



Surgical Infection Society Policy Manual

Approved

October 2018

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FINANCE/BUDGET RELATED

Annual Budget

Approved by Council

In preparing the annual operating budget, the Society will strive to meet minimum annual net revenue of that is budget neutral or slightly positive. These net revenues will be budgeted and used as noted below. The proposed budget will be reviewed at the October Council meeting and approved on the January Conference call.

Authorized Signatures

Approved by Council

The Treasurer and Executive Director are each authorized to sign necessary deposit checks. Signing of checks or issuance of official bank checks or other negotiable instruments drawn on the Society's accounts or wire transfers from Society accounts or other types of withdrawals (collectively "financial transactions") shall require a single signature/authorization. Checks payable to the President, Treasurer, Secretary, Executive Director must always be signed by an authorized individual(s) other than the payee.

The Executive Director, or his designee, and Treasurer are both authorized singly to transfer funds between bank accounts of the Society, without limit of amount, to best serve the needs of the Society.

The Executive Director, or his designee, and Treasurer are both authorized singly to sign contracts on behalf of the Society.

General Operating Fund

Approved by Council

Operating funds are expected to be spent in the normal course of business during the current business cycle. Operating funds shall be established to provide for the daily operating of the Society. All Society revenues and disbursements are to be made from these funds and any funds received or disbursed on behalf of other SIS designated funds will be transferred as required. The balance of annual net revenues, after all fund transfers have occurred, will not exceed 24 months of operating expenses. In the case of surplus, the SIS Foundation shall be the recipient of those funds. In the case of an annual net operating loss, this fund will be depleted prior to transferring funds from the Council Designated Funds. Operating Funds are invested in short-term investments, based on the needs of the Fund. Earnings on these funds remain within the funds.

BANKING & INVESTMENT

Approved by Council

Understanding the Council's fiduciary responsibility to protect the assets of the organization while maximizing their return, the following Policy is enacted.

Short-Term Investments

Using modern banking techniques, no cash should be maintained on an overnight basis in non-interest bearing accounts unless said funds generate credits in-kind to offset banking fees. Monies of a short term nature, may be invested in the following vehicles:

- Bank money market accounts
- Certificate deposits
- Checking account (threshold for sweep is \$20,000)

Balances in excess of the Federal Deposit Insurance Corporation limit may be maintained in:

- Financial institutions approved by the SIS Council
- The SIS Foundation investments

INTERNAL AFFAIRS/PLANNING

Registered Agent

Approved by Council

The Society's Executive Director is the SIS Registered Agent; the address of record is that of the SIS executive office.

PO Box 1278
East Northport, NY 11731
631.456.9672

Contracts and Agreements

Approved by Council

To ensure that the SIS Council is thoroughly informed about all of the Society's contractual commitments the Executive Director will perform the following functions:

Review all proposed contractual arrangements, to which the Society may become a party that are more than \$5000 and binds the Society longer than 12 months. Report his/her recommendations to the proper elements of the SIS Leadership. Negotiate any changes in proposed contracts, which may result from discussions with SIS Leaders or corporate legal counsel. Serve as the Society's sole signatory on all approved contracts, agreements and other documents which are intended to bind the Society financially for more than \$5000 or obligate the Society in any legally binding way for more than 12 months. Contracts, agreements and other documents where are intended to bind the Society for less than \$5000 or obligate the Society in any legally binding way for less than 12 months may be signed by a designee of the Executive Director.

Copyrights and Trademarks

Approved by Council

It is the policy of SIS to protect the monies it invests in publishing activities by copyrighting all material submitted for publication purposes (including, but not limited to the SIS Journals, Proceedings, Newsletters, workbooks, monographs, etc.). Whenever possible, SIS should be the sole copyright holder on all published materials. However, the granting of joint copyright and limited and/or unlimited use licenses is permissible provided 1) that the arrangement provides a tangible benefit to SIS and 2) the arrangement is in writing and signed by the Executive Director.

All SIS logos and other related materials are to be protected by registering them as a Trade or Service mark of the Society. Until such time as registration occurs, the official symbol "™" will be used identifying the work as the property of SIS. Once the official registration occurs, the official symbol "®" will replace the "™" symbol. The original Office of Patent and Trademark documentation recording the trade or service mark as owned by SIS will be maintained in the

Society's safety deposit box.

Management & Administration of Business Affairs

Approved by Council

The SIS Council recognizes the value volunteer specialists bring in providing programs, projects, products and services to the SIS membership. To assure the success of these endeavors, the Council provides volunteers with a staff of business specialists who are charged with the production aspects, marketing and administration of these programs, projects, products and services. The volunteer's primary function is to provide programmatic content and ensure its quality. While volunteers may assist professional staff in other ways as requested, the Council places final authority and responsibility for non-content related matters in the hands of its professional staff and emphasizes that the Executive Director will be the final authority in administrative matters and business decisions.

CONFLICT OF INTEREST:

As the Council, volunteers, speakers, and staff of SIS may be subject to potentially compromising ethical situations and potential conflicts of interest, they should not only be impartial and honest but far beyond the reach of suspicion. A close and constructive relationship and effective collaboration between health care professionals and the pharmaceutical, device and medical equipment industries have become essential in research and education for the improved treatment of patients and for further medical progress. Because the greatest potential for conflicts of interest involve relationships with industry and similar organizations, the present guidelines focus primarily on these relationships but other noted potential conflicts are no less important.

A conflict of interest arises whenever a covered individual's activities are in opposition to, detract from or in some manner might become detrimental to the purposes of SIS as described in its Articles of Incorporation, Bylaws, mission statement, or policies and procedures. A conflict of interest may exist whenever a covered individual is in a position to directly or indirectly benefit themselves, a family member(s), other individuals, or another organization with which the individual is affiliated through the use of their role in the Society.

Health care professionals who are not company employees should not publicly endorse a company's product in the advertising media. It is the responsibility of any member of the Council or any committee or other body that makes decisions involving the Society to recognize, identify and disclose actual or potential conflicts of interest involving matters that come before the bodies on which they sit. Such individuals shall disclose all relevant information regarding the conflict to the body and shall remove themselves from all discussion and voting on the matter. The disclosure and abstention shall be recorded in the minutes of the meeting. Without limiting the generality of the foregoing, any applicable requirements of the Bylaws regarding approval of the matter by a disinterested majority shall be followed.

In addition, volunteers shall:

- Avoid placing (and avoid the appearance of placing) one's own self-interest or any third-party interest above that of SIS; while the receipt of incidental personal or third-party benefit may necessarily flow from certain SIS activities, such benefit must be merely incidental to the primary benefit to SIS and its purposes
- Not abuse their position by improperly using their volunteer position or SIS's staff, services, equipment, materials, resources, or property for their personal or third-party gain or pleasure, and shall not represent to third parties that their authority as a volunteer member extends any further than which it actually extends

- Not engage in any outside business, professional or other activities that would directly or indirectly materially adversely affect SIS
- Not engage in or facilitate any discriminatory or harassing behavior directed toward SIS staff, members, officers, directors, meeting attendees, exhibitors, advertisers, sponsors, suppliers, contractors, or others in the context of activities relating to SIS
- Not solicit or accept gifts, gratuities, trips, honoraria, personal property, or any other item of material value from any person or entity as a direct or indirect inducement to provide special treatment to such donor with respect to matters pertaining to SIS without fully disclosing such items to the Executive Office
- Not provide goods or services to SIS except as detailed in the Policy on Member Participation as a Vendor to the Society
- Not persuade or attempt to persuade any employee of SIS to leave the employ of SIS or to become employed by any person or entity other than SIS
- Not persuade or attempt to persuade any member, exhibitor, advertiser, sponsor, subscriber, supplier, contractor, or any other person or entity with an actual or potential relationship to or with SIS to terminate, curtail or not enter into its relationship to or with SIS, or to in any way reduce the monetary or other benefits to SIS of such relationship.

HISTORICAL ARCHIVES

Approved by Council

Beginning in May, 2009, SIS began a formal archiving process. The goal of this archiving process is to provide a centralized collection/depository of historically significant papers, publications, photographs, and artifacts/memorabilia documenting the development of SIS and its historical figures. Prior to this writing no formal policy was in place and no formal archiving program was followed.

The following policy is enacted to ensure that SIS's organizational history is adequately maintained.

SIS Staff is assigned the primary responsibility for maintaining a storage area to contain the archives. The SIS archives will be clearly marked and secured as necessary to provide for their ongoing growth, safety and integrity within reasonable cost limits and as approved in the SIS annual budget.

Volunteers are encouraged to assist in the archiving process by contributing items of significance, identification of items, and cataloging.

To promote the collegiality of the organization and support tenure in the organization, selected items from the archives should be displayed at meetings and conferences of SIS and related organizations. Additionally, occasional articles should be submitted to SIS and related organizations publications discussing the archives and soliciting items needed for the archives (historical, storage related or financial contributions.)

The following items are to be collected in the SIS archives:

- Publications: ideally three copies of all SIS periodical publications such as journals and newsletters.
- Publications: ideally three copies of all SIS or SIS sponsored, endorsed or otherwise associated publications such as CD-Roms, monographs, multi-authored educational texts, proceedings of meetings, workbooks, etc.

- Photographs: one copy of relevant photographs taken of founding members, the SIS Council, other leaders, SIS offices/staff and selected conference photos.
- Significant Papers: originals preferred, copies acceptable; of papers, letters and other documents of historical significance to SIS such as those from founding members, Council declarations, public announcements, major purchases or departures from standard daily operations.
- Artifacts/Memorabilia: such as member pins, gifts signifying organizational milestones, etc.

All of the above items are to be properly labeled and recorded in a central database or log to provide 1) control over items on loan or in transit and 2) a method by which to search for items located in the archives.

RECORDS RETENTION PROGRAM

Approved by Council

Revised Executive Committee

A formal Records Retention Program (sometimes called Documents Control Program) is necessary to ensure that SIS complies with all of the federal, state and local regulations in this area. Additionally, the Society:

- Reduces costs incurred of record storage and management
- Reduces costs incurred of responding to third party subpoenas
- Reduces the cost of litigation
- Reduces the likelihood of liability for Society and members.

Prior to this writing no formal policy was in place and no formal retention program was followed.

Staff is responsible for the administration of the Records Retention Program. Records not required to be kept under this Program must be destroyed. General working files that are not required to be kept under this Program should be destroyed two years after becoming inactive. To ensure the effective administration of this Program, all Society documents below must be maintained at the SIS Executive Office or official SIS storage facility under the direct control of the Executive Director or his administrative appointment.

Records that must be retained for any length of time under this policy must be kept in paper format.

The administrator must conduct an annual audit of the Program and report on its effectiveness each year.

No records in the list below may be destroyed without the Executive Director's approval. The administrator has the right to suspend destruction of records if:

- A formal request to produce documents is received.
- A government inquiry is underway.
- There is a likelihood of government inquiry or litigation.
- Failure to prevent the destruction of documents could result in a criminal obstruction of justice charge or contempt of court proceedings.

Accounting Retention Period

Auditor's reports/work papers Permanent

Bank statements/reconciliation's 3 years

Budgets 3 years

Employee expense reports 3 years
Annual Financial Statements

Corporate Records

Annual Reports Permanent
Articles of Incorporation Permanent
Constitution and Bylaws, including superseded versions Permanent
Minutes (Council and Committees) Permanent
Contracts with a value greater than \$5000 or that bind the Society for longer than 12 months* 10 years

Taxes

Income/Information tax returns and canceled checks (federal, state & local), including Pension Plan returns Permanent

VOLUNTEER EXPENSE REIMBURSEMENT

Often volunteers of SIS are called upon to travel on behalf of the Society. All reasonable expenses for such travel will be reimbursed. SIS does not reimburse travel to the SIS Annual Meeting or other educational activities unless so specified in the conference policy and budget. Reimbursement forms must be accompanied by receipts and returned to the SIS Executive Office for reimbursement within 60 days of the completion of travel. If not received within such timeframe, no reimbursement will be provided. Examples of reasonable expenses include transportation, meals, internet connection, and phone calls to home or office. Examples of unreasonable expenses include movies, gift shop souvenirs, and meals when planned functions are available. Any exceptions to this policy will need prior approval of the Treasurer.

Meals

If the volunteer is inviting others to a meal, the names of those attending and the purpose of the meeting must be noted on the receipt. Whenever possible, these types of expenses should be budgeted prior to the travel and discussed with the staff partner to ensure that funding for such activity is available. Occasionally situations arise where prior approval is not possible and the need to take advantage of such opportunities is recognized. Ultimately, the Treasurer determines what is and is not reasonable.

Air Travel

Reservations: Airline reservations must be made, whenever possible, no later than 21 days in advance. If a ticket is purchased fewer than 21 days prior to travel.

Airfare:

Domestic: Upgradeable coach/economy airfare is paid in full. If a volunteer wishes to travel business class or first class, the difference between coach and business/first class is an expense of the volunteer. Alternatively, volunteers may use their own frequent flier miles to upgrade should they so choose.

International: Business class airfare will be paid for the SIS President on flight segments over six (6) hours of scheduled flight time outside of North America. Business class airfare will be paid for the remaining members of the SIS Executive Committee traveling on official SIS Executive Committee business if charged to the president's travel budget. All other

international travel is provided in coach/economy class.

Ground Transportation

Reasonable transportation to and from the airports will be reimbursed and parking fees will be reimbursed up to a reasonable amount. Auto expense will be paid by SIS at the current IRS determined rate per mile in lieu of air or other public transportation. Mileage must include a description on how it was calculated or attach the printout from the website using a map website (i.e. MapQuest) when claiming miles.

COUNCIL MEETING ABSENCES POLICY

Approved by Council

The Bylaws of SIS state, “Council members who fail to attend two (2) consecutive regularly scheduled Council meetings, without an approved excuse, shall be removed unless reinstated by two-thirds (2/3) vote of the Council.” It is expected that Council members will make attending regularly-scheduled meetings of the SIS Council a top priority.

However, at such times when a conflict is unavoidable, a Council member may request that the current absence be excused by the president at his/her discretion, bearing in mind the expectations and responsibilities that come with serving as an elected member of the SIS governing body. In the event of a more complicated circumstance, the president may seek input of the Executive Committee.