and direct the day-to-day business and activities of the Center, shall supervise, instruct and conduct performance reviews for employees and volunteers in their duties and shall implement policies and decisions adopted by the Board.
- c) The Executive Director shall follow accepted Center standards and endeavor to ensure that the Board follows and puts into practice such standards.
- d) The Executive Director shall attend all meetings of the Board except when matters relating to his/her employment are being discussed, and shall perform such other reasonable duties as may be assigned to him/her by the Board.
- e) The Executive Director is not a Board Member, therefore cannot vote at Board meetings.

4.18.1 Primary Responsibilities

The Executive Director will:

- a) Provide strategic direction, oversight, and hands-on management of Center work.
- b) Be responsible for all operations, functions and facilities.
- c) Identify and coordinate pursuit of strategic opportunities.
- d) Set annual budgets and fundraising goals; track expenditures and income. Oversee financial resources in a prudent and responsible manner, in accordance with all applicable State and Federal policies, regulations and statutes.
- e) Develop strategies and approaches for ensuring financial health of the organization, particularly fundraising outreach with major donors, grant support, and membership building activities. Plan, coordinate, and participate in fundraising activities including setting priorities and goals.
- f) Represent the Center as the public face of our organization and participate in meetings with partners. Provide or oversee public and community relations activities with communications media, governments, citizen's groups, American Indian nations, legislative bodies, etc.
- g) Provide directly, or by delegation, liaison between VVAC and key community organizations, such as American Indian nations, local historical organizations, and other entities as appropriate.
- h) Approve external contracts and agreements between VVAC and other organizations and agencies, subject to final approval by the Board of Directors.
- i) Serve as the administrative link between the VVAC, Inc. and the Board of Directors, to include providing monthly reports to Board of Directors and meeting bi-annually with Board and members.

- j) Develop and support policies and procedures whereby all VVAC scientific endeavors conform to the highest standards of moral, intellectual and scientific rigor and validity

4.18.2 Executive Limitation Statement

The Executive Director is accountable to the Board acting as a body. The Board shall instruct the Executive Director through written policies and delegated authority. The President will act as the immediate supervisor of the Executive Director.

All Board authority delegated to staff is delegated through the Executive Director, so that all authority and accountability of staff – as far as the Board is concerned – is considered to be the authority and accountability of the Executive Director.

- a) The Board will instruct the Executive Director to achieve specific results, for specific recipients, through the established objectives policies. The Board will limit the latitude the Executive Director may exercise in practices, methods, conduct and other “means” to the ends through establishment of Executive Limitations policies or the establishment of specified Board policies.
- b) As long as the Executive Director uses reasonable interpretation of the Board’s objectives and Executive Limitations policies, the Executive Director is authorized to establish operational or administrative policies, make decisions, take actions, establish practices and develop activities.
- c) So long as any particular delegation is in place, the Board and its members will respect and support the Executive Director’s choices. The Board may change its objectives and Executive Limitations policies.
- d) Only decisions of the Board acting as a body are binding upon the Executive Director. Pursuant to this policy:
 - i) Decisions or instructions of individual Board Members, officers, or committee members are not binding on the Executive Director except in rare instances when the Board has authorized such exercise of authority.
 - ii) In the case of Board members or committees requesting information or assistance without Board authorization, the Executive Director may refuse such requests that contravene established Board policy or that require – in the Executive Director’s judgment – a material amount of staff time or funds or is disruptive to the daily operations of the Center.
- e) The performance of the Executive Director shall be subject to an annual review, the terms of which shall be determined by the Board.

4.18.3 Communication and Counsel to the Board

With respect to providing information and counsel to the Board, the Executive Director will endeavor to keep the Board fully informed. Accordingly, he or she shall:

- a) Submit monitoring data required by the Board in a timely, accurate and understandable fashion, directly addressing provisions of the Board policies being monitored;

- b) Make the Board aware of relevant trends, anticipated adverse media coverage, substantial external and internal changes, particularly changes and assumptions upon which any Board policy has been previously established;
- c) Advise the Board if, in the Executive Director's opinion, the Board is not in compliance with its own by-laws, or current Center standards, policies on Governance Process and Board/Staff Relationship particularly in the case of Board behavior which is detrimental to the working relationship between the Board and the Executive Director;
- d) Provide a mechanism for official Board, or committee communications;
- e) Deal with the Board as a whole except when reporting to officers or committees duly charged by the Board;
- f) Report in a timely manner an actual or anticipated non-compliance with any policy of the Board; and
- g) Keep Board members informed of any relevant matters.

4.19 Role of the Director of Archaeology

Subject to the authority and general direction of the President, the Director of Archaeology shall render services to assist the Center in its archaeological information growth and development, curation and display management, specifically including:

- a) Develop policies whereby all scientific endeavors of the Center will conform to the highest standards of ethical, intellectual and scientific rigor and validity
- b) Continue and expand the Center's ongoing efforts to contribute to the body of archaeological knowledge of the Verde Valley

4.19.1 Primary Responsibilities

The Director of Archaeology shall:

- a) Plan, implement and supervise all field, lab and curation operations.
- b) Develop and support policies whereby all scientific endeavors of VVAC conform to the highest standards of moral, intellectual and scientific rigor and validity.
- c) Support ongoing efforts of VVAC and its staff to contribute to the body of archaeological knowledge by participating in regional and national archaeology science including publications, meetings, research grants, etc.
- d) Serve as chief editor of all publications of the Center related to archaeology.
- e) Meet with other archaeologists or archaeological entities to help promote the advancement of Center.
- f) Attend functions at the Center – films, talks, fairs, fund-raising events
- g) Attend professional conferences such as Pecos Conference, SAA Conference, AAC Conference and the Southwest Conference
- h) Present papers at various professional conferences
- i) Give talks to the public at places other than at the Center
- j) Edit conference proceedings
- k) Meet with other professionals concerning archaeology activities/programs

4.19.2 Archaeologist Limitation Statement

The Director of Archaeology shall return all records, notes, data, memoranda, models, and equipment of any nature that are in the Director of Archaeology's possession or under the Director of Archaeology's control and that are the Center's property upon termination of employment.

Section 5: Conflict of Interest Policy

5.1 Purpose

The purpose of this Board conflict of interest policy is to protect VVAC's interests when it is contemplating entering into a transaction or arrangement that might benefit the private interests of an officer or director of VVAC or might result in a possible excess benefit transaction. This policy is intended to supplement, but not replace, any applicable state and federal laws governing conflicts of interest applicable to nonprofit and charitable organizations. This policy is also intended to identify "independent" directors.

5.2 Definitions

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

Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial. A financial interest is not necessarily a conflict of interest. A person who has a financial interest may have a conflict of interest only if the Board or Executive Committee decides that a conflict of interest exists, in accordance with this policy.

3. **Independent Director** -- A Director shall be considered "independent" for the purposes of this policy if he or she is "independent" as defined in the instructions for the IRS 990 form or, until such definition is available, the Director --
 - a) is not, and has not been for a period of at least three years, an employee of VVAC or any entity in which VVAC has a financial interest;
 - b) does not directly or indirectly have a significant business relationship with VVAC, which might affect independence in decision-making;
 - c) is not employed as an executive of another corporation where any of VVAC's executive officers or employees serve on that corporation's compensation committee; and
 - d) does not have an immediate family member who is an executive officer or employee of VVAC or who holds a position that has a significant financial relationship with VVAC.

5.3 Procedures

1. **Duty to Disclose** -- In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the Board or Executive Committee.
2. **Recusal of Self** – Any director may recuse him or herself at any time from involvement in any decision or discussion in which the director believes he or she has or may have a conflict of interest, without going through the process for determining whether a conflict of interest exists.
3. **Determining Whether a Conflict of Interest Exists** -- After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he/she shall leave the Board or Executive Committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining Board or Executive Committee members shall decide if a conflict of interest exists.
4. **Procedures for Addressing the Conflict of Interest**
 - a) An interested person may make a presentation at the Board or Executive Committee meeting, but after the presentation, he/she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.
 - b) The Chairperson of the Board or Executive Committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
 - c) After exercising due diligence, the Board or Executive Committee shall determine whether VVAC can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
 - d) If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the Board or Executive Committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in VVAC 's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.

5. Violations of the Conflicts of Interest Policy

- a) If the Board or Executive Committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.
- b) If, after hearing the member's response and after making further investigation as warranted by the circumstances, the Board or Executive Committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

5.4 Records of Proceedings

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

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

5.5 Compensation

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

5.6 Annual Statements

1. Each director, principal officer and member of a committee with Board delegated powers shall annually sign a statement which affirms such person:
 - a) Has received a copy of the conflict of interest policy,
 - b) Has read and understands the policy,
 - c) Has agreed to comply with the policy, and
 - d) Understands the VVAC is charitable and in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.
2. Each voting member of the Board shall annually sign a statement which declares whether such person is an independent director.
3. If at any time during the year, the information in the annual statement changes materially, the director shall disclose such changes and revise the annual disclosure form.
4. The Executive Committee shall regularly and consistently monitor and enforce compliance with this policy by reviewing annual statements and taking such other actions as are necessary for effective oversight.

5.7 Periodic Reviews

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

- a. Whether compensation arrangements and benefits are reasonable, based on competent survey information (if reasonably available), and the result of arm's length bargaining.
- b. Whether partnerships, joint ventures, and arrangements with management organizations, if any, conform to VVAC 's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes and do not result in inurement or impermissible private benefit or in an excess benefit transaction.

5.8 Use of Outside Experts

When conducting the periodic reviews as provided for in Section 5.7, VVAC may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the Board of its responsibility for ensuring periodic reviews are conducted.

Section 6: Collections Stewardship

6.1 Collections Stewardship Policy

This Collections Stewardship Policy establishes the policies and procedures that govern acquisition, care, management, preservation, use, and disposition of the Center's collections. The Center holds collections through a Deed of Gift process that transfers ownership from an outside donor to the Center. Collections held by the Center are recorded in the Center's collections database.

This policy also defines the ethical guidelines that govern all staff, trustees, and volunteers in any activity relating to the Center's collections and programs. To ensure currency and conformity with professional Center standards, this policy will be reviewed every five years, or earlier if necessary, and will be revised as needed to reflect changes within the Center or in policies and standards of the profession.

6.2 Acquisitions and Accessioning

Permanent collections or collections items are often referred to as "acquisitions" or as having been "accessioned" into the Center's collections. The term "item" is used as a generic reference to individual artifacts, documents, images, books, etc. The Center subscribes to a policy of selective acquisition. The significant costs of cataloging, storing, and preserving collections or collections items require that the Center be judicious in acquiring items. Each potential acquisition is evaluated with care, taking into consideration its value to the collection as well as its probable impact on the Center's resources.

6.3 Criteria for Acquisition

Acquisition to the Center's permanent collections, whether by purchase, donation, or other means, shall be in accordance with the following guidelines:

- a) Items must be relevant to and consistent with the Center's mission.
- b) All items must have cultural, historic, scientific, research, interpretive or aesthetic value.
- c) All moral, legal, and ethical implications of the acquisition must be considered.
- d) The Center will not knowingly or willfully acquire items that have been collected contrary to international, national, state, or local laws and regulations, treaties, and/or international conventions.
- e) When items of cultural or spiritual significance to ethnic groups or religious communities are considered for acquisition, the Center will make informed judgments as to appropriateness for acquisition, with sensitivity to subsequent care and/or exhibition of such items.
- f) The Center will comply with and support the tenets of NAGPRA, the federal American Indian Graves Protection and Repatriation Act, the Arizona State burial laws, and will work to insure its ability to provide tribes with pertinent information about its NAGPRA and NAGPRA related collections.
- g) The Center does not accept or collect human remains unless on a temporary basis under a State burial agreement in order to facilitate the Arizona State Museum repatriation process.
- h) The Center will draw on the expertise of other individuals for the evaluation of potential acquisitions when items fall outside the expertise of Center collections staff.
- i) Whenever possible, items will be documented or documentable, including, but not limited to, provenance, artist/maker, date, use, and intellectual property rights (copyright, trademark,

etc.). The appropriate collections staff must ascertain whether such intellectual property rights limit the use of an object.

- j) The Center does not guarantee the exhibition of any item.
- k) All donated items are accepted as free and unrestricted gifts, to be used at the Center's discretion. Exceptions to this policy must be approved by the Executive Director.
- l) The Center must be capable of providing for the storage, protection, and preservation of items under conditions that ensure access and meet professional Center standards.
- m) No item will be collected or accepted which constitutes a potential hazard to personnel, environment, facilities, or collections.
- n) No judgments as to appraisal or valuation of donations or potential donations will be provided by the Center other than for internal use.
- o) Accessioned items will have permanency in the collections as long as they retain their physical integrity, identity and authenticity, and remain consistent with the Center's mission and purpose.

6.4 Donated items

- a) For items acquired by donation, the appropriate collections staff member will complete a Deed of Gift form. This establishes an immediate record of the acquisition and provides the information necessary for completion of the acquisition process. The Deed of Gift will include a list of the donated items(s) and be signed by the donor or personal representative of the donor and the appropriate collections staff.
- b) The Deed of Gift represents transfer of clear, legal, and unrestricted title to the donated items.
- c) The donor will receive a copy of the Deed at the time of the transaction or as soon thereafter as possible; the Center maintains the processes for formally acknowledging the gift on behalf of the Center, and for assisting the donor with additional paperwork that may be required by the IRS.
- d) No estimate of value or appraisal will be provided by the Center; if a donor requires an appraisal for tax purposes, he/she must obtain an appraisal independently.

6.5 Archaeological Research Collection Submittals

A complete archaeological collection submitted to the Verde Valley Archaeology Center should include the following project materials (if applicable and available):

- a) Original survey forms
- b) Original excavations records (including maps, trench profiles, etc.)
- c) Original field notes
- d) Photographs (digital, color slides, and black and white imagery)
- e) Image negatives
- f) Artifacts
- g) All archaeological samples and botanical and geological specimens; includes remnants of samples and prepared specimens
- h) Documentation of laboratory procedures, including artifact treatments
- i) Copies of project reports and publications
- j) Computerized information/machine-readable media (when applicable)
- k) Analysis records and notes
- l) Project correspondence
- m) Completed Project Information Form (which provides an inventory of the project materials)

Copies of all original field notes, analytical records, and other documentation can be kept by the individual, organization, and/or firm that conducted the archaeological investigations. Incomplete collections will be considered for acceptance by the Center on a case by case basis.

6.6 General guidelines for processing permanent collections

- a) Acquisitions designated for the Center's permanent collections will be promptly accessioned, i.e., a permanent record created immediately upon receipt of an object, and an accession number assigned by the appropriate collections staff or designee and attached to the collection or collections items. The accession record will include the accession number, date and nature of acquisition (e.g., donation, purchase), source, pertinent history of origin and previous disposition, and a brief identification and description.
- b) Acquisitions designated for the Center's permanent collections will be catalogued, photographed, processed for intake, cleaned and/or conserved as necessary, and prepared for storage or exhibition in accordance with current professional standards, and within a reasonable timeframe, as Center resources allow.
- c) Trained staff will provide documentation regarding provenance and other relevant object history to the record file as is known, identified, or made available.
- d) A permanent record of all collection items will be maintained by professional staff, initially through entry into the Center's collections management database. The record will document method of acquisition and provide description, object information and current location. Auxiliary information, such as appraisal or research notes and correspondence, will also be maintained as part of this permanent record.
- e) A permanent collections file will be maintained by appropriate collections staff. Copies of all original and pertinent legal documentation, as well as related notes and correspondence, will be kept in these files. Original Deeds of Gift will be stored in a secure and fireproof location by the Center.

6.7 Use of Collections

- a) **Internal Use of Collections**
Items from the collections may be used for exhibition, interpretation, research, and education. The appropriate collections staff will determine suitability of an item for use, dependent on condition of the object, availability of like objects, significance of the particular object, inherent risk to the object, or other concerns that may affect the preservation of a specific item. Permanent collection items may not be exhibited in individual offices or other non-public spaces, or used as long-term "decorative" features.
- b) **Access to Collections**
The Center makes its collections available for research, exhibition, education, publication, and other appropriate purposes in keeping with its mission. The type and conditions of such use must be consistent with the Center's responsibility for care and preservation of its collections, and may be contingent on staff availability. The appropriate collections staff facilitates access to collections. The primary considerations for access are condition and significance of the object(s) and availability of other sources for information such as duplicates, photographs, and written descriptions.
- c) **Guidelines for the Use of Collections**
To provide maximum access to the collections while maintaining appropriate security and preservation standards, the following general procedures govern access. Additional forms,

procedures and policies developed by the Center provide additional guidelines for the use of collections.

d) Physical Access to Collections

- i. A Request for Access form must be completed in advance by external researchers and submitted to the appropriate collections staff.
- ii. The appropriate collections staff determines extent of access and supervision.
- iii. Appropriate collections staff will advise proper use and handling of items, and provide appropriate supervision.
- iv. Access may be revoked for the safety of collections; users may be liable for damage.
- v. Access to certain types of items (e.g. culturally sensitive), and certain types of information (e.g. donor files, values, and locations) may be restricted based on specific circumstances and criteria, such as legal restrictions on the distribution of student information, confidentiality issues or protection of the collections.
- vi. The appropriate collections staff maintains record of all collections use.

e) Public Display and Publication

- i. Access to and use of the collections and records must be credited to the Center in all publications, exhibitions, and other presentations.
- ii. The Center will be given a copy of any publications or other products of research, which result from access to collections, and this will be a condition of use.
- iii. No commercial or promotional use of the Center's permanent collections, or information or images resulting from their examination, will be allowed unless specific approval in writing is granted by the appropriate collections staff and the Director of Archaeology.

f) Fees

- i. Access and use of collections may involve fees as set by the Director of Archaeology.
- ii. Fees will be based on staff time and any associated costs such as photocopying.
- iii. The collections staff will maintain a current fee schedule.

6.8 Conditions for Temporary Custody of Objects and/or Specimens

The Center will give to items (the term "item" is used as a generic reference to individual artifacts, documents, images, books, etc.) left in its custody the same care provided similar property of its own, but it assumes no additional responsibilities or liabilities in regard to such objects and/or specimens. However, additional insurance may be acquired at the request of the loaning institution.

Attributes, dates and other information shown on the face of the Receipt are as given by the owner or authorized agent. Any valuations shown are not to be considered appraisals by the Center. The fact that the items have been in VVAC custody shall not be misused to indicate Center endorsement.

The Center receipt form shall constitute a release and waiver of the Center, its employees, officers and agents from any liability in connection with the deposited property whole on deposit or in transit. Unless agreed to in writing by the Center, no insurance will be carried on the item(s).

Objects and/or specimens may be photographed, photocopied, and examined by the Center for its own purposes, which include education, documentation and publicity, but will not treat or otherwise alter items without written permission of the owner or authorized agent.

Objects and/or specimens must be claimed by the owner or authorized agent on or before the removal date noted on the face of the receipt form. Should a change of address occur, the owner or agent must

notify the Center in writing prior to the removal date. Should a change of ownership occur, the new owner must provide proof of legal title satisfactory to the Center before the item(s) will be released.

Objects and/or specimens returned to the owner or agent by mail or other carrier shall be sent with insurance by such means as the Center shall determine with a return receipt request. Upon receipt of the item(s), failure to notify the Center of damage or loss within 30 days shall release the Center from any further liability.

The Center may, after the specified removal date noted on the face of the receipt, request the owner or agent to remove the item(s). If the owner fails to remove the item(s) within 60 days of the date of the mailing of such request to the address on the face of this receipt, the Center has the right to place said item(s) in storage or return the item(s), both options at the owner's risk and expense. If, after 3 years from the removal date noted on the face of the Receipt, the Center has not been able to return the item(s), the, and in consideration for its storage and safekeeping during such period, the item(s) may be considered an unrestricted donation to the Center or disposed of at the Center's discretion.

In the event the item(s) are being offered for sale or donation to the Center, the owner warrants that the owner hold full and clear title and copyright to said item(s), and will, if required, show proof acceptable to the Center.

6.9 Integrated Pest Management Program

The Verde Valley Archaeology Center practices an Integrated Pest Management (IPM) program which includes written policy and procedures, training and information sharing, monitoring of the building for the occurrence of pests, and determining their threshold levels. Training events may include Insect Awareness Events, intended to be a way of engaging staff and getting them involved in pest management; individual orientation for new volunteers and staff; and periodic refresher sessions during staff meetings and through posted notices. Public education is undertaken through articles and posts on the Center website or other social media.

A component of the Center's pest management policy consists of the restriction of food consumption and food storage to the kitchen and meeting room, with exceptions. In the kitchen, food must be kept in closed containers. All staff and volunteers are responsible for the cleanliness of the kitchen, including washing dirty dishes and utensils at the end of each day. No food or drink is permitted in Permanent Collections Storage, Temporary Collections Storage, or Library.

Scheduled pest management inspections of sticky traps occur bi-weekly in the exhibit galleries and collections rooms, and quarterly in other storage areas on-site. Sticky traps are located in areas of most concern, and recorded on a map. They are replaced if the traps are old, full, dusty, or damaged. Any reptile or large insect in a glue trap will require trap replacement. If still alive, reptiles can sometimes be rescued from the trap, using mineral or cooking oil.

Results are recorded on monitoring forms. All means of insect or pest control are recorded for future reference on a Pest Management Material Use form. Maps of the locations of traps are updated as necessary.

If there is a pest problem, the Center's approach is based on the most effective, nontoxic methods of pest management, using such materials as diatomaceous earth and boric acid powder, and techniques such as freezing or solarization of infested materials. In general, prevention is preferred, by

inspecting materials before they enter the building, blocking routes used by pests with door strips and caulk, and frequent cleaning. All incoming collections materials susceptible to infestation, such as baskets, textiles, and wooden objects, are frozen prior to storage.

6.10 Pest Management Housekeeping

Much of the success of the IPM program can be attributed to the cleanliness of the facility. Every day, the staff and volunteers will clean spills and remove squashed or dead insects as they occur. Lab glassware is washed as necessary, by the person who used it, with Liquinox.

On a weekly basis, trash and recycle bins from offices and lab are emptied into the larger containers in the loading dock. Every other week, the area is generally cleaned, dusting furniture, books, and baseboards using Dust Bunnies, untreated dust cloths, and clean cotton rags. Boxes are moved to check for insects. Floors are swept, and carpeting vacuumed. Collections area should use a HEPA filtered machine that is only used for those area.

Each quarter (January, April, July, October), a major cleaning is undertaken. This includes the above activities plus mopping floors, vacuuming upholstery, and cleaning inside light diffusers. Office furniture is wet cleaned when necessary, using Simple Green.

Collections storage is dusted at least once a year, including the tops of all boxes and cabinets. As needed, as infrequently as possible, the floor is mopped using a very dilute solution of Liquinox, and a fresh mop.

6.11 Exhibit Case Inspection and Cleaning

A professional installation is a clean installation. Exhibit inspection is also part of the Center's IPM program. Long term exhibits are inspected on a regular basis, according to a set schedule. Cases are opened and objects are inspected. Look for powdery residue or flaking surfaces on ceramic vessels. Inspect even stone objects, to make sure that nothing is living underneath them. Organic materials such as food items, cotton or wool samples, textiles, and baskets must be especially closely examined. Look through the materials for evidence of insects, including insect body parts, frass, partially eaten items, and so forth. Remember that *dermestid frass* can look more like talcum powder than anything else. Be sure to look underneath organic objects on display for any light powdery residue, using extreme care; if an object has been damaged by insect activity, it is much more susceptible to mechanical damage while being handled.

Borrowed objects and exhibits containing them are inspected on a monthly basis. Records of the inspections are kept in the Temporary Deposit file for the exhibit loan(s).

6.12 Humidity Controls

The Center will monitor relative humidity (RH) and implement improvements to stabilize the environment. There are many ways to limit fluctuations, not all dependent on having an expensive mechanical system. For example, good control is achievable simply by using well-designed and well-constructed storage and exhibit cases.

Ideally, fluctuations should not exceed $\pm 5\%$ from a set point, each month. The Center will decide on a set point based on an evaluation of our particular regional environment. The Center will consult a professional curator, a conservator or other expert in Center environments. The maximum and

minimum levels will be determined by assessing the nature and condition of the materials in the collection and the space where they are housed.

In the interim, since the Center is located in the arid southwest the Center will use 35% as the set point as objects have equilibrated at much lower RH levels in such environments. The Center will not allow the RH to go as high as 65% because of the chance that mold might develop. Below 30%, some objects may become stiff and brittle.

Over a year the Center will allow the RH to *drift*. Drift means that the set point varies in different seasons—usually higher RH in the summer and lower RH in the winter. Allowing drift will often save money over the long-term as mechanical systems work less to maintain the proper environment. It is important that the variations in RH shown below should be slow and gradual variations (over weeks and months), not brief and variable.

Relative Humidity Optimum Ranges for Various Materials Housed in the Center’s Center Collection	
Archeological Materials	
Negligible Climate-Sensitive Materials	30% – 65%
Climate Sensitive Materials	30% - 55%
Significantly Climate Sensitive Materials	30% - 40%
Metals	<35%
Natural History Materials	
Biological specimens	40% - 60%
Bone and teeth	45% - 60%
Paleontological specimens	45% - 55%
Pyrite specimens	<30%
Photographs/Film/Negatives	30% - 40%
Other organics (wood, leather, textiles, ivory)	45% - 60%
Metals	<35%
Ceramics, glass, stone	40% - 60%

6.13 Maintain building envelope

The Center will examine the structure and/or Center space for possible sources of moisture. Sources of moisture will be eliminated by repairing the structure or correcting drainage problems. Problems that may cause high levels of relative humidity include:

- leaking roof, ceiling, or windows
- gaps in walls, floors, or foundation vapor barrier
- leaking plumbing
- damaged gutters and downspouts
- wet walls and foundations from poor drainage
- open water sources such as sinks or toilets

6.14 Passive methods of control

There are a variety of practices that can be adopted to passively control the temperature and RH. The Center will carefully develop a plan to use passive controls. After adopting the practice, the Center

will continue to monitor to be sure that the action improves that environment as expected. The following methods will be employed:

- a) Avoid turning HVAC equipment on during the day and off at night. This practice causes daily fluctuations in RH levels
- b) Locate sensitive objects away from spotlights, windows, exterior walls, air vents, and entrance doorways. Limit increased temperatures caused by the sun by using existing blinds, curtains, drapes, or exterior shutters.
- c) Store objects in cases, boxes, and folders. Containers are a very effective method of buffering temperature and RH fluctuations. They also limit light damage and protect collections from pests.
- d) To control relative humidity levels for sensitive objects (for example, some metals, textiles, paper, pyritic mineral, and fossil specimens) we may need to create a microenvironment to stabilize and maintain conditions that are different from the general Center environment. The use of a properly sealed storage cabinet or exhibit case with buffering material can provide a proper microclimate for sensitive objects.
- e) Many materials in a Center environment absorb water and give off water. This slows changes in RH and *buffers* the environment around the object. Damage can be limited by slowing down RH changes. Natural organic materials (wood, textiles, cotton, and paper) are especially good at buffering. You can use this property to help limit changes in an environment.

6.15 Active methods of control

A properly designed heating, ventilation and air conditioning (HVAC) system can maintain appropriate levels of relative humidity and temperature and filter particulate gases from the air.

6.16 Lighting

Light is another agent of deterioration that can cause damage to Center objects. Light causes fading, darkening, yellowing, embrittlement, stiffening, and a host of other chemical and physical changes. There are two options to limit damage from light: reduce the amount of light; or, reduce the exposure time.

If lighting is too close to or focused on an object, infrared (IR) wavelengths can raise the temperature. It may also lower the water content of porous materials. Heat buildup comes from: Sunlight, incandescent spotlights, fluorescent ballasts and lights in closed cases.

Exhibits can be protected from damage caused by lighting by keeping the artificial light levels low. The human eye can adapt to a wide variety of lighting levels, so a low light level should pose no visibility problems.

Basic standards (Source: *The Center Environment* (2d ed.), "Light," Part I by Garry Thomson) for exhibit light levels are:

50 lux maximum for especially light-sensitive materials including:

- dyed organic materials
- textiles
- photographs and blueprints
- tapestries

- manuscripts
- leather
- biological specimens
- fur
- feathers

200 lux maximum for less light-sensitive objects including:

- undyed organic materials

300 lux for other materials that are not light-sensitive including:

- metals
- stone
- ceramics
- some glass

6.17 Dust and Gaseous Air Pollution

Air pollution comes from contaminants produced outside and inside the Center. Common pollutants include: dirt, which includes sharp silica crystals; grease, ash, and soot from industrial smoke; sulfur dioxide, hydrogen sulfide, and nitrogen dioxide from industrial pollution; formaldehyde, and formic and acetic acid from a wide variety of construction materials; ozone from photocopy machines and printers; and a wide variety of other materials that can damage Center collections.

Air pollutants are divided into two types:

- ***particulate pollutants*** (for example, dirt, dust, soot, ash, molds, and fibers)
- ***gaseous pollutants*** (for example, sulphur dioxide, hydrogen sulphide, nitrogen dioxide, formaldehyde, ozone, formic and acetic acids)

There is no minimum acceptable level of pollution. The following procedures will be followed to reduce levels of air pollution:

- a) In storage spaces, keep floors, tops of cabinets, and work surfaces clean to minimize dust accumulation. Work with custodial staff to keep areas clean. Use high efficiency particulate air (HEPA) vacuums which catch more particulates.
- b) Separate office and curatorial work spaces from Center collections storage spaces. Areas that are not accessed often will stay cleaner than high traffic areas.

Section 7: Education and Interpretation

7.1 General Philosophy

The Verde Valley Archaeology Center holds in public trust a collection of artifacts and archival holdings that are recognized as being of cultural significance in the Verde Valley region.

The Center will exhibit and interpret the collection in an effective and safe manner, for the instruction and enjoyment of the general public.

Interpretation and education programming is a vital element of a community museum. Through its programs, the Center is able to reach audiences of all ages, interests and capabilities, and serve as an educational and recreational source to the community. In recognition of the importance VVAC places on its duty to educate, the Board will ensure that the Center has the necessary funding to plan and implement interpretation and education programs.

The conservation and curatorial care of the collection is of prime importance, and therefore, is the primary concern when developing interpretative and educational programs. The Center recognizes the collection is a primary reason for existing. As such, only artifacts the Director of Archaeology deems “for educational use” shall be handled or taken off-site for or during education programs.

7.2 Aims & Objectives

The aim of this policy is to define the scope and philosophies of the interpretation and education programs offered to the public by the Center. These programs will be defined under the sub-headings of Public Programs, Special Events & Exhibits, School Programs and Special Interest Groups.

7.3 Public Programs

By the provision of its exhibits and displays, the Center provides a public program that can be enjoyed by the community and its visitors.

The regular public program of the Center is subject to evaluation on a regular basis. This evaluation ideally includes individuals without association to the Center or with the community to allow for an objective and unbiased perspective.

The Center recognizes that the development of a public program takes place not only within the facility, but can be provided as an outreach experience as well. As a community-supported organization, it is the Center’s focus not only to bring the people to the Center, but the Center to the people. As such, where resources permit, the Center will participate in community events.

Interpretive tours will be provided to the general public by appointment as resources allow.

The public exhibit program will be subject to change, both gradual and substantial. A continual program of improvement, refurbishing and change is necessary. Change can solicit repeat visitation, and demonstrate to visitors that exhibitions are progressive, updated and revisited on a continuous basis.

Periodic evaluations of how visitors interact with particular exhibits can assist in any refurbishment, and provide ideas for further development.

7.4 School Programs

The Center will provide a broad slate of education and interpretive programs relevant to current curriculum within the State of Arizona.

Programs will generally be researched, developed and promoted for on-site visits as well as for outreach. The slate of programs will primarily focus on students Grades 4 and 5. It is the Center's goal to broaden our scope of education programming as resources permit.

The Center recognizes the need to be flexible in its programming to meet special needs within a school group.

School programs may be offered in subject areas other than those identified within the curriculum or if they relate to a special event, seasonal celebration, cultural celebration, temporary exhibit or in response to requests from members of the education community. These programs will only be developed if they are practicable in terms of budget, staff time for research, implementation and offsetting revenue generation potential.

7.5 Special Events & Exhibits

The Center recognizes that special events are an important part of the annual public profile in the organization. Special events meet specific needs of the Center and its visitors by:

- Providing an opportunity to focus on a specific aspect of regional significance that may not otherwise be featured through the regular programs or exhibits;
- Providing a broader perspective of heritage;
- Encouraging repeat visitations;
- Showcasing the site and its potential;
- Maintaining a spectrum of activities;
- Reaching a broader audience; and
- Remaining a vital part of the cultural community Camp Verde and the Verde Valley region.

The annual slate of Special Events/Exhibits is subject to annual evaluation. Evaluation is based on number of years held, financial reports, attendance and anticipated viability in future years.

7.6 Special Interest Groups

The Verde Valley Archaeology Center and Center will provide public programs to other groups outside the education community. These include, but are not limited to Clubs, Guides, Scouts, Pre-school or Nursery School Groups, Day Camps, Coach Tours, Seniors Groups, etc.

Section 8: Facilities and Risk Management

It is intended that the Center's building and grounds provide a safe and functional environment for visitors, staff, the collection and associated activities. The VVAC will maintain a disaster plan to address the security issues for staff and the collection in regards to the following:

8.1 Types of Disasters and Occurrences

- a) Natural disasters and occurrences including flood, storm, earthquake, tornado, fire, etc.
- b) Industrial and technological disasters and occurrences including: spills of hazardous materials, blackouts, equipment failure, etc.
- c) Human disaster and occurrences including: poor maintenance, vandalism, theft, accidents, human error.

8.2 Major Disasters

- a) Flood/Water Damage
- b) Wind Damage
- c) Fire
- d) Pest/Insect Damage (see Chapter 7.9 Integrated Pest Management program)
- e) Utilities Malfunction
- f) Theft/Vandalism
- g) Mold

8.3 Areas at Risk

- a) Storage
- b) Construction
- c) Security
- d) Environmental Conditions and Controls
- e) Lighting
- f) Exits
- g) Maintenance

8.4 Areas of Concern

For the VVAC, the main concerns are theft, vandalism and fire. Access to the telephone system and 911 are the only recourse in case of attack, vandalism or theft at this time. Summers in the area tend to be dry and hot, increasing the chances of fire at the Center site.

8.5 Steps to Minimize the Level of Personal Risks

The VVAC strives to minimize the level of personal risk within the Center building and its grounds. The Center is able to achieve this through:

- To continue to meet current requirements of the Camp Verde building and fire codes and other codes relating to electrical and mechanical services for buildings;
- To meet related Center Standards associated with the above general code requirements;
- To maintain the building security system to Center Standards;

8.6 Procedures in Response to Threat, Emergencies and Disasters

The disaster plan has been developed to implement procedures in response to threat, emergencies and disaster. More specifically the plan lays out procedures in response to:

- a) Acts of Violence
- b) Bomb threats
- c) Discovery of a suspicious device
- d) Evacuation instruction

- e) Explosion
- f) Fire
- g) Medical Emergencies
- h) Mold
- i) Pest infestation
- j) Power failure
- k) Storms: severe wind and rain, snow and ice, thunder and lightning
- l) Theft/vandalism
- m) Water: flood, leaks, broken pipes, sewer backup, etc.

8.7 Training

All staff & volunteers will receive Fire Prevention Training as part of the basic orientation to the Center. Training will include but is not limited to:

- a) Location of exits
- b) Location and operation of fire extinguishers
- c) Fire drill procedure
- d) Maintenance procedures
- e) Good house-keeping/preventative measures
- f) Role & responsibility of staff & volunteers

The Executive Director shall review training procedures periodically to ensure an adequate proficiency of handling emergency procedures by staff and volunteers.

8.8 Security system

The Center maintains and operates a controlled entry and external security system that meets Center and insurance standards.

8.9 Maintenance

The Center will:

- Maintain proper records of the building condition, including final drawings specifications, change orders, etc., from the architect and consulting engineers, final shop drawings for all building components built or assembled off site, and subsequent maintenance activities.
- Maintain a cleaning contract with a local cleaning service and other maintenance agencies to handle the weekly housekeeping and grounds care (snow removal, shoveling and sanding) and ongoing maintenance of the mechanical systems.

Section 9: Collections Stewardship

The Center is responsible for preservation of artifacts in its collection. It will strive to provide the best possible physical environment, preventive maintenance programs and conservation services to meet this responsibility.

9.1 Preventative Conservation

- a) The Center will support preventative conservation and only use conservation treatments when appropriate.
- b) The Center will strive to achieve optimum environmental standards for the preservation of the collection in all physical areas where artifacts are located. Control standards for temperature, relative humidity, lighting and air cleanliness will be established in consultation with qualified experts. The Center will provide the facilities and equipment to achieve and maintain and monitor these standards, and will delegate responsibility for regulation and maintenance of these standards and systems to a qualified staff member.
- c) The Center will establish procedures and provide support for protection of the collection from damage or loss through fire, flood, water damage, theft, vandalism, or accident and damage from insect pests and vermin, including a periodic risk assessment and mediation (if necessary).
- d) The Center will develop standards and procedures and will designate appropriate responsibility for handling, storage, exhibition, packing and transport of its artifacts in order to preserve the collections.
- e) The Center will provide in-house training for all staff, both paid and unpaid, in the handling and preventative care of artifacts. Where further training is necessary, the Center will provide (financial or other) support for staff participation in outside training programs. Only staff with appropriate training will be permitted to handle artifacts.
- f) The Center will strive to provide a sufficient size of staff to implement preventive care of collections.

9.2 Collection Access and Protection

- a) The doors leading to artifact and archive storage shall be locked securely at all times other than when staff is in each area to supervise that area. No one other than staff or designate, in company of staff, shall be allowed access, with the exception of emergency procedures. At no time will researchers be allowed to search original material unaccompanied by appropriate staff.
- b) Access to the collections storage area shall be strictly controlled by key allocation. These keys cannot be copied or reproduced except with Executive Director or Board approval with its originating locksmith company.
- c) A master key list shall be maintained by the Executive Director and no one but the Executive Director shall have access to this list to maintain security to collections areas.
- d) A fire and safety inspection by authorized Fire Department personnel shall be done on a periodic basis, with a maximum period between checks of one (1) year.
- e) The staff shall undertake regular checks of the security alarm system to ensure that it is functioning.

- f) The Center will establish procedures for care of artifacts in the event of physical emergencies such as fire, flood, accident etc., pre-designate an emergency work area and ensure that all staff is thoroughly familiar with these procedures.
- g) The Center will undertake periodic risk assessment and mediation (if required) to address water damage, theft, vandalism, and artifact access.
- h) Cleaning of storage and/or work areas, and of display cabinet interiors, may be undertaken by custodians only under the supervision of trained staff.

9.3 Insurance

The Board will review insurance policies on a regular basis, to ensure provisions for support and protection of the collection are in place and are sufficient to protect the collection.

9.4 Storage Areas

- a) The Center will provide storage areas and artifact workrooms sufficient to accommodate the size and material composition of the collections.
- b) No work on individual artifact or group of similar artifacts shall be engaged until full assurance that this work may proceed from start to completion without moving materials in interim is ensured.
- c) The Center will provide storage space for the collection which will be orderly, clean, and environmentally controlled and will allow adequate physical access to the artifacts. Access will be restricted to properly trained staff or properly trained designate. The storage area will be used only for the storage of Center artifacts.
- d) No artifact shall be stored immediately adjacent to forced air heating supply or return vents or directly under lights.

9.5 Conservation Treatments

- a) The Center will use condition reports as the primary tools for making conservation and conservation treatment decisions.
- b) When considering conservation treatments, the condition of the object and the cost of the treatment will be weighed against the value of having the object preserved for future exhibition and interpretive use.
- c) The Center will consult with qualified experts in the field of conservation before taking any course of action which may affect the physical state of the artifacts.
- d) The Director of Archaeology shall responsible for determining conservation priorities and nature and extent of conservation treatments to be carried out.
- e) The Center will ensure that cleaning, repair or restoration of any artifact is carried out only by qualified personnel, and in such a manner as to maintain the integrity of that artifact.

Section 10: Records Retention Policy and Schedule

10.1 Introduction

Records management is an important responsibility of every institution, including the Verde Valley Archaeology Center (VVAC). One of the most important activities conducted as part of a records management program is that of disposition. Disposition includes all the activities done with records no longer needed for active, on-going business, including transfers to storage, and the destruction of temporary records. All disposition actions are directed by instructions included in this records disposition schedule; without such instructions, records cannot be destroyed or transferred.

10.2 Document Destruction

The Executive Director is responsible for the ongoing process of identifying its records, which have met the required retention period, and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by shredding. Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

10.3 Compliance.

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the VVAC and its employees and possible disciplinary action against responsible individuals. The Executive Director and Board President will periodically review these procedures with legal counsel or the organization's certified public accountant to ensure that they are in compliance with new or revised regulations.

10.4 Additional Instructions

- a) This schedule is, unless otherwise noted, not specific to any given media and is presumed to apply to the records described in any format.
- b) Electronic textual records (word processing documents and electronic mail) should be printed out and managed as paper records.
- c) For records that are managed electronically, be sure to maintain metadata (records creator, date, contents of the files, information about their arrangement and what software application and version was used to create and access them) for all records.
- d) Records that are valuable for the management of cultural resources require special care to ensure their preservation for future use. **IT IS VERY IMPORTANT THAT THESE RECORDS BE MAINTAINED AND NOT BE DESTROYED.**
- e) If a user has sufficient reason to keep an e-mail message, the message should be printed in hard copy and kept in the appropriate file or moved to an "archive" computer file folder.
- f) Backup and recovery methods will be tested on a regular basis. The VVAC's records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping the VVAC operating in an emergency will be duplicated and/or backed up and maintained off-site.

NOTES: "Active" means the records are used at least once a month. Policy developed considering IRS Publication 4221-PC "Compliance Guide for 501(c)(3) Public Charities"

10.5 Records Applicable to All

Type of Record	Description	Retention
Correspondence, including emails, relating to policy decisions		Permanent
Correspondence, routine		3 years
Photos, negatives, audio-visual (unlabeled)		3 years
Photos, negatives, audio-visual pertaining to institution (labeled)		Permanent
Publications from other organizations	Newsletters, reports, etc.	1 year or until no longer useful
Minutes, agenda, packets from other institutions		Until no longer useful

10.6 Board of Directors Records

Type of Record	Description	Retention Period
Board, Advisory Council, and committee meetings	Minutes, resolutions, recommendations and agendas	Permanent
Constitution, bylaws, acts of incorporation	Includes revisions	Permanent
Conflict-of-interest disclosure forms		4 years

10.7 Administrative Records

Type of Record	Description	Retention Period
Staff meeting minutes		3 years
Personnel records		Employment plus 3 years
Job announcements		3 years
Time sheets/cards		7 years
Job applications (not hired)		1 year
Membership lists		3 years
Contracts and agreements		7 years after obligations end
Insurance records		Permanent
Accident reports		7 years
Equipment and maintenance records		7 years after disposition
Workers comp claims		7 years
Software licenses and support agreements		7 years after disposition

10.8 Finance Records

Type of Record	Description	Retention Period
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Financial statements (audited)		7 years
Auditor management letters		7 years
Record of assets and liabilities	See below	7 years
Payroll records		4 years
Check register and checks		7 years
Bank deposits and statements		7 years
Chart of accounts		7 years
IRS exemption determination and related correspondence		Permanent
IRS Form 990s		7 years
Arizona Corporate Commission annual reports		Permanent
Museum store inventory / cost of goods sold		4 years

Assets are the property, such as investments, buildings, and furniture that an organization owns and uses in its activities. Liabilities reflect the pecuniary obligations of the organization. A public charity must keep records to verify certain information about its assets and liabilities. Records should show:

- when and how the asset was acquired
- whether any debt was used to acquire the asset
- documents that support mortgages, notes, loans, or other forms of debt
- purchase price
- cost of any improvements
- deductions taken for depreciation, if any
- deductions taken for casualty losses, if any, such as losses resulting from fires or storms
- how the asset was used
- when and how the asset was disposed of
- selling price
- expenses of sale

10.9 External Affairs Records

Type of Record	Description	Retention Period
Patron & visitor records		5 years
Grant proposals (funded)		Permanent
Grant proposals (not funded)		3 years
Grant files		Duration of grant plus 7 years
Donors, lists of		Permanent
Event planning files		3 years
Donations, letters accompanying		3 years
Fundraising letters (generic copy)		Permanent
News releases, newsletters		Permanent
Posters, publicity flyers		Permanent
Program information		3 years
Records of member associations, institutes, societies, clubs, councils and similar organizations.		3 years

10.10 Museum Collections Records

Type of Record	Description	Retention Period
Accession records	Museum records that document the acquisition of museum properties, including accession and catalogue records.	Permanent
Collections control records	Records documenting the protection, security, museum storage conditions, preservation, management and supervised use of museum collections.	Permanent
Deaccession records		Permanent
Loan records		Permanent
Accession records		Permanent
Exhibit files	Label text (not labels), loan information, research,	Permanent

10.11 Library Records

Type of Record	Description	Retention Period
Reference request records		5 years
Accession records		Permanent
Collection records	Research, correspondence, invoices for individual manuscript collections or items	Permanent
Deaccession records		Permanent
Patron registration	Names and addresses of library users	Permanent
Call slips	Record of items pulled for patrons	Permanent

10.12 Archaeology Records

Type of Record	Description	Retention Period
Cultural Resources Studies and Research Files	Archaeological/Ethnographic overview and assessments, archaeological identification evaluation studies, cultural affiliation studies, Museum Scope of Collection statements. Also includes studies such as cultural landscape reports, museum collections management plans, archaeological data recovery studies and ethnohistories.	Permanent
Prehistoric Sites and Structures Management and Preservation Files	Files created in connection with supervision or performance of preservation maintenance and rehabilitation of prehistoric ruins, stabilization, and the preservation of archaeological objects.	Permanent

Section 11: Human Resource Policies

The aim of this policy is to ensure that the Verde Valley Archaeology Center has a written human resource management policy which addresses the safety, security, well-being and continued motivation of the people working for it.

11.1 Human Resources

The Center will ensure that all staff and volunteers responsible for administering the Center and its collection have the appropriate training and are effectively able to train seasonal staff in all Center activities.

11.2 General

- a) Employment relationships are presumed to be “at-will.” At-will means that an employer can terminate an employee at any time for any reason, except an illegal one. Likewise, an employee is free to leave a job at any time for any or no reason with no adverse legal consequences. At-will also means that an employer can change the terms of the employment relationship with no notice and no consequences.
- b) All employees will perform their duties and exercise their functions to the best of their abilities and will at all times devote their time and efforts to advance the interests of the Center.
- c) All employees are free to engage in any other business or professional activities so long as said activities do not conflict with any part of this policy, recognized ethical behavior for the profession, or employment contracts. The Board recognizes that its reputation is enhanced by employee interest, participation, research, scholarship and community activities in areas of interest to the employer.
- d) All employees will act under the direction and supervision of the Executive Director. Employees will consult with the Executive Director on all matters touching on harmonious operation of the Center. If employees feel that they cannot speak with the Executive Director on a matter, they are advised to speak with the President or Vice-President of the Board.

11.3 Application for Employment

- a) Applicants for administrative, educational, seasonal or contract positions are required to submit a resume to the Executive Director. As potential candidates are identified, interviews shall be arranged with the Executive Director. References shall be requested at the discretion of the Executive Director and verified.
- b) At the discretion of the Executive Director, staff and volunteer applicants may be required to undergo an official criminal records check as part of the hiring and/or volunteer process. The Executive Director reserves the right to request criminal history information based on the expectations of the employment and/or volunteer duties and scope. The outcome of this check will be taken into account when making a hiring and/or volunteer recruitment decision.
- c) To avoid conflict of interest, applicants related to or involved in personal relationships with Center Board members shall not be considered for employment. Persons with private collections that are in conflict with the Center's collections policy shall not be considered for employment.

11.4 Probationary Periods

- a) A probationary period of ninety (90) days shall apply to all full-time permanent staff and occasional contractors. Seasonal, part-time and temporary staff will be given a probationary period of three weeks. During these periods, should the performance of any staff member or contractor be unsatisfactory, employment may be terminated by the Executive Director.
- b) Following the probationary period, termination of employment for staff shall be for just cause only. The services of occasional contractors may be terminated at any time at the discretion of the Executive Director.

11.5 Performance Review

Full-time, temporary and permanent staff shall have job evaluations performed by the Executive Director after initial hiring at three months, and then annually until employment termination, resignation or retirement. The performance of the Executive Director shall be subject to an annual review by the Board (see Section 4.1e).

11.6 Hours Worked

- a) Personnel records, including holidays, sick days and compensatory time off, etc., shall be maintained by the Treasurer.
- b) The number of hours of work per week for employees shall be defined in each employee job description and/or employment contract. These hours may be arranged flexibly by day or week.
- c) A work week is defined as Sunday, 12:00 am through Saturday, 11:59 pm.

11.7 Paid Time Off (PTO) and Holidays

The purpose of Paid Time Off (PTO) is to provide employees with flexible paid time off from work that can be used for such needs as vacation, holidays, sick days, school, volunteerism, and other activities of the employee's choice.

The PTO days you accrue are in lieu of vacation, personal, and holidays under prior policies. (This PTO plan was structured to begin with the equivalent of 10 vacation days, 2 personal days and 8 holidays.)

- a) Staff will be paid bi-weekly by check or direct deposit. All necessary deductions and contributions shall be made as required by law.
- b) Paid Time Off (PTO) is an earned benefit. The amount of PTO earned is based on years of service:
 - a. 0-3 years: .0769 hours per hour or the equivalent of up to 20 days per year.
 - b. 3-6 years: .0962 hours per hour or the equivalent of up to 25 days per year.
 - c. 6+ years: .1154 hours per hour or the equivalent of up to 30 days per year.
- c) PTO is accrued on hours worked, PTO time and sick time, up to a maximum of 40 hours per week.
- d) Part-time and full-time employees eligible to earn PTO must be scheduled a minimum of 20 hours per week. Temporary employees, contract employees, and interns are not eligible to accrue PTO.
- e) Employees may carryover up to 80 hours of PTO into the next calendar year. Employees are responsible for monitoring and taking their PTO over the course of a year so that they do not lose time accrued when the current fiscal year ends.

- f) Written requests for PTO must be presented to and approved by the Executive Director. A record of the employee's balance of PTO and sick time appear on the employee's pay stub.
- g) PTO and holidays:
 - i. Employees scheduled to work on a holiday don't use PTO;
 - ii. Employees choosing to take another day off because they worked the holiday must use PTO for that day. (The PTO day can be taken at any time: it is not necessary to take it during the week in which the holiday falls.)
 - iii. If the holiday falls on a day when the Center is closed or the employee is not scheduled to work, the PTO day not used for the holiday can be used at the employee's discretion.
- h) "Comp time" is not permitted.
- i) Employees may not take PTO prior to accrual.
- j) Employees may not take unpaid time off until they have exhausted all of their PTO. If an employee has unused PTO that has been prescheduled, the employee must release the prescheduled PTO to account for any unscheduled time off. If an employee does not have PTO, any unscheduled absence will be unpaid.
- k) PTO hours accumulated up to an employee's date of termination will be paid in a lump sum with the final pay check.

11.8 Bereavement Leave

- a) When a death occurs in an employee's immediate family, all regular employees scheduled a minimum of 20 hours per week can take up to three (3) days off with pay to attend the funeral or make funeral arrangements. The pay for time off will be prorated for a part-time employee. Immediate family members are defined in 11.7.1 above.
- b) The VVAC understands the deep impact that death can have on an individual or a family, therefore additional non-paid time off or PTO days may be granted by his or her manager.

11.9 Travel and Expense Claims

- a) If an employee uses his/her car on Center related business, he/she shall be compensated in the amount according to the Center's Travel Policy. A travel expense claim form shall be submitted to the Executive Director for approval.
- b) Expenses accrued by an employee on Center business or expenses accrued through purchasing supplies, equipment or training for Center purposes, shall be reimbursed to the employee within ten (10) business days or two (2) weeks from the date the employee submits his/her receipts. Receipts must be submitted for repayment.

11.10 AZ Sick Time and Leave

- a) In accordance with Arizona law, effective as of July 1, 2017, all employees accrue earned paid sick time ("PST") at the rate of 1 hour for every 30 hours worked.
- b) Accrual begins on the date of hire.
- c) Employees are able to accrue up to a maximum of 40 hours of PST per calendar year.
- d) Employees may carry over a maximum of 40 hours per calendar year. However, employees are limited to using no more than 40 hours per year.

- e) Unused PST will not be compensated at the time of separation.
- f) PST is paid at the employee's regular rate of pay and may be used in minimum increments of 1 hour. PST does not count towards the calculation of overtime.
- g) Employees who are rehired within nine (9) months of separation will have their prior bank of unused PST reinstated.
- h) VVAC will maintain records of hours worked, wages paid, and PST paid for four (4) years.
- i) VVAC prohibits any discrimination or retaliation against an employee for lawful exercise of PST rights. Employees will not be disciplined for the lawful use of PST, but once PST has been exhausted, the normal rules for unexcused absences will apply.
- j) Employees may use AZ sick time only for the following purposes: time off for yourself or for your care of a family member for preventative medical care; having a mental or physical illness, injury, or health condition; or for obtaining diagnosis, care, or treatment for the same. If you or your family member is the victim of domestic violence, sexual violence, abuse, or stalking, PST may be used to obtain medical attention, services, counseling, relocation, legal services, or to participate in a civil or criminal proceeding.
- k) AZ sick time may be used when your child's school or child care provider is closed due to a public health emergency, or to care for yourself or for a family member if it is determined by health authorities or a health care provider that presence in the community may jeopardize the health of others due to exposure to a communicable disease.
- l) Family members include your spouse or registered domestic partner, children (regardless of age), parents, grandparents, grandchildren, and siblings. Family members include those family relations resulting from adoption, foster care, step-relationships, legal guardianships, domestic partnerships, through marriage, and loco parentis status. Family members also include any other individual related by blood or affinity whose close association with you is the equivalent of a family relationship. Alternative wording: Family member is defined broadly to include any member of your immediate family, or any other individual related by blood or affinity whose close association with you is the equivalent of a family relationship.
- m) Extended sick leave (four days or more) must be supported by a doctor's certificate.
- n) The Board may grant an employee a leave of absence from work for certain justifiable reasons other than sick leave or vacations. The term 'leave of absence' indicates an approved absence from work for a period of time in excess of three working days. The following circumstances apply: Maternity leave; family emergency; educational leave; bereavement leave; or personal emergency.
- o) Three data points have to be reported on paychecks or an attachment to paychecks:
 - How much paid sick leave has been accrued.
 - How much has been used.
 - The pay rate provided when leave was used.

11.11 Employee Limitations

Employees and contractors will not make any commitment for an amount in excess of a previously approved budget figure without the prior approval of the Board or Executive Committee. Employees will not hire or schedule any other employee for any commitment or duty unless pre- approved by the Executive Director, Board or Executive Committee.

11.12 Executive Director Duties

- a) The Executive Director shall oversee and supervise all staff, contractors and volunteers (See Section 3: Role of the Executive Director and Executive Limitations).
- b) The Executive Director shall ensure that each staff member, contractor and volunteer has a written job description.

11.13 Health & Safety

The Center will comply with all applicable measures and procedures prescribed by the Occupational Health and Safety Act and its regulations, and other relevant legislation concerning health and safety. Compliance includes:

- a) Establishing and maintaining programs to identify and appropriately control workplace hazards.
- b) Providing tools and equipment that are in good condition and are appropriate for the task.
- c) Providing suitable training and supervision of employees with respect to work place health and safety.

11.14 Anti-discrimination Policy

The Verde Valley Archaeology Center is committed to providing an inclusive and welcoming environment for all members of our community.

Consistent with this principle and applicable laws, the Center does not discriminate in offering access with respect to visitors and/or employees/volunteers on the basis of age, gender, race, color, national origin, religion, creed, disability, political affiliation, veteran's status, marital status or sexual orientation. The Center's nondiscrimination policy ensures that equitable and consistent standards of conduct and performance are applied.

This policy applies to all activities of the Center, including but not limited to employment, selection of volunteers, and selecting vendors or consultants.

11.15 Board and Executive Director Discrimination Responsibilities

- a) The Board and Executive Director are responsible to ensure that employees for whom they are responsible are familiar with the relevant anti-discrimination laws and regulations.
- b) The Board and Executive Director are responsible to exercise their authority to prevent and/or discourage harassment.
- c) All instances of harassment will be thoroughly investigated by the Executive Director and/or Board without delay.
- d) Complaints against the Executive Director should be directed to and investigated by the Board as a whole.
- e) Where a report of harassment is received, confidentiality will be maintained at all times.
- f) Where harassment is known to have occurred, the offender will be subject to discipline by the Executive Director and/or the Board as necessary and/or appropriate.

11.16 Employee and Volunteer Discrimination Responsibilities

- a) Every employee and volunteer has the responsibility to make it known immediately and in a clear manner to the offender that such behavior [harassment] is unwelcome.
- b) Employees and volunteers at all levels are encouraged to report instances of harassment to the Executive Director and/or Board.

- c) Where harassment is suspected or known to have occurred, the Executive Director and/or Board will be directly notified as soon as possible by any employee or volunteer who has such knowledge.

11.17 Harassment – Explanatory Notes

Any comment or conduct by any employee, volunteer or officer of the organization towards any other employee, volunteer or officer of the organization which is intimidating, annoying, or malicious and relates to race, ancestry, place of origin, color, ethnic origin, citizenship, creed, age, record of offences, marital status, family status, handicap, sexual orientation or sex such as:

- a) Unwelcome remarks, jokes, or insults about a person's background, color, place of birth, ancestry or citizenship;
- b) The displaying of racist, derogatory or otherwise offensive pictures or materials;
- c) Insulting gestures or practical jokes based on racial or ethnic grounds which cause embarrassment;
- d) Refusal to work or converse with an employee, volunteer or officer of the organization for any of the reasons outlined above, or any reason whatsoever.

11.18 Sexual Harassment – Explanatory Notes

- a) Any vexatious comment(s) or conduct that is known, or ought reasonably to be known, to be unwelcome toward any other employee, volunteer or officer of the organization.
- b) Sexual advance or solicitation by a person who is in a position to grant or deny a benefit to another where the advance is known, or ought reasonably to be known, to be unwelcome.
- c) Reprisal or threat or reprisal by a person in a position to grant or deny a benefit to a person who has rejected his or her sexual proposition.
- d) Unnecessary or unwanted physical contact, ranging from touching, patting or pinching to physical assault.
- e) Leering or other suggestive gestures. Unwelcome remarks, jokes, suggestions or insults about a person's physical appearance, attire or sex. Displaying pornographic pictures or otherwise offensive sexually explicit materials. Practical jokes of a sexual nature, which cause awkwardness or embarrassment. Compromising invitations.

11.19 Procedure for Supervisory Staff

- a) Make sure the employees, volunteers and officers of the organization take the issue of harassment seriously.
- b) Distribute and post copies of this practice regarding harassment to all employees, volunteers and officers of the organization.
- c) Ensure that harassment is dealt with in orientation sessions for all new employees, volunteers and officers of the organization.
- d) Ensure that the workplace is free from obvious signs of harassment.
- e) Follow up on complaints by employees, volunteers or officers of the organization about any negative performance appraisals (often it is advisable to question sudden changes in appraisals. Such changes may indicate harassment problems).
- f) Conduct exit interviews with employees, volunteers and officers of the organization who are resigning in order to determine their reasons for leaving.
- g) When in receipt of a complaint, interview all parties involved with the investigation in strict confidence.

- h) Document all meetings regarding an investigation of a complaint thoroughly and submit copies of the investigation and actions taken to the Board and or appropriate legal authorities.

Section 12: Whistleblower Policy and Procedures

The Verde Valley Archaeology Center (VVAC) requires directors, officers and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As employees and representatives of the VVAC, we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

12.1 Reporting Responsibility

This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns internally so that VVAC can address and correct inappropriate conduct and actions. It is the responsibility of all board members, officers, employees and volunteers to report concerns about violations of VVAC's code of ethics or suspected violations of law or regulations that govern VVAC's operations.

12.2 No Retaliation

It is contrary to the values of VVAC for anyone to retaliate against any board member, officer, employee or volunteer who in good faith reports an ethics violation, or a suspected violation of law, such as a complaint of discrimination, or suspected fraud, or suspected violation of any regulation governing the operations of VVAC. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment.

12.3 Reporting Procedure

VVAC has an open door policy and suggests that employees share their questions, concerns, suggestions or complaints with their supervisor. If you are not comfortable speaking with your supervisor or you are not satisfied with your supervisor's response, you are encouraged to speak with [insert here another title, such as Executive Director, or a board member, if the organization is very small and involving the board would be appropriate]. Supervisors and managers are required to report complaints or concerns about suspected ethical and legal violations in writing to the VVAC's Vice-President, who has the responsibility to investigate all reported complaints. Employees with concerns or complaints may also submit their concerns in writing directly to their supervisor or the Executive Director or the VVAC's Compliance Officer [Vice-President].

12.4 Compliance Officer

The VVAC's Compliance Officer (Vice-President) is responsible for ensuring that all complaints about unethical or illegal conduct are investigated and resolved. The Compliance Officer will advise the Executive Director and/or the Board of Directors of all complaints and their resolution and will report at least annually to the Treasurer on compliance activity relating to accounting or alleged financial improprieties.

12.5 Accounting and Auditing Matters

The VVAC's Compliance Officer shall immediately notify the Board of Directors of any concerns or complaint regarding corporate accounting practices, internal controls or auditing and work with the Board until the matter is resolved.

12.6 Acting in Good Faith

Anyone filing a written complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

12.7 Confidentiality

Violations or suspected violations may be submitted on a confidential basis by the complainant. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

12.8 Handling of Reported Violations

The VVAC's Compliance Officer will notify the person who submitted a complaint and acknowledge receipt of the reported violation or suspected violation. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Section 13: Community Relations

The Verde Valley Archaeology Center realizes the importance of its involvement in the community and is committed to performing its role as the steward of the collection while serving the needs of the people of the Town of Camp Verde and surrounding area.

The area is a thriving community with a rich and varied history. The Center ensures that it fills the needs of this community by providing an array of different exhibits, education programs and special events throughout the year that can be presented, making certain that the educational, intellectual and recreational interests are presented.

The Center is accountable to a governing body that is comprised of members from the community. The composition of this Board reflects the diversity of the community it serves and allows for Members of the Board that represent other community groups to bring their talents and knowledge of their associates to the service of the Center and vice versa.

The Center has also established a membership program that allows varying sectors of the community to participate in the Center's decisions, goals and directions that may affect or reflect on them.

13.1 Community Involvement

The Center shall, at all times, attempt to include as many members and factions of the community in Center activities as possible by providing a broad range of events throughout the year. Some of these events include either organizing or participating in:

- Exhibition Openings
- Educational exhibits and programs
- Verde Valley Archaeology Fair
- International Archaeology Film Festival
- Festival of American Indian Arts
- Pecan and Wine Festival
- Fort Verde Days

In addition to providing for a broad range of interest levels and abilities, the Center shall attempt to actively seek out new and wider audiences in the community, including groups that may be disadvantaged in some manner.

13.2 Relations with Others

The Center will seek to its own benefit and the benefit of others, to strengthen its association with other Centers and with Center-related associations, government agencies and appropriate community partnerships through:

- Direct contact with other Centers;
- Membership in, and active support of, Center-oriented associations and societies;
- Continuing awareness of Center-oriented programs and policies of governments, and close liaison with the appropriate government agencies;
- Commitment to the use of the Center's human resources and technical skills to assist and advise other Centers as appropriate and as requested, acknowledging that the Center's ability to help others is governed by its own strength and competence in each area;
- Partnering with groups such as (but not limited to) other tourist attractions, downtown merchants, destination marketing organizations, tourist information, school boards, arts/culture/history groups, special events organizations, non- profits and service groups.

13.3 Access to Information

To fulfill its public service responsibilities, the Center shall ensure that there is equal opportunity for public access, (both physical and intellectual) to information, services, programs and the collection. The Center meets this responsibility through:

- a) Minimal admission fees, including free for children under 18, Native Americans, Veterans.
- b) Outreach programs which allow for parts of the collection to leave the Center to be presented at different demonstrations in the area (such as at local schools). Decisions regarding which artifacts may be used for on-site or off-site educational programs will be made by the Director of Archaeology.
- c) A website which allows for access to the Center's newsletters, upcoming events and exhibitions. The Center is dedicated to keeping the website up-to-date with acquisitions, and announcements of new public programs and special events.

In addition to providing free access to the Center's information, the Center ensures changes or advances to the collection, services and programs are properly promoted and/or advertised in a variety of media. Newspapers, radio stations, and an assortment of tourist brochures are used to reach a broad range of audiences.

The Center's public hours of operation are printed and promoted through use of brochures, posters, the Center website and signage on the Center property and throughout the community.

The Center provides a rental hall space that is available for rental from the community at specified and advertised times.

13.4 Volunteer Program

Volunteers are a key component of the day to day operations of the Center. The building and museum store are managed by dedicated volunteers of the Center.

The Center is run by a small staff with a wide range of duties. Volunteer opportunities and duties are identified by staff and the Board. The Center's Executive Director pairs Center members and members of the community with the various opportunities and duties.

13.5 Recruitment

The VVAC's Volunteer Program seeks to attract a broad representation from the membership, in order to preserve, promote and provide access to the prehistoric and American Indian heritage of the Town of Camp Verde and surrounding area for the benefit of present and future generations. Volunteers will be recruited without regard to gender, handicap, age, race, sexual orientation, or other conditions providing the individual meets the requirements of the volunteer position description.

- a) Volunteers and staff are encouraged to recruit interested potential volunteers and refer them to the Executive Director.
- b) Notices for volunteer opportunities shall be available through VVAC publications and festivals as well as placed throughout the community.
- c) An ongoing effort will be made to promote volunteerism online on the website.

Any person interested in volunteering at the VVAC must fill out a Volunteer Application Form for the VVAC records. This form will state the interests of the volunteer and it shall be used to match their interests with the needs of the VVAC.

13.6 Training

The VVAC believes that volunteer training is essential to maintain the professionalism of the institution and that every volunteer has the right to receive appropriate training. Every effort will be made to provide complete, current and timely training to ensure that the volunteer is qualified to perform his/her assigned tasks.

The Executive Director will provide appropriate assistance to staff in the designing and delivery of the initial and follow-up training sessions.

It is the responsibility of the volunteer to take part in all initial training prior to beginning his/her assigned tasks.

Training is provided in two formats: the "buddy" system and group sessions. The "buddy" system may involve "shadowing" (acting as an observer), or it may involve being partnered with a staff person or trained volunteer to perform a specific task.

Group training sessions are provided in several areas of volunteer work: education programs, docents, cataloguing, and conservation. These sessions provide “hands-on” practical experience and informative support material. Attendance at group training sessions is an essential part of both new and on-going volunteer training.

a) “Buddy” System Training

The Executive Director is responsible for initially scheduling “buddy” system training sessions for all new volunteers once accepted into the volunteer program. The volunteer will then train under the direction of their supervisor which could be staff or another volunteer depending on the area of involvement.

The Executive Director is responsible for monitoring the training sessions with both the new volunteer and their respective supervisor.

Once the volunteer has completed their “buddy” system training to the satisfaction of both the volunteer and his/her supervisor, he/she will then be regularly scheduled by the Volunteer Coordinator.

b) Group Training Sessions

It is mandatory that all new volunteers attend a group training session applicable to his/her area of volunteer work.

It is mandatory that all new volunteer Education Program Assistants attend a group training session, followed by a practice tour with a staff interpreter, prior to being scheduled in on a regular basis.

It is mandatory that all volunteers attend a Fire Safety and Prevention training session annually. If attendance at a training session is not possible, training will be provided by the Executive Director.

All volunteers will have the opportunity for follow-up training at least annually and as deemed appropriate by the Executive Director.

Professional development opportunities outside of the Center will be made available to volunteers dependent on the resources of the Center at the time.

All volunteers receive on-going support, information and supervision from the Executive Director, including a volunteer evaluation that is completed once a year or at the end of his/her participation with the Center.

13.7 Volunteer Recognition

Volunteers are valued assets of the Center and as such shall be recognized both publicly and privately. Words of support and gratitude are encouraged from staff to volunteers as well as acknowledgements in newspapers, newsletters and special events.

Appendix A-1: Committees

General

1. All committee members are appointed by the Board
2. Each committee member must be a member in good standing of the Center.
3. Each committee shall elect its own chair, except in cases where the chair is specified in the composition.
4. The Executive Director and President are ex officio members of all committees.
5. Each committee shall determine the time, place, and duration of meetings and the number thereof.
6. Committee members may serve for a term of three years, renewable one time.
7. Each committee will report their activities to the Board of Directors, at least quarterly.
8. Minutes of all meetings shall regularly be approved by the Committee and made available to the Board for distribution
9. Each committee shall prepare a budget and present it to the Board of Directors at a date to be determined by the Board of Directors.
10. Each committee shall operate within the budget approved by the Board.
11. Each committee shall ensure that its committee members are familiar with and understand its responsibilities.
12. The Board may, from time to time, appoint special Ad Hoc Committees to undertake specific work on behalf of the Board.

(Also see Section 4.16 Committee Structure)

Appendix A-2: Executive Committee

The Executive Committee is a standing committee of the Board of Directors.

Composition

The committee shall be composed of the President, Vice-President, Secretary, Treasurer and one elected member of the Board and the Executive Director. The President serves as chair of the committee. Ad hoc committees created by this committee may include members in good standing.

Committee Responsibilities

The Executive/Governance Committee shall act as a steering committee for the larger board. It is responsible for the health and functioning of the board.

- a) The Executive Committee has Emergency Powers as outlined in Section 4.12 in the VAC Operations and Policy Manual. The Committee may exercise such powers only if a decision is necessary within three weeks and if no Board meeting is planned during that time period.
- b) Reviews disclosures of financial interest and makes a determination if a conflict of interest exists.
- c) Reviews sensitive issues relating to staff, board members, or volunteers.
- d) Assists the board in periodically updating and clarifying the primary areas of focus for the board, shaping the agenda for the year or two based on the strategic plan.
- e) Designs and oversees board orientation.
- f) Designs and implements on ongoing program of board information and education.
- g) Initiates periodic assessment of the board's performance.
- h) Guides development, review and authorization of personnel policies and procedures.
- i) Shall present to the Board an annual evaluation of the performance of the Executive Director.
- j) Takes the lead in succession planning within the Board
- k) Appoints an ad hoc Nominating Committee to identify and recruit new board members comprised of not less than three members in good standing. (See Article IV, Section 2 in Bylaws.)
- l) It will be appointed 90 days prior to the annual meeting and serve for at least one year.
- m) Their report will be forwarded to the Board of Directors at least 60 days prior to the scheduled annual meeting date.
- n) Nominates board members for election as officers (President, VP, Treasurer, Secretary).
- o) Minutes of all meetings shall regularly be approved by the Committee and made available to the Board for distribution.

Appendix A-3a: Finance Committee

The Finance Committee is a standing committee of the Board of Directors.

Composition:

The Board of Directors shall appoint or elect a Finance Committee consisting of at least two and not more than five members, of which two must be Board members. The Finance Committee shall include the President and Executive Director as non-voting members. The Treasurer shall chair the Committee. The Committee shall meet no fewer than four times per year.

Committee Responsibilities

The role of the finance committee is to provide financial oversight for VVAC. This includes budgeting and financial planning, financial reporting, and the creation and monitoring of internal controls and accountability policies.

- a) Establishes a budgeting process, builds a baseline budget, and recommends it to the full Board for approval.
- b) Prepares/updates annual cash flow projections and analysis.
- c) Reviews and oversees the creation of accurate, complete, timely, and meaningful financial statement to be presented to the Board on a regular basis.
- d) Regularly reviews operating expenditures to identify opportunities for reducing costs.
- e) Has responsibility for the oversight of programs for funding, financial management, facilities management, assets, risks, and insurance.
- f) Regularly reviews Center's restricted and Endowment funds to identify appropriate investment opportunities to protect principal and provide growth, and to ensure proper use.
- g) Reviews and makes recommendations on internal financial controls and accounting policies and procedures to ensure that the records and financial operations are in accordance with relevant standards, Federal and State laws and regulations, and Center by-laws.
- h) Evaluates the need for an independent annual audit or an internal audit and makes recommendations to the Board of Directors. The Finance Committee shall appoint an audit committee for the duties described in Appendix A-3b.
 - a. With the Executive Director and Treasurer, is responsible for developing long range financial and capital plans.
 - i) Minutes of all meetings shall regularly be approved by the Committee and made available to the Board for distribution.

Appendix A-3b: Audit Committee

The Audit Committee is an ad hoc committee of the Finance Committee.

Composition:

The Audit Committee is a subgroup of the Finance Committee consisting of at least three members, including the Treasurer. The Treasurer shall chair the Committee. If the Board of Directors determines that an independent annual audit is required, the Audit Committee prepares the material requested of the independent auditor and acts as liaison during the audit.

Responsibilities:

If the Board of Directors determines that an internal audit is sufficient, the Audit Committee will conduct the following reviews for the internal audit report:

- Examine the prior-year balance sheet in QuickBooks to ensure that every balance agrees with the prior year's audited balance sheet. Investigate any discrepancies and remedy them before moving on.
- Examine all account balances to ensure they are reasonable based on knowledge of the business, i.e. Does the revenue reflect what was actually collected? Do bank account and/or loan balances look accurate?
- Reconcile all ending permanent account balances – like assets, liabilities, and net assets – to internal records.
- Examine all bank reconciliations for outstanding transactions which could be erroneous
- Examine accounts receivable (A/R) aging summary for reasonableness
- Examine accounts payable (A/P) aging summary for reasonableness
- Record any year-end accrual adjustments, such as any required for Paid Time Off (PTO)
- Record any year-end reclassification adjustments, such as any required to present current and noncurrent assets and liabilities appropriately.
- Examine significant donor agreements for potential restrictions and ensure those funds are recorded correctly
- Reconcile net assets (with and without donor restriction)
- Examine the general ledger for expenses that should have been capitalized, income that should have been recorded as liabilities, or other unusual transactions
- Examine A/R and A/P as of the balance sheet date and expense/revenue transactions in the three months subsequent to the balance sheet date to ensure transactions were recorded in the appropriate year.
- Identify any income and expense transactions that are not classified to a program or supporting service category and classify them appropriately.

Appendix A-4: Outreach Committee

The Outreach Committee is a standing committee of the Board of Directors.

Composition

The committee shall be composed of at least three members, at least two of whom are Board members. The chair shall be selected by the committee. Sub-committees may be formed as needed and should include at least one Board member. The Executive Director and President are ex-officio members of the committee.

Committee Responsibilities

Fundraising:

- a) Oversees development and implementation of the Fundraising Plan.
- b) Identifies and solicits funds from external sources of support, working with the Development Officer (and/or Director of Development).
- c) Plans and coordinates fundraising events like raffles, galas, or silent auctions to raise money.
- d) The Committee seeks out opportunities for gaining corporate sponsors, philanthropists, large donors, grants and endowments.

Public Relations/Marketing:

- a) Develops strategies dedicated to enhancing community understanding and appreciation of the cultural and historical heritage of Verde Valley and the VVAC.
- b) Oversees the development of all printed publications, such as brochures, flyers, leaflets, whitepapers and the website.
- c) Oversees development and implementation of the Marketing Plan, including identifying potential markets and what products, services and programs will meet the needs of those markets.
- d) Creates marketing campaigns, promotes events, creates advertising and posts on social media platforms. Promotes the organization's services to the community, including generating fees for those services.

Membership:

- a) Recommends strategies for recruiting new members.
- b) Recommend fees for membership and categories of membership.
- c) Determine qualifications of life and honorary members.
- d) Recommend individuals for recognition as life or honorary members.
- e) Recommends strategies to keep their current members active and involved in order to preserve their retention numbers.
 - i. Current members may perform such duties as organizing membership drives or campaigns, setting up direct mail campaigns, docenting, working in the lab, assisting with data entry of collections, etc.
- f) Oversees database of members.
- g) Monthly membership reports will be shared with the Board.

Minutes of all meetings shall regularly be approved by the Committee and made available to the Board for distribution.

Appendix A-5: Program Committee

The Program Committee is a standing committee of the Board of Directors.

Composition

The committee shall be composed of five members, including the Director of Archaeology, three or more additional board and/or members. The Program Committee shall include the Executive Director and President as non-voting members. The committee shall select the chair.

Committee Responsibilities

The Program Committee (and such sub-committees as are necessary) is responsible for developing and implementing the educational and cultural programs of the Center

- a) Develop and recommend to the Board policies and procedures governing the programs and services to be offered to subscribing members and the public.
 - i. Recommend program instructors and suitable activities for recreational programs for children and adults.
 - ii. Design, schedule, teach and promote activities that relate to the culture, art and history of the Verde Valley and surrounding area including, but not limited to: events, festivals and walking tours.
 - iii. Design, schedule, teach and promote curriculum-based education programs for students and educational groups that relate to the culture and history of the VV and surrounding area and promote the Center.
- b) Provide policy guidance and consultation for the Executive Director in setting priorities for programs and services.
- c) Establish policies and guidelines to assist the Executive Director in setting the fees to be charged for programs and services.
- d) Establish policies and guidelines to assist the Executive Director in considering fees for outside presenters and providers of services offered by VVAC.
- e) Establish policies and guidelines with which the Executive Director is authorized to enter collaborative arrangements with other organizations and providers of services.
- f) Ensures:
 - i. Program evaluation process in place to inform and continuously improve programs.
 - ii. Uses evaluation data to educate the community and funders regarding the work and effectiveness of VVAC and its programs.

Minutes of all meetings shall regularly be approved by the Committee and made available to the Board for distribution.

Appendix A-6: Repository Committee

The Repository Committee is a standing committee of the Board of Directors.

Composition

The Committee shall be composed of at least four members, one of whom shall be a board member, the Director of Archaeology, the Executive Director (ex-officio), and members in good standing.

Committee Responsibilities

The Repository Committee is responsible for the following:

- a) Ensure that the Center's Collections Stewardship (Section 6 of the Policy and Procedure Manual) is followed when acquisitions of artifacts are made;
- b) Recommend and implement methods for procuring artifacts by purchase, donation or bequest;
- c) Maintain the Center's collection management database; and
- d) Aid staff with research for exhibitions to ensure that the Center's artifacts are well-represented and displayed.

Minutes of all meetings shall regularly be approved by the Committee and made available to the Board for distribution.

Appendix B: Disclosure Statement

Board Members and essential personnel (e.g., Executive Director) are required to read the Conflict of Interest Policy (Section 5) and to record any active connection (i.e. membership, directorship, officer) with any organization involved in the cultural or heritage field at the first meeting of every fiscal year. In order to be more comprehensive, this statement of disclosure/questionnaire also requires you to provide information with respect to certain parties that are related to you. These persons are termed “affiliated persons” and include the following:

- your spouse, domestic partner, child, mother, father, brother or sister;
- any corporation or organization of which you are a board member, an officer, a partner, participate in management or are employed by, or are, directly or indirectly, a debt holder or the beneficial owner of any class of equity securities; and,
- any trust or other estate in which you have a substantial beneficial interest or as to which you serve as a director or trustee or in a similar capacity.

1. NAME OF EMPLOYEE, BOARD MEMBER OR TRUSTEE: (Please print)

CAPACITY: Board of Directors/Trustees; Committee Member; Staff Position

2. Have you or any of your affiliated persons provided services or property to the Verde Valley Archaeology Center in the past year? Yes No

If yes, please describe the nature of the services or property and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

3. Have you or any of your affiliated persons purchased services or property (excluding museum store items) from the Verde Valley Archaeology Center in the past year? Yes No

If yes, please describe the purchased services or property and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

4. Please indicate whether you or any of your affiliated persons had any direct or indirect interest in any business transaction(s) in the past year to which the Verde Valley Archaeology Center was or is a party? Yes No

If yes, describe the transaction(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

5. Were you or any of your affiliated persons indebted to pay money to the Verde Valley Archaeology Center at any time in the past year (other than travel advances or the like)? Yes No

If yes, please describe the indebtedness and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

6. In the past year, did you or any of your affiliated persons receive, or become entitled to receive, directly or indirectly, any personal benefits from the Verde Valley Archaeology Center or as a result of your relationship with the Verde Valley Archaeology Center, that in the aggregate could be valued in excess of \$1,000, that were not or will not be compensation directly related to your duties to the Verde Valley Archaeology Center? Yes No

If yes, please describe the benefit(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

7. Are you or any of your affiliated persons a party to or have an interest in any pending legal proceedings involving the Verde Valley Archaeology Center? Yes No

If yes, please describe the proceeding(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

8. Are you aware of any other events, transactions, arrangements or other situations that have occurred or may occur in the future that you believe should be examined by the Verde Valley Archaeology's Vice-President in accordance with the terms and intent of the conflict of interest policy? Yes No

If yes, please describe the situation(s) and if an affiliated person is involved, the identity of the affiliated person and your relationship with that person:

I HEREBY CONFIRM that I have read and understand the Verde Valley Archaeology Center's conflict of interest policy and that my responses to the above questions are complete and correct to the best of my information and belief. I agree that if I become aware of any information that might indicate that this disclosure is inaccurate or that I have not complied with this policy, I will notify the Vice-President immediately.

Signature

Date

Appendix C: Travel Reimbursement Request Form

NAME: _____

Purpose and Destination of Trip(s) (e.g. Name of Conference):

-
1. Travel Begin/End Dates/Times: start on _____/_____/_____ to _____/_____/_____
 2. Travel Begin/End Dates/Times: start on _____/_____/_____ to _____/_____/_____
 3. Travel Begin/End Dates/Times: start on _____/_____/_____ to _____/_____/_____
 4. Travel Begin/End Dates/Times: start on _____/_____/_____ to _____/_____/_____

Airfare Amount: (*Attach original ticket receipt*) \$ _____

Hotel Amount: (*Attach receipt*) \$ _____

Per diem days _____ X Per Diem/M&IE rate of \$ _____ (see current guidelines) \$ _____

Mileage total _____ X \$0. _____ per mile (see current guidelines) \$ _____

Other travel expenses: List date and description and provide receipts:

_____ \$ _____

_____ \$ _____

_____ \$ _____

TOTAL REIMBURSEMENT: \$ _____

I certify that the above is a true statement, that the expenses claimed were incurred by me on official Center business, on the dates shown, that I have attached original receipts as required.

Requestor's Signature: _____ Date: _____

VVAC Approval Signature: _____ Date: _____

Treasurer:

Budget Code: _____ Fund: _____ Check No. _____ Date: _____

Appendix D: Employee/Volunteer Reimbursement Request Form

VVAC Employee/Volunteer Reimbursement Request

Please make check payable to:

Name: _____

Address: _____

City/State/ Zip: _____

EXPENSES:

Please submit this form within 30 days of incurred expense.

Date	Explanation of Expense	Account/Purpose Admin use only	Amount
Subtotal			\$
Advance Payment Towards Expenses (if any)			\$
Expenses Less Advance Payment			\$
Total Reimbursement Amount			\$

Please attach original receipts.

Check one to elect a contribution to VVAC as an "In Kind Donation":

I would like to contribute the total amount to VVAC.

I would like to contribute \$_____ to VVAC.

An acknowledgement letter will be sent to you for your donation.

Employee Signature: _____ Date: _____

Approved by: _____ Date: _____

Treasurer

Approved by: _____ Date: _____

Executive Director

Appendix E: Purchasing Requisition Request Form

VVAC PURCHASE REQUISITION FORM

Complete the information and obtain approvals below.

Requisitioned by:	
Date:	_____
Name:	_____
Phone:	_____

Recommended Vendor Info:	
Name:	_____
Address:	_____
Website:	_____

Vendor Item #	Quantity	Description	Unit Price	Total

Special Instructions:

Executive Director Approval: _____

Treasurer Approval: _____

Signature

Date

Signature

Date

Within Budget?

Yes No

Account Number