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<b>Series:</b>	<b>Board Governance</b>	<b>COA: ETH 1.03-1.05, 5.0</b>
		<b>CFOP:</b>
<b>Policy Name:</b>	<b>Ethics</b>	
<b>Policy Number:</b>	<b>GOV001</b>	
<b>Reviewed Date:</b>		
<b>Revision #/Date:</b>		
<b>Effective Date:</b>	August 14, 2014	
<b>Applicable to:</b>	NCFIE Board of Directors and All Staff	

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**SUBJECT: Ethics**

**PURPOSE:** All staff, board members, and volunteers of The National Center for Innovation and Excellence (NCFIE) will act with honesty, integrity, and openness in all their dealings as representatives of the organization. The organization promotes a working environment that values respect, fairness, and integrity. NCFIE has a clearly stated mission and purpose, approved by the board, in pursuit of the public good. All of its programs support that mission and all who work for or on behalf of the organization understand and are loyal to that mission and purpose.

**POLICY:**

The National Center for Innovation and Excellence has an active governing body, the board, which is responsible for setting the mission and strategic direction of the organization and oversight of the finances, operations, and policies of The National Center for Innovation and Excellence. The board:

- Ensures that its members have the requisite skills and experience to carry out their duties and that all members understand and fulfill their governance duties acting for the benefit of NCFIE and its public purpose
- Has a conflict-of-interest policy (GOV002) that ensures that any conflicts of interest or the appearance thereof are avoided or appropriately managed through disclosure, recusal, or other means
- Has a statement of personal commitment that provides attestation to the commitment to NCFIE's goals and values
- Is responsible for the hiring and regular review of the performance of its chief advancement officer (CAO), and ensures that the compensation of the chief executive, the Finance Director or designee appointed by the CEO in the absence of the Finance Director, and other senior management positions as the board deems appropriate is reasonable
- Ensures that the chief advancement officer and appropriate staff provide the board with timely and comprehensive information so that the board can effectively carry out its duties
- Ensures that NCFIE conducts all transactions and dealings with integrity and honesty
- Ensures that NCFIE promotes working relationships with board members, staff, volunteers, and program beneficiaries that are based on mutual respect, fairness, and openness
- Ensures that the organization is fair and inclusive in its hiring and promotion policies and practices for all board, staff, and volunteer positions



- Ensures that policies of NCFIE are in writing, clearly articulated, and officially adopted
- Is responsible for engaging independent auditors -who perform an annual audit of NCFIE's financial statements, and has an audit/finance committee - responsible for overseeing the financial management practices of the CAO, reliability of financial reporting, including the effectiveness of internal control over financial reporting, reviewing, and discussing the annual audited financial statements to determine whether they are complete and consistent with operational and other information known to the committee members, understanding significant risks and exposures and management's response to minimize the risks, and understanding the audit scope and approving audit and non-audit services
- Ensures that the resources of NCFIE are responsibly and prudently managed
- Ensures that NCFIE has the capacity to carry out its programs effectively

#### **IV. Responsible Stewardship**

NCFIE manages its funds responsibly and prudently. This should include the following considerations:

- Spends an adequate amount on administrative expenses to ensure effective accounting systems, internal controls, competent staff, and other expenditures critical to professional management
- Compensates staff, and any others who may receive compensation, reasonably and appropriately
- Knows that solicitation of funds has reasonable fundraising costs, recognizing the variety of factors that affect fundraising costs
- Does not accumulate operating funds excessively
- Ensures that all spending practices and policies are fair, reasonable, and appropriate to fulfill the mission of NCFIE
- Ensures that all financial reports are factually accurate and complete in all material respects

#### **V. Openness and Disclosure**

NCFIE provides comprehensive and timely information to the public, the media, and all stakeholders and is responsive in a timely manner to reasonable requests for information. All information about NCFIE will fully and honestly reflect the policies and practices of the organization. Basic informational data about NCFIE, such as the Form 990, will be posted online or otherwise made available to the public. All solicitation materials accurately represent NCFIE's policies and practices and will reflect the dignity of program beneficiaries. All financial, organizational, and program reports will be complete and accurate in all material respects.

#### **VI. Legal Compliance**

NCFIE is knowledgeable of, and complies with, laws and regulations.



## **VII. Program Evaluation**

NCFIE regularly reviews program effectiveness and has mechanisms to incorporate lessons learned into future programs. The organization is committed to improving program and organizational effectiveness and develops mechanisms to promote learning from its activities and the field. NCFIE is responsive to changes in its field of activity and is responsive to the needs of its constituencies.

## **VIII. Inclusiveness and Diversity**

NCFIE has a policy of promoting inclusiveness and its staff, board, and volunteers reflect diversity in order to enrich its programmatic effectiveness. NCFIE takes meaningful steps to promote inclusiveness in its hiring, retention, promotion, board recruitment, and constituencies served.

## **IX. Fundraising**

NCFIE solicitation of funds from the public or from donor institutions uses material that is truthful about the organization. NCFIE respects the privacy concerns of individual donors and expends funds consistent with donor intent. NCFIE discloses important and relevant information to potential donors.

In raising funds from the public, NCFIE will respect the rights of donors, as follows:

Donors will be informed of the mission of NCFIE, the way the resources will be used, and their capacity to use donations effectively for their intended purpose. Further, they will

- Be informed of the identity of those serving on NCFIE's governing board and to expect the board to exercise prudent judgment in its stewardship responsibilities
- Have access to NCFIE's most recent financial reports
- Be assured their gifts will be used for purposes for which they are given
- Receive appropriate acknowledgment and recognition
- Be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law
- Be approached in a professional manner
- Be informed whether those seeking donations are volunteers, employees of NCFIE, or hired solicitors
- Have the opportunity for their names to be deleted from mailing lists that NCFIE may intend to share
- Be encouraged to ask questions when making a donation and to receive prompt, truthful, and forthright answers.



### Reporting Responsibility

It is the responsibility of all directors, officers, and employees to comply with the code of ethical conduct and to report violations or suspected violations to the compliance officer in accordance with the whistleblower policy. The compliance officer or designee will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days, unless the submission of the violation is anonymous. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Approved by The National Center for Innovation and Excellence Board of directors \_\_\_\_\_ :

As Approved by the Board of Directors:

By Direction of the Chief Executive Officer:

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Ms. Kathleen Rich New  
Board Chair

Signature Date: October 23, 2014

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DR. PATRICIA NELLIUS  
Chief Executive Officer

Signature Date: 10/23/14



## **Statement of Adherence to Values and Personal Commitment**

### **Our Mission**

The National Center for Innovation and Excellence is a dynamic community dedicated to developing youth, changing communities, growing economies, and improving the lives of others by working with organizations, foundations, governments, and communities to design, implement, and test outcomes for large scale youth development strategies and community change initiatives

### **Our Values**

Our system of care is family centered, strength-based and community driven. We believe that all children have the inalienable right to grow up safe, healthy and fulfilled in families that love and nurture them.

### **Our Vision**

It is the vision of The National Center for Innovation and Excellence and its stakeholders to manage a child welfare system committed to the following:

- The safety of children will be the foremost concern, at all times;
- Permanency issues will be resolved in accordance with a child's sense of time;
- Services are customized to meet the unique needs of each child and family and are provided by a comprehensive, community-based network of providers who are dedicated to delivering a family-centered, customized, needs driven, flexible and responsive seamless service delivery system;
- Youth and families are to be welcomed partners in the planning process and treated with respect and dignity at all times.
- Resources will be efficiently and effectively managed to achieve better outcomes for children and families with the ultimate goal being child safety and permanency within a twelve-month timeframe;
- Financial support will be available from diverse federal, state and local sources and flexibly managed at the local level to meet child and family needs in a timely and appropriate manner; and
- The system will be able to collect and use data to accurately forecast what services and supports are needed, at what level of intensity and duration, and at what cost to achieve desired outcomes for each child and family in need.

### **Core Values & Principles**

- **Community Based** – efforts are made to keep children and services as close to home as possible.



- **Individualized** – services, support and responses are designed to meet the unique needs of the family.
- **Inclusive** – parents and families will be included and welcomed partners on every level of planning.
- **Team Based Planning** – all parties both formal and informal are welcome partners on the child and family team.
- **Culturally sensitive** – in keeping with the cultural and traditional norms of the family.
- **Services are Flexible, Non-Categorical** – frequency, duration, day, time and location meet the unique needs of the families.
- **Unconditional** - a willingness to do whatever it takes to foster success.
- **Outcome Oriented** – plans are to outline incremental, measurable and achievable goals the family has agreed to.
- **Integrated** – efficient, effective, to maximize resources, funding streams and prevent duplication.

By Signature Below I Attest to Adherence to the Vision, Mission and Core Values of the The National Center for Innovation and Excellence System of Care:

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date