



The Associated Boards
of Certification

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WATER PROFESSIONALS INTERNATIONAL POLICIES AND PROCEDURES MANUAL

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INTRODUCTION – GOVERNANCE

Effective governance is the foundation upon which Water Professionals International (“WPI”) operates, ensuring that we remain true to our mission, uphold our values, and achieve our goals with integrity and transparency. The governance framework outlined in this section is designed to provide clear guidance on the roles, responsibilities, and processes that define the leadership and oversight of our organization.

We are committed to maintaining a high standard of accountability and ethical conduct in all aspects of our work. This includes fostering an inclusive and diverse leadership team, promoting active engagement and participation from our stakeholders, and adhering to best practices in nonprofit governance.

By adhering to the procedures discussed in this section, we strive to build a resilient, effective, and trustworthy organization that consistently works towards making a positive impact in our community.

BOARD OF DIRECTORS

Article I: Duties of the Board of Directors

Section 1. Summary of Board of Directors Position

The Board of Directors is charged with the general supervision and strategic direction of the Association.

Section 2. Key Duties and Responsibilities of the Board of Directors

Members of the Board of Directors:

- Possess knowledge of the policies and procedures of the Association, including but not limited to the *Articles of Incorporation*, current *Bylaws* and *Policies and Procedures Manual*, and *Robert's Rules of Order Newly Revised*.
- Represent the Association in a professional manner both internally and externally.
- Support approved position statements on issues affecting the Association.
- Approve, abolish, or amend rules, policies, and procedures governing operations and activities of any parts or divisions within the Association within the framework of the *Bylaws*.
- Hire the Chief Executive Officer.
- Provide general financial oversight of the Association; review financial statements; approve the budget to ensure adequate resources are available to accomplish the objectives of the strategic plan.
- Adopt the final audit report.
- Review reports from Board of Directors members, committees, task forces, staff, and other relevant entities promptly to be able to make informed decisions upon matters being presented to the Board of Directors.
- Stay abreast of current issues and trends relevant to non-profit organizations or other significant issues that may affect the overall welfare of the Association.
- Promote the Professional Operator program.
- Perform other such duties as may be assigned by the Board of Directors.

Article II: Duties of the WPI Chair

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Section 1. General Duties

The WPI Chair shall provide general supervision over the activities and operations of the Association, subject, to oversight by the Board of Directors.

Section 2. Specific Assignments

The WPI Chair shall:

- Preside over the Board of Directors meetings, and other meetings warranting WPI oversight.
- Provide general oversight over the Chief Executive Officer's annual performance review.
- Prepare a WPI Chair's Report for the Annual Report.
- Present the WPI Chair's Report at the Annual Business Meeting.
- Prepare articles and presentations on behalf or for WPI when requested.
- Serve on the Finance Committee, as an ex-officio member of all Board of Directors committees (with the exception of the Nominating Committee), and as an ex-officio non-voting member of the Certification Commission for Environmental Professionals.

Article III: Duties of the WPI Chair-Elect

Section 1. General Duties

The WPI Chair-Elect shall assist the WPI Chair in the performance of the WPI Chair's duties and shall act in place of the WPI Chair when required.

Section 2. Specific Assignments

The WPI Chair-Elect shall:

- Chair the Conference Committee.
- Serve on the Finance Committee.
- Learn and understand the role and responsibilities of the current Chair.
- Participate in the Chief Executive Officer's annual performance review under the direction of the WPI Chair.

Article IV: Duties of the WPI Vice Chair

Section 1. General Duties

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The WPI Vice Chair shall assist the WPI Chair and the WPI Chair-Elect in the performance of their duties and shall act in any other officer positions when required.

Section 2. Specific Assignments

The WPI Vice Chair shall:

- Chair the Bylaws and Policies & Procedures Committee;
- Observes the Chief Executive Officer's annual performance review at the direction of the WPI Chair;
- Serve on the Finance Committee; and
- Serve on the Membership Committee.

Article V: Duties of the WPI Immediate Past-Chair

Section 1. General Duties

The WPI Immediate Past-Chair shall assist the WPI Chair, the WPI Chair-Elect, and the WPI Vice Chair in the performance of their duties.

Section 2. Specific Assignments

The WPI Immediate Past-Chair shall:

- Chair the Awards Committee.
- Participate in the Chief Executive Officer's annual performance review at the direction of the WPI Chair.
- Chair the Nominating Committee.
- Serve on the Bylaws and Policies & Procedures Committee.

Article VI: Duties of the Division Directors

Section 1. General Duties

Each Division Director shall represent the Association to the members of their respective Division.

Section 2. Specific Assignments

The Division Directors shall:

- Present a report at each Board meeting on the concerns and activities of the Division members;

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- At a minimum, contact one-third of the Division members prior to each Board of Directors meeting to discuss member needs, concerns, and potential issues to be summarized and reported to the Board of Directors (contacting all assigned members prior to each Board of Directors meeting is encouraged if feasible); and
- Serve on the Membership Committee.

Article VII: Board of Directors Nominations & Elections

Section 1. Nomination & Election Process

An annual election shall be held for each office due to be vacant the following year in accordance with the *Bylaws*.

Section 2. Nomination & Election Timelines & Deadlines

The WPI Chair shall establish the timeline and deadlines for each election to be held during their term as Chair given the following:

- Members shall have no less than two weeks to submit nominations for all offices to be filled;
- Nominees not selected to appear on the ballot shall have no less than two weeks before submitting a petition nomination as outlined by the *Bylaws*;
- Certification Program & Associate Members shall have no less than two weeks to submit their ballots;
- The election shall be held no later than December 1; and
- The Governance Committee shall certify the results to the Board of Directors within two weeks of the election.

Article VIII: Foreseeable Division Director Vacancies

A foreseeable Division Director vacancy is created when a WPI Division Director is a nominee on the ballot, or is elected as a write-in candidate, for an officer position which would take effect during the Division Director term. The WPI Chair and WPI Chair-Elect shall discuss the foreseeable vacancy. If the Division Director is elected for an officer position (and agrees to serve), the WPI Chair shall appoint an individual to fill the vacancy for the remaining Division Director term, subject to Board of Directors approval, within 30 days of the election.

Article IX: Board of Directors Orientation

All members of the Board of Directors are expected to attend the Board of Directors Orientation. The orientation shall be held on a day selected by the WPI Chair and Chief

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Executive Officer. The WPI Chair and Chief Executive Officer shall co-preside over the orientation.

Article X: Board of Directors Meetings

Section 1. Attendance

Members of the Board of Directors are expected to attend all the Board of Directors meetings and conference calls. Officers-elect shall be invited to attend all Board of Directors meetings held before their terms of office start as observers. The Board may consider the failure of a Board member to attend at least one meeting annually as grounds for removal from office as allowed by the *Bylaws*.

Section 2. Responsibility to Be Informed

Each member of the Board of Directors is expected to read and become thoroughly familiar with the *Bylaws*, this *Policies and Procedures Manual* and *Robert's Rules of Order*. The *Articles of Incorporation*, the *Bylaws* and the *Policies and Procedures Manual* shall be posted electronically and shall be accessible to each member of the Board of Directors. Hard copies shall be furnished upon request. A copy of *Robert's Rules of Order* shall be furnished to each incoming WPI Vice Chair. A summary of the major points of *Robert's Rules of Order* shall be furnished to each incoming member of the Board of Directors. A copy of *Robert's Rules of Order* shall be furnished to each incoming member of the Board of Directors upon request.

Section 3. Minutes

Minutes of the Board of Directors shall be maintained. Serving as Secretary of the Association, the Chief Executive Officer shall ensure that a person has been appointed for the purpose of recording minutes. Executive Session minutes are required to be taken only in cases where the Executive Session includes one or more action items. Approved Executive Session minutes shall be maintained by the WPI Chair in the Chair's Notebook and by the Association's legal counsel.

If an Executive Session includes one or more action items, the Chief Executive Officer shall direct the person appointed to take the minutes to perform the following actions:

- Accurately record the start time, attendance, action items, and adjournment time.
- Send the completed draft minutes to the WPI Chair.
- Make copies of the draft minutes for distribution at the next Board of Directors meeting and collect and destroy them upon review and approval by the Board of Directors.
- Distribute the approved minutes to the WPI Chair and the Association's legal counsel.

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- Destroy all copies of the minutes upon receiving confirmation from the WPI Chair and the Association's legal counsel that the approved minutes were received.
- Notify the Chief Executive Officer that the approved minutes have been received by the WPI Chair and the Association's legal counsel.

Within 30 working days after a Board of Directors meeting, the Chief Executive Officer shall review and approve Board of Directors meeting minutes and electronically post the approved minutes and make them accessible to the Association members, except in the case of Executive Session minutes, which shall be confidentially distributed for viewing only at the next regular Board of Directors meeting.

Article XI: Guidelines for Board of Directors Meetings

Section 1. Meeting Schedule

Meetings of the Board of Directors may be held in conjunction with the WPI Annual Conference, AWWA Annual Conference, and the WEF Annual Conference. Meetings may also be scheduled by the WPI Chair pursuant to the *Bylaws* or canceled by the WPI Chair for cause.

Section 2. Advance Submission of Material

Board of Directors members desiring to submit subjects for discussion under new business shall submit the subject to the Chief Executive Officer no less than 30 days before the meeting. At least 30 days prior to each meeting, each member of the Board of Directors shall submit a report to the Chief Executive Officer. At least seven days prior to each meeting, an agenda package shall be provided by the Chief Executive Officer to each member of the Board of Directors. Supporting documentation pertinent to deliberations and actions, including proposed motions, shall be included in the Board agenda package.

Any additional reports and information pertinent to the deliberations and actions shall be distributed prior to the call to order of Board of Directors meetings.

Section 3. Guest Policy

The following policy shall apply to guests, which shall include Association members:

- Association members are welcome to attend Board of Directors meetings as observers, except during Executive Session unless approved by the Board of Directors.
- Guests may attend Board of Director meetings as observers, as approved by the Board of Directors, except during Executive Session unless approved by the Board of Directors.

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- Approved guests shall be introduced at the beginning of the meeting.
- Guests may participate in limited discussion and debate, as determined and approved by the WPI Chair and/or Chief Executive Officer.
- Whenever feasible, guest approvals shall be obtained prior to any Board of Directors meeting.
- This policy shall not apply to independent consultants under the employ of the Association. The WPI Chair and Chief Executive Officer are authorized to approve independent consultants under the employ of the Association to attend and participate in Board of Director meetings, which may include but not be limited to parliamentarian and legal counsel.

Article XII: Communications

Section 1. Stationery

The Association may provide each member of the Board of Directors with a supply of letterhead and envelopes when requested.

Section 2. Telephone

Long distance telephone charges related to Association business are chargeable to the Association as an expense item with the Chief Executive Officer's preapproval.

Section 3. Correspondence

Each member of the Board of Directors, when sending a correspondence on behalf of the Association, shall copy the Chief Executive Officer and the WPI Chair.

Article XIII: Bonding

All staff members who handle the Association monies shall be bonded, at the expense of the Association, in an amount commensurate with industry standards.

MEMBERSHIP

Article I: Membership Divisions

Section 1: Creation

The purpose of creating Membership Divisions is to improve the voting and representation equity of Certification Program Members according to the certification categories administered by the Certification Program Members.

Proposals to create new Membership Divisions in the *Bylaws* shall be referred to the Board of Directors for consideration. Twenty Certification Program Members in a certification category are required for the proposal of a new Membership Division. Upon approval by the Board of Directors, the new Membership Divisions recommended for addition to the *Bylaws* shall be presented to the membership for a vote in accordance with the *Bylaws*.

Section 2: Member Assignment to Divisions

Certification Program Members shall be assigned to the At-Large Division and each Membership Division corresponding to the certification(s) offered by their programs. All Associate Members shall be assigned to the At-Large Division.

- Water Division: Certification Program Members offering a water treatment, distribution, very small water system, or other water-related certification shall be assigned to the Water Division.
- Wastewater Division: Certification Program Members offering a wastewater treatment, collection, industrial waste, small wastewater system, or other wastewater-related certification shall be assigned to the Wastewater Division.
- At-Large Division: Associate Members and all Certification Program Members shall be assigned to the At-Large Division.

Section 3: Dissolution

Membership Divisions may be discontinued or dissolved by the action of the membership through the *Bylaws* amendment process.

Article II: Application

The application for membership shall include an adequate statement of the applicant's qualifications for membership. Evidence in support of an application may be required.

Article III: Admission

Applications for prospective Certification Program, Provisional Program, Honorary, and Special members shall be reviewed and approved by the Board of Directors. All

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applications for Associate Membership shall be reviewed and approved by the Chief Executive Officer, except when the Chief Executive Officer believes there is a particular problem, in which case the application and evidence prescribed in Article I above shall be referred to the Board of Directors for approval. The Chief Executive Officer shall notify the Board of Directors of Associate Membership applications approved or denied. Admission to membership shall become effective upon approval and payment of the membership fees. Any applicant denied membership may appeal the decision in writing to the Board of Directors within 30 days of receiving the denial.

Article IV: Resignation, Suspension, and Expulsion

Any member in good standing may resign from membership by giving written notice to the Chief Executive Officer. Such action shall not entitle the member to a refund of dues or relieve them of the obligations to pay any charges they may have incurred during the period of their membership. Any member ceasing to meet the qualifications set forth in the Association's *Bylaws* or the criteria established by the Board of Directors or for other good cause, may be suspended or expelled from the Association, provided the member has been given a written statement of the reasons for suspension or expulsion and the opportunity for a hearing before the Board of Directors.

Article V: Representation

The representative of a member shall be designated at the sole discretion of each member except when the Association staff and Membership Chair determine whether a representative has a conflict of interest. In such cases where a conflict of interest has been determined the member shall propose another representative.

Article VI: Membership Retention and Recruitment Policy

The goal of the Association's Membership Retention and Recruitment Policy is to maintain all existing members; and second, to increase the number of members. A comprehensive Membership Program shall be developed and implemented annually by the Membership Committee. The Membership Program shall focus on both immediate and long-term activities in the areas of Membership Retention and Membership Recruitment.

Section 1. Retention Objectives

- Staff and the Board of Directors shall encourage all members and volunteers of WPI to participate in Association activities.
- Division Directors shall contact Certification Program Members in their division at least once per year based on a list prepared by staff.
- All members and, when applicable, each member of their certification boards shall be entitled to a subscription to *The Certifier* to keep them informed about the Association and its activities.

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- An Annual Report shall be prepared and sent to all members to keep them informed about the Association and its activities.
- The benefits of membership shall be highlighted in renewal notices and other pertinent communications.
- New certification officers of Certification Program Members shall be contacted and welcomed by Association staff and leadership and provided informational packets.
- Staff or officers shall be available to attend meetings, upon request from Certification Program and Provisional Program Members.
- Staff and Board members shall interact with members at the Annual Conference and other functions at which the Association is represented.
- The Membership Retention Program shall be reviewed annually by the Governance Committee.

Section 2. Recruitment Objectives

A list of potential members shall be developed annually, with ongoing revisions made as changes occur and new information becomes known.

The Strategic Engagement Committee and/or staff shall develop a list of prioritized targets for membership recruitment.

A. Profiles should be developed for targeted potential members and evaluated to determine which are most likely to consider membership in the Association.

B. Communications with targeted potential members shall be initiated based upon evaluation of this profile. Communications may be undertaken by staff, leadership, existing members, and/or other representatives of the Association.

Staff or officers shall be available to attend meetings, upon request from certification programs and certification boards.

Staff and Board members shall interact with potential members at the Annual Conference and other functions at which the Association is represented.

A Membership Recruitment Program shall be reviewed annually by the Governance Committee.

CERTIFICATION COMMISSION

Article I: Name

The organization commissioned by the Board of Directors to oversee the Association's voluntary certification programs shall be named 'Certification Commission for Environmental Professionals' and shall hereafter be referred to as the 'Certification Commission' or 'Commission.'

Article II: Authority

The Certification Commission shall provide oversight to the development and administration of the Association's standardized certification examinations and shall provide oversight to the Association's Professional Operator certification program. The Certification Commission shall retain full responsibility for all policies and procedures relating to certification and standardized exam development. The WPI Chair of the Board of Directors and the Chief Executive Officer shall serve as ex-officio non-voting members of the Certification Commission. The Commission Chair shall serve as an ex-officio non-voting member of the Board of Directors. The Certification Commission shall retain full responsibility for the representation, qualifications, nomination, manner of election or appointment, and term limits of all other individuals to serve on the Certification Commission and its committees, subcommittees, technical committees, panels, and task forces, which shall be specified in the Certification Commission's Policies and Procedures Manual.

The Certification Commission has the authority and autonomy to act in all matters related to the certification program including granting, maintaining, renewing, suspending, withdrawing, expanding, and reducing the scope of certification. The Board of Directors shall retain full authority over certification disciplines not conferred to the Commission, the Association's Testing Service and testing clients, and to utilize standardized examinations developed by the Certification Commission as part of the Association's Testing Service.

Article III: Responsibilities

Responsibilities of the Certification Commission shall include:

- Development and implementation of policies and procedures to ensure the operation and administration of the Professional Operator program is executed in conformance with best certification practices. Staff shall advise the Commission on current credentialing standards.
- Overseeing the development and administration of a legally defensible, valid, and reliable certification examination. Assuring the item bank is sufficient and adequately maintained.

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- Overseeing the development of all program components including, but not limited to eligibility criteria, recertification requirements, code of conduct, and disciplinary procedures.
- Appointing and overseeing committees, subcommittees, technical committees, panels, and task forces as required to support all program components and maintain qualified subject matter experts to participate in all aspects of the program including, but not limited to examination content, item writing, maintaining reliability and validity of the examination, eligibility and recertification requirements, disciplinary actions, appeals and due process, and nominations of qualified individuals to the Certification Commission.
- Managing WPI-secured psychometric services to ensure the examination is legally defensible, reliable, valid, and maintained according to industry standards in test development and measurement, including setting of the passing score and scaled scoring. Reviewing psychometric reports and making necessary and required changes to the examination.
- In collaboration with staff and the Board of Directors, ensuring the security of the certification examination and the intellectual property associated with each credential.
- In collaboration with staff and the Board of Directors, developing an annual operating budget to ensure all certification program elements are current and credible.
- Implementing the Code of Conduct required of certificants and administering the disciplinary program.
- Making readily available to applicants, candidates, and certificants all policies, procedures, and related program information relevant to earning and maintaining certification.
- Submitting a Certification Commission report for each Board of Directors meeting regarding the status of the certification program and the integrity of the examinations and other program components. The chair of the Certification Commission (or their designee) shall attend Board of Directors meetings as determined by the WPI Chair or Chief Executive Officer.

Article IV. Duties of the Certification Commission Chair

The Certification Commission Chair shall serve as the Commission liaison to the Board of Directors and shall:

- Collaborate with the Board of Directors on assuring the security of the certification examinations and the intellectual property associated with the Certification Commission credentials.
- Collaborate with the Board of Directors on developing an annual Certification Commission operating budget to ensure all certification program elements are current and credible.

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- Present a report at each Board of Directors meeting regarding the status of the certification program and the integrity of the examinations and other program components.
- Prepare a Commission Chair Report for the Annual Report.

COMMITTEES AND TASK FORCES

Article I: Committees

Section 1. Creation

Committees of the Association are appointed for the purpose of aiding the operation and administration of the Association's affairs. Proposals to create committees shall be referred to the Board of Directors for action. Where no more restrictive procedures are delineated, the following shall apply:

- Committee chairs and members of committees must be in good standing with Association members, regardless of whether they are Association member representatives.
- All committee chairs shall report recommendations and actions to the Board of Directors.
- Unless otherwise noted, committee chairs shall be appointed/replaced by the WPI Chair for committee chair terms that run concurrent with the WPI Chair's term, subject to approval by the Board of Directors. The WPI Chair-Elect shall appoint committee chairs for committee chair terms that will run concurrent with the WPI Chair-Elect's upcoming term as Chair. Committee members shall be selected by the committee chair, subject to the approval of the WPI Chair, unless otherwise provided for in the *Policies and Procedures* manual.
- The Board of Directors may remove a committee chair or committee member for just cause.
- Committees and task forces that fall under the authority of the Certification Commission shall be governed separately by the Certification Commission's Policies and Procedures manual.

Section 2. Dissolution

When not in conflict with the *Bylaws*, committees may be discontinued or dissolved by the action of the Board of Directors.

Article II: Task Forces

Section 1. Creation

The Board of Directors may establish task forces of the Association for new activities or studies within its field of interest. When the establishment of a task force is deemed necessary, certain procedures shall govern its creation as follows:

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- The life of each task force shall be limited to two years, unless extended by the WPI Chair with the approval of the Board of Directors.
- The task force shall consist of a task force chair and as many other members as may be appropriate. A task force created by the Board of Directors shall include in its membership at least one individual currently serving on the Board of Directors.
- Task force chairs and members of task forces must be in good standing with Association members, regardless of whether or not they are Association member representatives.
- All task forces shall report recommendations and actions to the Board of Directors.
- Task force chairs shall be appointed by the WPI Chair, subject to approval by the Board of Directors. Task force members shall be selected by the WPI Chair, subject to approval by the Board of Directors.
- A task force chair or task force member may be removed by the Board of Directors for cause.

Section 2. Dissolution

When not in conflict with the *Bylaws*, task forces may be discontinued or dissolved by action of the Board of Directors.

Article III: Committee and Task Force Activities

Each committee and task force chair shall be provided with a written charge, which has been approved by the Board of Directors. The charge shall comprise the general scope of the activities which are limited to assignments contained within the language of the charge. The WPI Chair may, from time to time, make specific assignments which are within the general scope of the charge and to which the WPI Chair requires particular attention during the WPI Chair's administration.

Article IV: Committee and Task Force Meetings

Financial support for travel by members to attend committee or task force meetings must be approved by the Board of Directors or Chief Executive Officer. Whenever practicable, committees and task forces shall schedule meetings during the week of the Association's membership meetings with associated work conducted by virtual meeting, correspondence, and telephone. In cases where this is not practicable, staff shall strive to schedule committee and task force meetings at times and places that are at a reasonable cost to the Association in cooperation with the Association's finance personnel.

Meetings should be conducted in accordance with *Robert's Rules of Order* guidelines

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for committees. Guests are normally welcome in the meetings; however, a decision on the openness of the meeting shall be determined by the committee or task force chair. If conclusions depend upon voting, only committee or task force members are allowed to vote.

Article V: Committee and Task Force Reports

Each committee and task force chair shall submit a written report for each Board of Directors meeting. Reports shall be submitted at least 30 days before each Board of Directors meeting for inclusion in the Board packets. When action is desired by the Board of Directors, such action should be clearly identified in the committee or task force report.

Committee and task force chairs may be invited by the WPI Chair or Chief Executive Office to attend meetings of the Board of Directors to present their reports, expand on any matters requiring action, and participate in discussions. In instances of an extensive Board agenda, committee and task force chairs will limit their verbal presentation, as far as it is reasonable and practical, to matters requiring action by the Board of Directors.

Article VI: Committee and Task Force Responsibilities and Authorities

All committees and task forces are directly responsible to the WPI Chair or the WPI Chair's designated representative and to the Board of Directors.

Committees and task forces do not have either the authority or the right to commit the Association to an expenditure of funds without prior authorization of the Board of Directors, and then only in the manner and in the amount as authorized. When a committee or task force is considering or proposing a program of action which may involve some financial commitment or expenditure by the Association, full details of such programs shall be submitted to the WPI Chair and Chief Executive Officer, with full and complete financial details, for inclusion in the Association's budget and approval by the Board of Directors.

Committees and task forces do not have the authority to represent the Association or to express positions or opinions in the name of the Association unless given such authority by the Board of Directors, WPI Chair, or Chief Executive Officer.

Article VII: Committee and Task Force Correspondence

The Association's letterhead may be used by committee and task force chairs for correspondence but is solely for use in the Association's business, and in no circumstances is to be used to express or convey personal opinions, preferences, or ideas where such expressions could be interpreted as those of the Association. All correspondence to persons outside of the Association shall be summarized to the WPI Chair or undertaken with the WPI Chair's knowledge and concurrence. Copies of all

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correspondence shall be provided to the WPI Chair and Chief Executive Officer.

GOVERNANCE COMMITTEE

ARTICLE I: PURPOSE

The Governance Committee shall provide guidance and counsel to the Chief Executive Officer, senior staff, and the Board of Directors, focusing on the specific responsibilities of the governing body of WPI. Its purpose is to ensure effective governance practices, enhance the strategic direction, and maintain oversight of organizational policies and procedures. The Governance Committee encompasses the former Nominating Committee, Membership Committee, and Strategic Planning Committee. Despite the consolidation, the responsibilities of each individual committee will remain unchanged.

ARTICLE II: COMPOSITION

The Governance Committee shall operate under a directive established by the WPI Chair and the Chief Executive Officer. The Governance Committee shall be comprised of:

- WPI Chair;
- WPI Vice Chair;
- WPI Immediate Past-Chair; and
- The Chief Executive Officer.

Only for Nominations, will committee roles change to reflect the *Bylaws*.

ARTICLE III: RESPONSIBILITIES OF THE GOVERNANCE COMMITTEE

Section 1. Nominations

For nominations only, the Governance Committee shall be composed as defined by the *Bylaws* of three Past-Chairs who are available as well as the Chief Executive Officer, who serves as a non-voting member. The Immediate Past-Chair should serve as Chair. The responsibility of nominating is to identify at least one candidate of appropriate merit who meets the qualifications specified by the *Bylaws* for each office due to be vacant the following year.

Section 2. Bylaws and Policies and Procedures Review

The Governance Committee shall be responsible for an annual review of the *Bylaws* and the *Policies and Procedures Manual* and shall present the results of the annual review and other recommended changes to the Board.

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Once approved by the Board, recommended changes to the *Bylaws* shall be presented to the membership for a vote in accordance with the *Bylaws*.

Section 3. Membership Oversight

The Governance Committee is tasked with overseeing membership retention and recruitment initiatives. The primary objectives of the Association's Membership Retention and Recruitment Policy are to sustain existing membership levels and to increase the overall number of members. To meet these objectives, the Governance Committee shall develop and implement a comprehensive Membership Program annually, addressing both immediate and long-term activities in the areas of Membership Retention and Membership Recruitment.

Section 4. Strategic Planning

The Governance Committee shall be responsible for implementing the Association's strategic plan in collaboration with the Board. The Committee shall be responsible for conducting a periodic review of the strategic plan to ensure that the tasks identified for carrying out the plan are appropriate and/or the most effective actions to achieve the objectives of the plan at the direction of the Board. The review will evaluate the appropriateness of the identified action items toward meeting the mission and goals of the plan. The Committee shall also be responsible for recommending the development of a new strategic plan to the Board of Directors.

CHIEF EXECUTIVE OFFICER

Article I: Duties of the Chief Executive Officer

Section 1. General Duties

The President and Chief Executive Officer, which for the purposes of this document may be referred to solely as the Chief Executive Officer and/or “CEO”, shall be employed by the Board of Directors for a fixed term, which is renewable, and shall be directly supervised by the WPI Chair under the direction of the Board of Directors. The Chief Executive Officer shall serve as both Chief Executive Officer and as Secretary of the Association; shall attend all meetings of the Board of Directors and Certification Commission as an ex-officio member as provided for in the *Bylaws*; shall ensure that an accurate record of minutes and votes at all such meetings are maintained, except in respect to elections of officers; shall employ all staff and prescribe their duties; may sign all contracts and leases in accordance with the Association’s Bidding and Contracting Policy; and shall perform such other duties as may be assigned by the Board of Directors.

Section 2. Administrative and Supervisory Duties

The Chief Executive Officer shall direct all staff activities. Appointments to the staff and dismissals therefrom shall be made by the Chief Executive Officer. The Chief Executive Officer shall hire staff as necessary to comply with the *Bylaws*, the *Policies and Procedures Manual*, the Board approved staffing plan, and for the proper operation of the Association.

The Chief Executive Officer shall sign, execute and acknowledge, in the name of the Association, deeds, mortgages, bonds, contracts or other instruments, authorized by the Board of Directors, except in cases where the signing and execution thereof shall be expressly delegated by the Board of Directors, or by the *Bylaws* and this document to some other officer or agent of the Association.

When the Association retains an outside consultant or employs an individual on contract, the Chief Executive Officer will be responsible for supervision of such individuals or firms and for the fulfillment of the contract. In the case of a public information counsel, the Chief Executive Officer shall act by and with the consent and advice of the Board of Directors.

The Chief Executive Officer is solely responsible for supervising all aspects of all other employees’ work, including sole responsibility for hiring, promotions and terminations. The Chief Executive Officer shall act in accordance with business best practices, and applicable federal, state and local employment laws.

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The Chief Executive Officer shall implement the policies and directives established by the Board of Directors and shall be directly supervised by the WPI Chair under the direction of the Board of Directors.

Section 3. Specific Assignments

The Chief Executive Officer shall:

- Ensure agenda preparation, attend, and ensure an accurate record of the minutes of all Board of Directors and Certification Commission meetings.
- Be responsible for the content and distribution of the publications of the Association.
- Prepare, on the advice of the Chair of the Finance Committee and finance personnel, the annual budget for approval by the Board of Directors.
- See that all monies due to the Association are collected and promptly deposited to its credit, and that the Association incurs no indebtedness greater than 1) its liquid assets or 2) the liquid assets minus plus financial reserves (of all types), whichever of the two is the greatest. Reserves shall include financial amounts as proposed by the Chief Executive Officer and agreed to by the Board to ensure long-term sustainability.
- Pay all proper charges against the Association and submit to the Finance Chair a regular financial report in such detail as may be required.
- Oversee the finances and records of the Association and make them available for audit, annually or as otherwise specified by the Finance Committee, or by certified public accountants appointed by the Board of Directors. Additionally, the Board of Directors has specific authority to direct the CEO to engage a CPA firm reporting to the WPI Board Chair.
- Make such reports to the Board of Directors as are specified in the *Bylaws* or this document, and such additional reports as the Chief Executive Officer deems necessary or the Board of Directors may request.
- Prepare regular reports for the Board of Directors which summarize Association activities for the previous months.

The Chief Executive Officer or the Chief Executive Officer's designee shall attend meetings in the best interest of the Association.

Besides the specific assignments referred to above, the Chief Executive Officer shall perform such other duties as may be specified elsewhere in the *Bylaws* or the *Policies and Procedures Manual* or as directed by the Board of Directors.

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Article II: Chief Executive Officer Contract Renewal Policy

In January of the contract renewal year the Board will determine whether to renew the Chief Executive Officer's contract.

1. If the Board's decision is to renew the contract,
 - It shall determine the optimal length of the contract renewal and the range that is acceptable.
 - It shall determine if it wants to change any provisions in the contract.
 - The Finance Committee and WPI legal counsel shall negotiate the new contract with the Chief Executive Officer.
 - If the contract cannot be agreed upon before the mid-year meeting, the Finance Committee shall report the impasse to the Board, and the Board shall determine its course of action.
2. If the Board determines not to renew the contract,
 - It shall notify the Chief Executive Officer per the terms of their contract that the contract will not be renewed. The exit strategy and dissolution of the relationship between the Chief Executive and the Board shall be implemented by the Board Chair upon the Board of Director's vote to not renew the contract. This shall start with notice to WPI's General Counsel by the Board Chair either verbally or in writing of the Board's decision. WPI's General Counsel will notify the Chief Executive in writing the terms of separation as defined in the contract between the Association and the Chief Executive is hereby implemented. The Board and the Board Chair will designate the most senior WPI manager (by position, not tenure) as the Interim Chief Executive and the planning for hiring a new Chief Executive will begin by the appointment of Task Force by the Chair. The Interim Chief Executive will continue the business of WPI on a day-to-day business and report daily in writing and verbally to the Board Chair. The intent is for the Interim Chief Executive to maintain the status quo until a new Chief Executive is hired.
 - It shall follow the provisions of the Succession Plan specified in this Chapter to hire a new Chief Executive Officer.

Article III: Chief Executive Officer Evaluation

The WPI Chair, WPI Chair-Elect, and WPI Past-Chair shall each perform an independent evaluation of the Chief Executive Officer every August/September using the evaluation form in Appendix E. Following the evaluation, the WPI Chair, WPI Chair-Elect, WPI Past-Chair, and WPI Vice Chair shall review all three evaluations and confer together on recommending a performance bonus and/or adjustment to the base salary, consistent, where applicable, with the terms of the Chief Executive Officer's Employee Agreement for approval by the Board of Directors.

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The Chief Executive Officer shall provide the Board of Directors with an outline of goals and objectives for the Association for the following year at the same time such goals and objectives are presented to the WPI Chair, which shall be based on the Strategic Plan. The Chief Executive Officer and the WPI Chair, who in consultation with the Board of Directors, shall mutually refine and adopt such goals which may be used by the WPI Chair, WPI Chair-Elect, and WPI Past-Chair's evaluation of the Chief Executive Officer's performance.

The WPI Chair, WPI Chair-Elect, WPI Past-Chair, and WPI Vice Chair may perform an informal review of the Chief Executive Officer at other times during the year to allow communication of issues of importance to both the Chief Executive Officer and the Board of Directors.

Article IV: Chief Executive Officer Succession Plan

Section 1. Overview

Succession may occur as the result of one of the following:

- Short-term absence,
- Long-term absence (in collaboration with current Chief Executive Officer),
- Retirement/resignation, death, or
- Removal.

When there is a need to consider the succession of the Chief Executive Officer, the procedures defined in the following Sections shall be adhered to.

Section 2. Communication and Notification

Internal Communications

Staff. The Association staff shall be notified by the WPI Chair within 24 hours in the event of the sudden departure of the Chief Executive Officer. However, in the event of a planned departure, the Chief Executive Officer shall be given the opportunity to notify staff themselves. A major change in staff leadership can be extremely stressful and potentially disruptive for employees; therefore, it is recommended that, to the extent possible, the WPI Chair communicate with the staff throughout any transition period. This will help ease uncertainty and ambiguity about the future. The more transparent the transition process is made, the better.

The WPI Chair will consult with G&A Partners, the Association's legal counsel, and finance personnel to make a preliminary determination to see if any personnel-related benefit issues are triggered based on the nature of the departure (e.g., insurance, Family and Medical Leave Act). Potential litigation issues will be addressed by the

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Board of Directors through the WPI Chair to avoid placing employees in an uncomfortable situation.

Leadership. In the event of a sudden absence of the Chief Executive Officer – either voluntary or by removal for either long- or short-term durations – the WPI Chair shall convene a special meeting of the Board of Directors within 72 hours. The Board of Directors shall be informed of the reason for the departure, the length of the absence (if temporary), and any steps already taken within the authority granted the WPI Chair by the Board of Directors. Any actions taken by the WPI Chair must be within the authority granted them or they may be personally liable for litigation. This plan provides that authority. During the special meeting, the Board of Directors shall determine whether the appointment of an Interim Chief Executive Officer is advisable (see Selection of the Interim Chief Executive Officer outlined below).

Membership. The WPI Chair, in cooperation with the Board of Directors, will coordinate the notification of the membership, and other necessary parties, within one to two weeks of any departure (with the exception of a temporary/short-term departure). The specifics of the notification will vary significantly depending upon the circumstances of the departure. The initial notification may be coordinated with staff and sent via email; any subsequent notifications may be included in *The Certifier* or other appropriate communications vehicles. The notification email will be reviewed by legal counsel/attorney, approved by the Board of Directors, and signed by the WPI Chair before distribution to parties noted in this paragraph.

External Communications

Legal/Financial. The WPI Chair shall immediately direct the Director of Operations and/or finance personnel to continue communication with the Association’s legal counsel/attorney and all financial contacts. More information on both of these issues is found in the next section.

Media. During the initial special meeting between the WPI Chair and the Board of Directors, the Board of Directors shall determine whether or not any publicly accessed media needs to be notified. Media shall be notified only if the Board of Directors decides that such notice is appropriate, given the circumstances. Any press release may, depending on circumstances, be reviewed by legal counsel/attorney and must be approved by the Board of Directors.

Key Related Organizations. Within five business days of notifying the Board of Directors, the WPI Chair shall notify the points of contact with key related organizations, other professional and environmental organizations.

Section 3. Financial Oversight of the Organization

As previously stated, (External Communications, Legal/Financial), in the event of a permanent departure of the Chief Executive Officer – either voluntary or involuntary – all entities that the Association has financial interest in, or obligation toward, shall be

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notified by finance personnel at the direction of the WPI Chair and in the context approved by the Board. The notification shall specify the effective date upon which the Chief Executive Officer is no longer representing the Association and a request that their name shall be removed from all accounts, legal documents, procedures, mailing lists, and contact lists. The following organizations shall be notified:

- All firms in which investment accounts are held;
- Bank(s);
- Auditing firm;
- Payroll and benefits provider;
- Attorney;
- Insurance broker; and
- Any other firm associated with WPI finances.

Check signing. Currently, the Board of Directors has authorized the following signatures: The Chief Executive Officer, the WPI Chair, Director of Operations, and finance personnel.

Permanent Departure. The departing Chief Executive Officer's name will be removed from the list of authorized signers of all accounts immediately upon notice of their departure. In the absence of any Interim or Permanent Chief Executive Officer, the WPI Chair and finance personnel shall become the authorized signers of contracts and shall be the authorized signers of checks in accordance with the *Policies and Procedures* and office procedures in place at the time. Office procedures as approved by the departing Chief Executive Officer are to remain unchanged until such time as a new Chief Executive Officer is hired. If finance personnel desire or require a change in procedures, the request shall be made through the WPI Chair to the Board of Directors for approval. A detailed supporting rationale shall be provided to the Board of Directors.

Under current internal procedures, the Chief Executive Officer opens and reviews bank statements when they arrive each month, examining all the checks to make sure that no irregularities have occurred. Upon the Chief Executive Officer's departure, the WPI Chair, Chair of the Finance Committee, Director of Operations, and finance personnel shall review bank statement information and/or canceled checks to ensure that no irregularities have occurred. If anything unusual is detected, they shall report this to the Board of Directors for an appropriate financial review and action.

In the event the departure occurs within close proximity to the Association's audit, it is recommended that the WPI Chair direct the finance personnel to contact the auditing firm and arrange for a special meeting to discuss the audit's status and review any issues as appropriate.

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Temporary Absence. The Association's WPI Chair, Director of Operations, and financial personnel are authorized to sign checks, as prepared by the financial personnel. Upon return, the Chief Executive Officer shall review all checks issued in their absence if the absence was of a temporary nature. Any questions shall be directed in writing to the WPI Chair with a copy to each Board member including any corresponding replies as they are made. The intent is to assure the membership and Board of Directors that such review is an element of a checks-and-balances system that will provide oversight during other than usual operations.

Budget impact. The WPI Chair shall determine any potential impact on the current year's budget as a result of the Chief Executive Officer's departure. Any variance shall be reported to the Board of Directors within one month and then to the Board at its next regularly scheduled meeting.

Section 4. Legal Review

The WPI Chair and WPI Chair-Elect, with assistance from the Chair of the Finance Committee, shall immediately review the departing Chief Executive Officer's employment contract to determine any provisions that might be triggered by the departure itself, or any actions surrounding the departure. Should there be any potential questions regarding the contract, or employment law related concerns, legal counsel/attorney shall be employed specific to the employment provisions at hand. This may be a different legal counsel/attorney than that which would have already been retained or be on retainer by the WPI Chair and the Board. The WPI Chair shall inform the Board of Directors of any findings. Any resolution to actions required shall be the responsibility of the Board of Directors including the WPI Chair who shall present such required actions to the Board in an expeditious and timely manner via a special meeting.

Association contractual obligations/liabilities. In the absence of any Interim or Permanent Chief Executive Officer, the WPI Chair shall contact the Director of Operations, financial personnel, and other staff to immediately address any outstanding contracts between the Association and other parties that need to be addressed, as well as the status of any other contracts with pending liabilities and/or obligations. In the event any concerns are identified, the WPI Chair shall inform the Board of Directors of any actions that need to be taken with respect to contracts, liabilities, or obligations. The Board of Directors is responsible for addressing and/or correcting any contracts, liabilities, or obligations.

Section 5. Selection of the Interim Chief Executive Officer

The WPI Chair will seek a vote from the Board of Directors to determine an action on the appointment of an Interim Chief Executive Officer. The Board of Directors may appoint a senior staff member or select an external candidate as Interim Chief Executive Officer (see **Appendix C** for job description). If the Board of Directors votes to enact an Interim Chief Executive Officer position, the person selected to serve in

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this role shall be notified immediately by the WPI Chair. The Interim Chief Executive Officer role may be filled by one or more senior staff to ensure equitable distribution of work responsibilities as determined by discussions with senior staff.

In addition, the Board of Directors shall pass a resolution authorizing the Interim Chief Executive Officer to have their name added to the list of authorized signers for financial accounts and other legal instruments required to continue the business of the Association without disruption.

The Board of Directors may consider a short-term contract with the departing Chief Executive Officer to assist with the transition in the event of a planned departure scenario. The contract review must comply with criteria defined in Section 4 Legal Review and be approved by the Board of Directors.

It shall be the responsibility of the WPI Chair to determine and recommend to the Board a suggested compensation package above and beyond the current salary as long as such compensation does not encumber the Association past the point when the position is filled permanently. The Board of Directors may choose to provide additional compensation for the selected individual(s). Any Board member may be designated, in the event the WPI Chair declines this activity for any reason, to discuss and determine the recommended compensation.

Section 6. Selection of the New Chief Executive Officer

Search Process. If the situation is such that the Chief Executive Officer is to be replaced, following coordination and approval of the Board of Directors, the WPI Chair shall appoint a Search Task Force to initiate the search for a new Chief Executive Officer, including candidate screening and presenting proposals to the Board.

Recusal from the Search Task Force: Any member of the Search Task Force or Board of Directors who wishes to be considered for the position of Chief Executive Officer must so state prior to the beginning of the selection process, and will automatically be recused from the process. Any member of the Search Task Force who participates in the selection process after the initial meeting of the task force will be ineligible for consideration.

The Search Task Force will need to identify the following in conducting its search:

- The strategic needs of the organization;
- Candidate requirements (based on the results of consideration of the above); and
- Position description. The current position description for the Chief Executive Officer may be used as a start (see **Appendix B**), however, it may be determined that based on changes in the profession and/or the Association, changes are needed.

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Considerations: There are several factors that shall be considered in selecting a new Chief Executive Officer.

The following qualifications shall be taken into consideration:

- Non-profit association management experience;
- For-profit business management experience;
- Personnel management and organization experience;
- Volunteer experience;
- Demonstrated ability to work with people with varying backgrounds and experience;
- Expertise in the water quality profession, primarily water and wastewater;
- Reputation/name recognition/familiarity with professional decision makers;
- Knowledge/understanding of water quality policy issues;
- Knowledge/understanding of certification and licensing issues; and
- Knowledge/understanding of legislative and regulatory processes.

Notification of Position: The selection process may take up to six months. The initial notice for the position shall go to the Association's membership and the American Society of Association Executives. Notice shall also be placed in job search vehicles available through the Association's Special Members. Advertisement in newspapers or in association management publications is not recommended.

Prior to notification, the Search Task Force should consider contacting the following people for the purpose of soliciting their interest and or recommendations: the remaining Board of Directors, WPI Past-Chair, current Association leaders, and committee chairs. The Search Task Force should also consult with senior staff by meeting with them prior to the search being initiated to learn of any priority issues and gain a better understanding of the needs of the internal office, and also the interests of any senior staff in the position.

Selection: The Search Task Force may consider contracting with a national search firm who has experience in soliciting candidates for non-profit managers. The Search Task Force shall make a tentative selection by majority vote. The Search Task Force shall determine what compensation would be required to hire the top candidate, and if reasonable, the Search Task Force shall then present its recommendation (including proposed compensation package) to the Board of Directors for approval.

It is imperative that this process be kept confidential.

Review: This Succession Plan shall be periodically reviewed and updated in alignment with the Strategic Plan.

IRS FORM 990 REVIEW POLICY

Article I: Purpose

IRS Form 990 is the annual information return most tax-exempt nonprofits must file with the IRS. It discloses the organization's mission, programs, governance, and finances to ensure transparency and accountability. Filing is required by law, and failure to do so for three consecutive years results in automatic loss of tax-exempt status.

The purpose of this IRS Form 990 Review Policy is to create a process for preparation of IRS Form 990 and its distribution to Water Professionals International (hereinafter, "WPI") for full review and comment prior to filing Form 990 with the IRS.

Article II: CEO and Chair of the Board of Directors Responsibilities

1. WPI's Chair of the Board of Directors (hereinafter "the Chair") and Chief Executive Officer are ultimately responsible for timely preparation and filing of the IRS Form 990.
2. The Chair and Chief Executive Officer may confer, as they reasonably believe is necessary, with accountants, legal counsel, and/or other professional advisors on behalf of WPI with respect to drafting and completing Form 990. The hiring of professional advisors must comply with the WPI Conflict of Interest Policy. Fees for professional advisors must be reasonable, budgeted in advance, and comply with the WPI Compensation Policy.

Article III: Distribution of Form 990

1. The Chair and CEO shall submit a draft copy of IRS Form 990 to every Director at a Board of Directors Meeting held at sixty (60) days prior to the required date of filing of IRS Form 990 with the IRS. The Chair and CEO may elect to provide a draft copy to all members by email, through distribution of a physical paper copy, or both. Upon distribution, the Chair and Chief Executive Officer are to make clear that approval by a Director is implied if there is no response from said Director.
2. Each Director shall be given the opportunity to respond to the Chair and Chief Executive Officer, preferably in writing (such as by email), asking any questions or objecting to any information presented on the draft IRS Form 990. If any objection cannot be resolved between the Director(s) and the Chair and Chief Executive Officer, the subject is to be included as an agenda item at the next regularly scheduled Board meeting. If necessary, a special Board meeting may be called, a request for an extension for filing IRS Form 990 may be made, or both.

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3. All questions or concerns All questions or concerns by any Director related to the draft IRS Form 990 shall be considered by the Chair, Chief Executive Officer, and the other Directors. The Chair and Chief Executive Officer shall ensure that any appropriate changes are incorporated into IRS Form 990, which then shall be signed by the Chair, or any other authorized officer of WPI.

Article IV: Policy Reporting on IRS Form 990

The Chair and Chief Executive Officer shall provide evidence this Policy has been complied with in the final, filed IRS Form 990. The Chair and Chief Executive Officer shall also provide copies of all correspondence, questions, and objections, along with the filed IRS Form 990, as deemed appropriate by the Chair and Chief Executive Officer.

V. Amendments to this Policy

This IRS Form 990 Review Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification including notice that this Policy is to be discussed.

AMENDMENTS

Article I: Procedure for Amending the *Policies and Procedures Manual*

Section 1. Proposals for an Amendment

Any Board member or 20% of the Certification Program Members may recommend amendments to this document.

Section 2. Adoption

Final adoption of amendments to this document shall be by a majority of a quorum of the Board of Directors present and voting. Publication of the revision or amendment shall take place within 60 days after the Board of Directors' approval.

Section 3. Technical Changes

Staff is authorized to correct Article & Section designations, punctuation, and cross-references, and to make such technical and editorial changes as may be necessary to assure the accuracy and readability of the *Policies and Procedures Manual*.

Article II: Grievances

Section 1. Entitlement

All members of the Association shall be entitled to resort to the procedures established in this Article.

Section 2. Definition

For the purposes of this document, a "grievance" shall mean any complaint involving the interpretation, application, or alleged noncompliance with the provisions of the Bylaws or these Policies and Procedures. All grievances shall be addressed in accordance with the procedures set forth in this Article. The individual(s) or organization(s) submitting a grievance shall be referred to as the "Complainant." Grievances concerning the interpretation, application, or compliance with the Bylaws or these Policies and Procedures shall be submitted to the Board of Directors for review and resolution. Grievances involving personnel matters, including but not limited to workplace conduct, discrimination, harassment, or other employment-related issues, shall be submitted to WPI's third-party human resources provider, G&A Partners, for handling in accordance with its established human resources procedures.

Section 3. Petition

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Any grievance entitled hereunder to resort to the provisions of this Article shall present a written petition to the WPI Chair no later than 30 days from the date of occurrence or knowledge of the action, facts, or circumstances on which the complainant's grievance is based, setting forth the reason(s) for the grievance and, if possible, a statement as to what remedy the complainant seeks.

Section 4. Response

Upon timely receipt of the grievance petition, the WPI Chair shall immediately refer the matter to the Board of Directors. In case the subject of the grievance involves a member of the Board, that member shall be dismissed from any discussion involving the grievance. Within 90 days of the referral to the Board of Directors, the grievance shall be answered in writing. Such answer shall be made upon due consideration of all the relevant facts and circumstances pertaining to the grievance and shall set forth the reasons upon which it is based. Within 10 days of the receipt of the Board of Directors' answer, in order for the grievance to be considered further, the complainant shall make a written appeal to the Board of Directors. If the complainant so requests in the appeal, the complainant shall be entitled to a hearing prior to the rendering of the decision. The Board of Directors, at its next regularly scheduled meeting, if timely, shall consider the appeal and render a decision supporting, reversing, or modifying the answer to the grievance. Such a decision shall be made by majority vote and shall constitute final judgment. All extraordinary expenses caused by the holding of such hearing shall be borne by the complainant.

Section 5. Exclusion

The procedures established under this Article shall not be applicable to the subject matter pertaining to indemnification nor to issues of editorial discretion and review with regard to the publication of manuscripts in *The Certifier* or in other WPI publications.

INTRODUCTION – STRATEGIC ENGAGEMENT

Effective communication is the lifeblood of WPI, facilitating the flow of information, fostering relationships, and driving WPI's mission forward. This section is dedicated to outlining the principles and practices that ensure our communications are clear, consistent, and impactful.

Whether we are engaging with our members, the public, or other stakeholders, our communications must reflect our organization's values and objectives. From internal communications that keep our team informed and connected, to external messaging that raises awareness and garners support, every interaction is an opportunity to reinforce our mission and build trust.

Key areas covered in this section include guidelines for internal and external communications, roles and responsibilities within our communications team, protocols for media interactions, social media usage, and standards for creating and distributing content.

By adhering to these policies and procedures, we ensure that our communications are not only effective but also aligned with our organizational goals and ethical standards.

COMMUNICATIONS & EXTERNAL RELATIONS

Article I: Position Statements

Statements issued to express the official policy of the Association on any matter shall be approved by the Board of Directors prior to issuance. Any officer or member who, in a speech or other communication with members of the public, wishes to take a stand in opposition to the official policy of the Association or in respect of which no official policy has been adopted, shall specifically state that the views expressed are not associated with WPI. In any appearance before a public body, the WPI Chair or the WPI Chair's designee may testify regarding any matter in a manner consistent with the official position of the Association.

See **Appendix F** for various Position Statements.

Article II: External Relations

Section 1. Legislative Liaison

In conformity with the stated purposes of the Association, it is necessary that the Association's knowledge and expertise in all matters affecting certification and related subjects shall be effectively presented. It shall be the policy of the Association that the expert and technical knowledge of the Association's members shall be made available, in the public interest, for the use of legislators at all levels of government—national, state/provincial, and local. The official spokesperson for the Association on all matters relating to federal legislation shall be an appropriate representative of the Association as designated by the WPI Chair or Chief Executive Officer.

In implementing this policy, the Association shall take the necessary steps to:

- Maintain communications with governmental agencies and Congressional committees so as to keep informed on all matters being considered for legislative action;
- Determine those areas that negatively affect certification of environmental professionals and related matters where legislation for corrective action may be deemed necessary, and further in all proper ways the consideration of such legislation in a manner consistent with the Association's tax-exempt status; and
- Formulate and present information to the proper legislative agency with reference to any legislation regarding areas that negatively affect certification of environmental professionals or related matters.

The Association shall, by means of a periodic bulletin, keep its members informed of any relevant certification legislation being considered.

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Staff shall refer bills upon which the Association has been asked to testify and regulations of concern to certification to the Board of Directors. Staff shall prepare a statement consistent with established policies. The statement shall then be forwarded to the Board of Directors for approval. If time is of the essence, the Chief Executive Officer shall ballot the Board of Directors by mail, email, fax, or a conference call in which all participants may simultaneously hear each other during the meeting. All meetings shall be conducted in accordance with the *Bylaws* and the *Policies and Procedures Manual*. Ballot votes by mail, email, or fax shall be conducted in accordance with the requirements specified in the *Bylaws*. If the statement is to be filed for the record, it shall be signed by the WPI Chair and the Chief Executive Officer. If the statement is to be used in oral testimony, the WPI Chair or the WPI Chair's designated representative shall present the testimony with a member of staff in attendance if feasible. Statements and testimony shall be distributed as soon as possible to members of the Board of Directors and published in the first available issue of *The Certifier*.

The Association recognizes the individual right and duty of all citizens to express their views to legislators and also recognizes that divergent opinions will exist, Any party so taking action shall do so as an individual and not as a representative of the Association.

Section 2. Official Representatives to Other Organizations

All Association representatives to other organizations are responsible to the Board of Directors and such representatives shall represent and vote on matters for the Association. The Board of Directors shall determine if and what restrictions are to be placed on each representative and all of the Association's representatives shall be instructed that they shall not vote in opposition to the Association's policy.

Section 3. Participation in Projects Conducted by Other Organizations

The Association may participate in projects of value to certification. Whenever the Association is asked to endorse a project, the endorsement shall be limited to the project itself. The Association may recover the expenses of participating in any project sponsored by other organizations.

Section 4. Cooperation with Other Organizations on Seminars and Workshops

The Association may allow the Association's name to be used as co-sponsor or cooperating organization for conferences, seminars, or similar activities only where it has had a direct part in the planning and programming of such activities.

Article III: The Association's Logo

Section 1. General Logo

The Association's logo is reserved for use by the Association and may only be used

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outside of the Association with prior approval of the Chief Executive Officer or their designee.

Section 2. Member Logo

The Association's member logo may be used only by a member in good standing on their letterhead, business card, and other institutional literature, provided that the statement reflects accurately the membership status and does not imply any endorsement. It shall not be used in connection with advertisements, product endorsements, or similar material without prior approval of the Board of Directors.

Section 3. All Association Logos

This article shall apply to all Association logos, including, but not limited to: The Professional Operator logo, the IMMERSE logo, and the C2EP logo.

Article IV: Classification and Definition of Communication Tools & Publications

Section 1. Categories

The Association's communication tools and publications shall be grouped into five categories:

- Group A: Books, Manuals, Division, Committee, and Task Force Reports
- Group B: Handbooks and Directories
- Group C: Pamphlets, Brochures, and Folders
- Group D: Periodicals
- Group E: Website and Social Media

Section 2. Group A: Books, Manuals, Division, Committee, and Task Force Reports

Books, manuals, division, committee, and task force reports are publications that contain useful information, practices, and recommendations. These publications may contain general or detailed instructions, descriptive and historical information, or findings and conclusions on one or more subjects. Group A publications may be developed by divisions, committees, task forces, or individuals under the jurisdiction of the Board of Directors. The publications are subject to approval by the Board of Directors. The Board of Directors may also join with other parties to develop and approve Group A publications in accordance with procedures approved by the Board of Directors. Group A publications may be published separately or in other publications of the Association.

Section 3. Group B: Handbooks and Directories

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Handbooks and Directories are collections of interrelated papers, articles, or statistical data published in a single bound volume. Handbooks generally contain material of broad informational value.

Group B publications may be primarily developed for other Association purposes; that is, for presentation at conferences, for publication in periodicals, or for statistical support of studies. They are compiled into a single volume by the staff with such expert outside advice as it may seek. They shall be approved by the Chief Executive Officer.

Group B publications may be published separately or in other publications of the Association. *The Directory* shall not be sold to non-members. Requests by members for additional copies of *The Directory* in addition to those paid for by their annual dues or provided on a complimentary basis may be granted. The member requesting the additional copies shall pay the "regular publication rate" prevailing at the time of the request. Complimentary copies of *The Directory* shall be provided to past Association Officers upon their request.

Section 4. Group C: Pamphlets, Brochures, and Folders

Pamphlets, brochures, and folders are publications that contain material on certification or information on the Association's programs. Group C publications may be developed by the staff with such outside expert advice as may be required. They are approved by the Chief Executive Officer. Group C publications may be published separately or in other publications of the Association.

Section 5. Group D: Periodicals

Periodicals are publications appearing at regular intervals which contain articles on the experiences, activities, and opinions of individuals or organizations, usually in the field of certification. Group D publications may be developed for presentation at the Association meetings or are contributed for use in the periodicals. They shall be approved by the staff with such outside expert advice as it may seek. Group D publications may be published separately or in other publications of the Association.

Section 6. Group E: Website and Social Media

Social media are web-based tools developed to foster communication among various audiences and facilitate interactive dialogues between social media users. Social media tools can be used to engage members, stakeholders, and the general public in Association activities and initiatives. Group E communication tools may be developed by the staff. They are approved by the Chief Executive Officer in accordance with Association *Policies and Procedures*.

Article V: Reprints and Quotations

Section 1. Group A-C Publications

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Group A-C publications shall be copyrighted by the Association and shall not be reproduced by other organizations, without written permission of the Association. Reprints of such documents may be purchased from the Association for distribution as separate pamphlets (with the name and address of the distributing organization imprinted on the cover, if desired). The Association may also, at its discretion, furnish such documents in a form suitable for binding into a publication for another organization, provided that:

- The Association is informed of the nature and purpose of the publication; and it is understood that furnishing the Association's document does not imply permission to reproduce it subsequently.
- Quotations or extracts of reasonable length taken from the Association's publications may be authorized at the Association's discretion. Requests for permission should describe the nature and purpose of the publication in which the quotations or extracts are to appear and should provide an exact copy of every quotation or extract. Permission, if granted, shall be on the following conditions:
 - Each separate quotation or extract shall be identified by the number and date of the publication from which it is taken. For example, "From _____ by permission of Water Professionals International";
 - Each separate quotation or extract shall be reproduced exactly and be checked carefully to ascertain that its sense has not been changed by removal from context. Care shall also be taken to ensure that accompanying material from other sources is not confused with the material quoted from the Association's publication; and
 - A copy of the publication containing the document, or a copy of the publication in which the quotation or extract appears, shall be sent to the Association.

Section 2. Group D Periodicals

Reprints

Separate reprints of articles published in *The Certifier* and other Group D publications are produced exclusively by the Association or its contractual representatives. Permission shall not be given to others to make such separate reprints under any circumstances.

Permission to reprint articles from *The Certifier* and other Group D Publications in recognized periodicals of other publishers may be granted at the Association's discretion, provided that the following conditions are met:

- The author's written approval of the reprinting is obtained and filed with the

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Association.

- The publication requesting reprinting rights agrees to include a credit line, in the following form, on the first page of the article as reprinted: "Reprinted from [name of periodical], Volume ___, Number ___ [issue, year], by permission of Water Professionals International".
- The Association has, on the basis of the author's approval and the publication's agreement to the above requirements, issued a formal letter of approval for the specific article involved.
- A copy of the publication containing the document, or a copy of the publication in which the quotation or extract appears, shall be sent to the Association.
- Quotations.

Material published in *The Certifier* and other publications is copyrighted by the Association. Brief quotations or extracts may be incorporated without permission in articles or reports whose purpose is the advancement of technical knowledge in the certification field; however, appropriate reference shall be made to the source of such quotations. For extensive quotation (in excess of 100-200 words) or for reproduction of illustrations, permission is required.

Quotations or extracts, regardless of length, shall not be used in advertisements or other literature involving commercial products or services without the express written permission of the Association.

Requests for permission shall describe the nature and purpose of the publication in which the quotation or extracts are to appear and shall provide an exact copy of every quotation or extract. The Association reserves the right to define the conditions under which it shall grant permission and to deny permission at its discretion. Requests should be addressed to the Association.

Article VI: WPI Publications

Section 1. Objective and Policy

The editorial objective of WPI publications is to advance the knowledge of certification programs through the publication of timely, accurate, and technically sound information. WPI publications may accept article contributions from any party concerned with certification provided the article meets the general criteria outlined in the preceding objective.

Manuscripts acceptable for publication in WPI publications may have been initially prepared for presentation at the Association's Annual Conference or meeting or may have been written explicitly for WPI publications.

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Section 2. Advertising Policy

Space advertising may be accepted for publication in WPI publications under the following conditions:

- The products and services advertised shall have application to certification.
- The firm for which the advertisement is placed, or its agency, shall not be in arrears in its payments beyond 90 days for any advertising previously published by the Association.
- The firm for which the advertisement is placed shall be reputable, financially sound, and in good standing. The Association reserves the right to verify the credentials of any firm for which advertising is placed.
- The advertisement shall not contain statements that are untrue or unproved. The Association reserves the right to challenge and require validation by the advertiser of any disputable statements made in the advertisement. The Association reserves the right to refuse any advertisement that is not in the best interests of the Association in meeting its objectives. By accepting any advertisement, the Association accepts no responsibility for any statement made therein.
- The firm for which the advertisement is placed shall accept full responsibility, financially and otherwise, for any advertisement that it places in an Association's publication, either directly or by a duly appointed agent.

Classified advertising may be accepted for publication in WPI publications under the following conditions:

- Only employment advertising, unless specifically accepted by the editor and Chief Executive Officer, and professional service listings shall be accepted.
- For employment advertising, no statement that shall violate the requirements of the Federal Fair Employment Practices Act may be included.
- For employment advertising, prepayment shall accompany the order.
- The Association reserves the right to reject any advertisement, which, in its opinion, does not meet any of the foregoing criteria. Acceptance of an advertisement does not in any way constitute approval of the products or services advertised therein by the Association.

Section 3. Procedures for Submitting Articles

Manuscripts must be received at the Association's office, 9400 Plum Drive, Suite 160, Urbandale, Iowa 50322. Or they may be received electronically at communications@gowpi.org no later than the first day of the month to be included in that month's publication.

Section 4. Article Acceptance and Property Rights

All manuscripts (except for pre-reviewed Annual Conference papers) shall be submitted to the editor for final approval or rejection. Judgment shall be based on the overall quality of the article, its relevance to WPI publications' readers, and the degree to which it enlarges the field of knowledge.

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Contributors must submit an assignment and transfer of copyright form granting to the Association copyright in the work. All retained articles shall become the property of the Association. If an article is not published at the end of a reasonable period, an author, at the author's discretion, may request that the article be released to the author for whatever purpose he/she sees fit. Articles published or being held by the Association may not be published elsewhere (in sum or part) without the express written permission of the Association. The Association reserves the right to edit any article for style, grammar, and intelligibility, and to reprint the article in full or in part in any Association publication.

Section 5. Subscriptions

Subscriptions to WPI publications may be provided to non-members at the discretion of the Chief Executive Officer.

Article VII: Mailing List Sales Policy

The Association membership lists may not be purchased. Any person or organization desiring to use the membership lists shall communicate directly with the Chief Executive Officer, describing the exact use for which the lists are required and enclosing a sample of the proposed mailing. The Chief Executive Officer's decision to authorize the use of the lists shall be based on the educational nature of the mailing piece and on whether the interests of the Association are furthered thereby.

Article VIII: Acknowledgments

When any publication is developed or revised by a committee or individual on behalf of the Association, the publication shall contain an acknowledgment of the efforts of the group or individual.

Article IX: Website and Social Media

As a resource for environmental certification information, the Association encourages Certification Program Members, Associate Members, and related organizations to link to WPI's website and social media pages. Links must not suggest Association endorsement or sponsorship of information, services, or products. It should be made clear that any link to the Association is an outside link and that all pages, information, and resources belong to the Association.

The Association reserves the right to request link removal without explanation should the Strategic Engagement Committee or staff observe inappropriate use of a link to the Association's site. The Association may without notice revise this linking policy.

Section 1. Linking to Third Party Websites

The Association includes links to certification program websites in the Certification Contacts section of our website. The Association strives to maintain accurate contact

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information, but changes can be frequent, and we cannot guarantee the availability of any listed website.

Section 2. Requests for Link Inclusion

The Association’s website “Links” section includes industry related websites for public reference. The Association does not endorse services or products on linked sites and is not responsible for the content, views expressed, or sponsorships of third-party sites.

- Organizations may request in writing for the Association to include their website in our “Links” section. Requests will be considered and approved by the Strategic Engagement Committee or staff based on the following criteria:
- The website represents an organization in one of the following industries: water, wastewater, certification, or environmental protection.
- The site is owned by a not-for-profit, government, or other non-commercial organization.
- Generally, the Association will not link individual utilities’ websites, unless specific pages contain information pertinent to Association members.
- The Association will consider linkages to for-profit, commercial sites that also offer resource information valuable to those in the certification profession. The Association reserves the right to refuse linking to a site. Inquiries on the Association’s web linking policy should be directed to communications@gowpi.org.

Article X: Communications Plan

Section 1. Objectives

- To implement strategic communications practices through an approach targeting key Association audiences.
- Share the history and the mission of the Association. Utilize the Association’s influence to educate the public on advancing water quality and integrity through certification.
- Move toward providing a format for our members and volunteers to network and communicate amongst themselves.

Section 2. Target

Key audiences include:

- Members
- Board of Directors

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- Volunteers
- Potential members
- Trainers
- Broader certification community
- Association-certified operators
- Persons seeking state/provincial certification
- General public

Section 3. Communication Delivery

The Association will deliver messages in formats that best speak to our individual audiences with use of the following communication tools:

WPI Print/Digital Media:

- Brochures
- *The Certifier*
- IMMERSE Blog
- Annual Report
- Informational flyers
- Promotional mailings
- Informational mailings
- *The Directory*

Media Relations:

- Magazines
- Journals
- Whitepapers
- Newsletters
- Blog

Electronic Media:

- Public Association website

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- IMMERSE Blog Website
- Secure member section of Association website
- Secure Board section of Association website
- E-mail
- Surveys
- E-Newsletters

Social Media:

- Facebook
- LinkedIn
- Twitter
- YouTube
- Wikipedia
- Blog

Phone Calls:

- Outreach to members
- Member recruitment calls
- Testing client recruitment calls

Personal Interaction:

- Volunteer meetings
- Member meetings
- Innovation in Certification Annual Conference & Trainers Workshop

STRATEGIC ENGAGEMENT COMMITTEE

Article I: Purpose

The Strategic Engagement Committee (SEC) is established to enhance the organization's strategic outreach efforts and foster meaningful connections with stakeholders, including donors, volunteers, members, commissions, and the community at large. The committee's primary focus is to develop and implement strategies that increase engagement, awareness, and support for the Association's mission and programs.

Article II: Committee Roles

The SEC shall consist of the following:

- WPI Director of Certification and Planning who shall serve as committee chair;
- WPI Chair;
- WPI Chair-Elect;
- Chief Executive Officer; and
- Staff/Volunteers selected by committee chair.

Article III: Responsibilities

Section 1. Annual Conference

The duties for the Annual Conference shall extend to the conclusion of the following year's Annual Conference.

In planning the Annual Conference, the SEC shall have the responsibility for:

- Technical program and conference program;
- Call for papers;
- Development and scheduling of workshops;
- Sponsorships;
- Keynote speakers and other special presentations;
- Notification to all persons approved to present;
- Conference logistics; and
- Selection and recommendation of future conference sites to the Board of Directors.

Section 2. Awards Selection

The SEC shall be responsible for recommending recipients for the Harris F. Seidel Lifetime Achievement Award, Certification Program Award, Robert C. McAnespie Outstanding Certification Officer Award, Jess Jones Excellence in Service Award, the

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Dr. Kenneth D. Kerri Excellence in Workforce Development Award, and the Presidents' Award subject to the Board of Directors' ratification.

Selection Procedure

The SEC shall recommend and/or select the awards recipients subject to the Board of Directors ratification. Any SEC member who has been nominated to receive an award shall be recused from any committee deliberations pertaining to such an award.

In the event of unusual situations, such as tie votes or the committee's decision to withhold an award, the Board of Directors reserves the right to review the qualification of nominees and make the final decision on any award.

The awards shall be announced and presented at the Association's Annual Conference.

Section 3. Communications

The SEC shall be responsible for providing directions for the Association publications, particularly to *The Certifier*, *IMMERSE*, and to the Association's website. The Committee will assist the Chief Executive Officer and staff by setting directions on the content and format of all Association publications, by expanding the content of the publications, and by ensuring that Association publications meet the needs of Association members. The Committee will recommend the development of promotional materials and review promotional materials for the Association and advise the Board of Directors on such material.

Where sensitive and confidential information is to be discussed at Communications Committee meetings, non-Directors may be excluded from those discussions.

Section 4. Member Engagement

The SEC may be responsible for identifying and cultivating relationships with key stakeholders, including members, volunteers, community leaders, and partner organizations. The SEC may be responsible for creating and managing a forum to stay connected with members throughout the year in order to foster a sense of community and collaboration through regular communication and engagement activities.

CANADIAN CERTIFICATION COMMITTEE

The Canadian Certification Committee shall maintain the *Canadian Best Practices for Water and Wastewater Operator Certification* and develop additional tools and resources to support the common interests of WPI's Canadian membership. The Canadian Certification Committee is additionally responsible for reviewing standardized exams to ensure proper use of Canadian vernacular.

The Canadian Certification Committee will consist of WPI Canadian members representing their respective Canadian Certification programs, including:

- Committee chair (appointed by the Chief Executive Officer or the WPI Board of Directors).

ANNUAL CONFERENCE

Article I: Annual Conference

Section 1: Board of Directors Responsibility

The Annual Conference of the Association shall be held at a time and place recommended by the SEC and approved by the Board of Directors.

Section 2: Time and Place Selection

The Association shall endeavor to rotate the Annual Conference site among geographical regions.

Section 3: Development of the Annual Conference Program

The SEC shall develop the Annual Conference program in cooperation with staff.

Article II: Regional Meetings or Specialty Conferences and Workshops

Regional meetings or specialty conferences and workshops may be held at such times and places as the Board of Directors approves.

Article III: Issuing Continuing Education Units

The Association supports the use of the Continuing Education Unit (CEU) as the uniform method of measurement in all associations and noncredit continuing education programs. The Association will assign the CEU to its continuing education programs in accordance with the criteria established by the International Association of Continuing Education and Training (IACET).

The Chief Executive Officer is responsible for designating a staff member as the CEU coordinator. Any educational activity offered by the Association will be evaluated by the CEU coordinator to ensure that IACET criteria are met.

WPI AWARDS

Article I: Establishment

Awards may be established by the Board of Directors to recognize activities and accomplishments of the Association's members, volunteers, and stakeholders. Proposals for the establishment of new awards shall be reviewed and approved by the Board of Directors.

Article II: Awards Nominations

Nominations may be made by the members, by the members of the Board of Directors and its committees, by training and/or certification committees of AWWA and WEF and their local Sections or Member Associations, or by similar organizations actively involved in training and/or certification. The SEC may also propose candidates.

Nominations shall be in writing and shall describe the nominee's contributions and/or accomplishments that warrant consideration for the award.

Article III: Specific Awards

The Association may issue the following awards annually. No award needs be presented annually, but only when in the judgment of the SEC and Board of Directors a candidate of appropriate merit has been nominated. Unless otherwise noted, each award is limited to one per year.

Section 1. Harris F. Seidel Lifetime Achievement Award

The Harris F. Seidel Lifetime Achievement Award is the premier award issued by the Association and is presented to an individual in recognition of outstanding lifetime contribution toward advancing the cause of certifying environmental professionals. The recipient need not be an operator or a member of a certification board or committee.

The nomination criteria are:

- The individual shall have contributed through time and effort, innovative and successful approaches, leadership, development of materials, or a combination of any of these.
- The contributions shall be of regional, national, or international scope, and of lasting value in enhancing and verifying the knowledge and performance of environmental professionals resulting in a more highly qualified workforce.

BACKGROUND: Harris Seidel's contributions date back to 1972, the Association's first year. He is a Past-Chair of the Association (1972-73) and a past-president of the

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Water Environment Federation (1963-64). Mr. Seidel previously served on the Iowa Joint Board of Certification and was the Director of Water and Pollution Control for the City of Ames, Iowa from 1954-1991. He continues to serve the Association on a variety of senior and strategic issues, most recently on the Strategic Planning Committee and the Model Standards Task Force.

Section 2. Certification Program Award

The Certification Program Award is presented to a member certifying authority in recognition of outstanding contribution toward establishing or advancing the certification of environmental professionals.

The nomination criteria are:

- The member certifying authority shall have contributed through time and effort, innovative and successful approaches, leadership, development of materials, or a combination of any of these.
- The contributions shall be of state/provincial, regional, national, or international scope, and of lasting value in enhancing and verifying the knowledge and performance of environmental professionals resulting in a more highly qualified workforce.

Section 3. Robert C. McAnespie Outstanding Certification Officer Award

The Robert C. McAnespie Outstanding Certification Officer Award is presented to a member certification officer in recognition of outstanding contribution toward establishing or advancing certification.

The nomination criteria are:

- The certification officer shall have contributed through time and effort, innovative and successful approaches, leadership, development of materials, or a combination of any of these.
- The contributions shall be of lasting value in improved performance by more highly qualified workforce in their program.

BACKGROUND: Robert McAnespie was a wastewater operator certification administrator in Massachusetts from the early 70's through the early 90's and served as WPI Chair in 1988. He was an ardent supporter of the Association and was active in developing early exam development workgroups. He encouraged the Association to be inclusive of those programs offering environmental control certification and was a proponent of the Association fostering collaboration between these programs while developing high-quality certification exams.

Section 4. Jess Jones Excellence in Service Award

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The Jess Jones Excellence in Service Award is presented to a volunteer, or group of volunteers, in recognition of outstanding service to the Association. No recipient need be a member of the Association or an operator or a member of a certification board or committee. The award is limited to two per year.

Each recipient shall have contributed to the Association through time and effort, innovative and successful approaches, leadership, development of materials, or a combination of any of these.

BACKGROUND: Jess Jones retired from the City of Cincinnati Water Works as Assistant Superintendent after 30 years of public service and served as chair of the Association's Distribution Validation & Examination Committee (now called Scheme Committees) for six consecutive years. He was extensively involved in the Association and readily shared his enthusiasm for the Association with others. In 2008, he was recognized for his service and dedication to advancing water quality and integrity with the Association's Excellence in Service Award.

Section 5. Dr. Kenneth D. Kerri Excellence in Workforce Development Award

The Kenneth D. Kerri Excellence in Workforce Development Award is presented to an individual or group who has gone beyond the call of duty to advance the water/wastewater operating profession with the aim of educating, encouraging, and recruiting future generations to pursue the water environment profession.

The recipient shall:

- Be an educator, educational institution, association, state/provincial official, operator, manager, or other person or entity that furthers the career pathway of operators.
- Have contributed through time and effort, innovative and successful approaches, leadership, development of materials, or a combination of any of these.
- Have made contributions that are national or international in scope, and of lasting value in enhancing and verifying the knowledge and performance of environmental professionals and/or building a career path to the water environment profession for future generations.
- Have numerous years of service to the industry and be a demonstrated person or organization of character.

BACKGROUND: Dr. Kenneth D. Kerri was known for a great many things: his founding of California State University, Sacramento's (CSUS) Office of Water Programs in 1972; the nearly 40 years he spent at the University as a beloved professor and mentor; his world-renowned operator and manager training manuals affectionately known as the "Kerri Courses;" his many awards and recognitions,

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including induction into the WEF Fellows Program, and receipt of the Sacramento State Alumni Association's Distinguished Faculty Award; his dedication to furthering the education and certification of operators through his work as WPI's Chair in 1983; and countless other achievements.

Section 6. President's Award

The President's Award is a special award, not to be given every year, that can truly honor individuals who have made a large impact on the organization, including the Chief Executive Officer and WPI staff. The recipient(s) of the President's Award should have:

- Played a critical role in advancing WPI's mission;
- Improved industry standards regarding certification programs and exams;
- Strengthened the foundation of WPI;
- Propelled the profession forward;
- Shown unwavering commitment to their profession and WPI's mission; and
- Left a lasting impact/legacy on the water/wastewater industry.

BACKGROUND: This award was created by Haley Vanness, Director of Certification and Planning, and Paul Bishop, Chief Executive Officer, to recognize members whose contributions have had significant positive impact on the industry. It is only to be given when the SEC and Chief Executive Officer has determined so.

SOCIAL MEDIA POLICY

Article I: Overview

Water Professionals International (hereinafter, “WPI”) recognizes the value of social media as a tool to engage with others about its mission in accordance with these *Policies and Procedures*.

Article II: Applicability of Social Media Policy

This Social Media Policy applies to Board Members, employees, independent contractors, consultants, volunteers, and members of committees (hereinafter collectively referred to as “persons associated with WPI”).

Article III: Definition of “Social Media”

For purposes of this Policy, the term “social media” should be broadly understood to include blogs, wikis, microblogs, message boards, chat rooms, electronic newsletters, online forums, social networking sites, and all other sites and services that permit users to share information with others in a contemporaneous manner.

Article IV: Professional and Personal Use of Social Media

The following principles apply to the professional use of social media on behalf of WPI. The following principles also apply to personal use of social media when referencing WPI, or any issues or conduct concerning WPI.

Article V: General Principles

1. All persons associated with WPI ought to recognize information posted on social media can never truly be erased or hidden.
2. All persons associated with WPI recognize their actions on social media may affect not only their image and reputation, but WPI’s image and reputation, as well.
3. Additionally, certain issues or topics may be sensitive or controversial. All persons associated with WPI, on professional social media accounts, should avoid discussion of such issues or topics to the greatest degree possible.
4. All persons associated with WPI must not publish, post, or release any information that is considered confidential or not for public consumption. All persons associated with WPI should carefully follow the Confidentiality Policy.

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5. If there are questions about whether content or material is considered confidential, all persons associated with WPI should seek advice and counsel from the Chief Executive Officer.
6. Social media content sometimes generates press and media attention. Any press inquiries should be immediately referred to the WPI Chair and the Chief Executive Officer.
7. All persons associated with WPI must obtain appropriate permission before referring to, or posting images of, current or former WPI staff, as well as other stakeholders and the public at large. Additionally, employees should get appropriate permission to use a third party's copyrights, copyrighted material, trademarks, service marks, or other intellectual property.

Article VI: Respectability

All persons associated with WPI must not post material that is inappropriate or harmful to WPI, including their staff, as well as the public at large. Although not an exclusive list, some specific examples of prohibited social media conduct include posting commentary, content, or images that are hate group- or gang-affiliated, defamatory, racist, sexist, ageist, pornographic, proprietary, harassing, libelous, or media that can create a hostile work environment.

Article VII: Disclaimers

If persons associated with WPI publish content which involves work or subjects associated with WPI, they should seek approval from the Chair of the Strategic Engagement Committee or the Chief Executive Officer. Use of disclaimers should be considered.

If persons associated with WPI public content unrelated to WPI on personal social media accounts, the use of disclaimers should be considered. Refer to the example given below.

"This posting is my own individual opinion, and may not represent WPI's positions, strategies, or opinions."

Article VIII: Consequences for Breach of Policy

Any person associated with WPI who breaches this Policy, whether during or after their term of employment or service, is subject to appropriate discipline, including dismissal or other sanctions. Persons associated with WPI recognize that WPI could be irreparably damaged as a result of any breach(es) of this Policy.

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Article IX: Amendments to this Policy

This Social Media Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification including notice this Policy is to be discussed.

ARTIFICIAL INTELLIGENCE (AI) POLICY

Article I: Purpose

Water Professionals International (WPI) is committed to maintaining a safe and secure environment for our staff, members, and stakeholders through the responsible use of Artificial Intelligence (AI) technology. WPI recognizes AI as a tool that has the potential to automate tasks, improve decision-making, and provide valuable insights into our operations. Through these guidelines, WPI aims to ensure that the use of AI systems align with the Association's values, policies, and standards.

Article II: Applicability of Artificial Intelligence Policy

This Artificial Intelligence Policy applies to Board Members, employees, independent contractors, consultants, volunteers, and members of committees (hereinafter collectively referred to as "persons associated with WPI").

Article III: Definitions

- 1. Generative AI.** AI that can learn from and mimic large amounts of data to create new content based on inputs or prompts, such as text, images, music, audio, and videos. Generative AI multi-task and perform tasks such as summarization, Q&A, classification, and more.
- 2. Large Language Model (LLM).** A type of language model notable for its ability to achieve general-purpose language understanding and generation. LLMs are artificial neural networks pre-trained using self-supervised and semi-supervised learning.
- 3. Machine Learning.** A branch of AI that enables computers to learn from data and perform tasks normally requiring human intelligence. Machine learning algorithms use statistical methods to find patterns in data and make predictions or decisions based on inputs or prompts.

Article IV: Security Best Practices

All persons associated with WPI must follow these security best practices when using AI tools:

- *Use of reputable AI tools:* Employees should use only WPI's reputable, approved AI tools. AI tools used by employees must meet our security and data protection standards.
- *Evaluation of AI tools:* The evaluation of new AI tools is the responsibility of the Chief Executive Officer and senior staff. This includes reviewing the tool's security features, terms of service, and privacy policy.

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- *Protection of confidential data:* Employees must not upload or share any personal, proprietary, or protected data without prior approval. This includes data related to employees, clients, or partners.
- *Access control:* Employees must not give access to AI tools outside the organization without prior approval. This includes sharing login credentials or other sensitive information with third parties.
- *Review Output:* Employees must review output for accuracy and relevance before using the results of generative AI. That includes generated natural language and code.
- *Evaluate equity, bias, and trust concerns:* As equity, bias, and trust issues arise with AI tools, it is the responsibility of staff to bring these issues to the Chief Executive Officer and/or senior staff.. Further, it is the responsibility of the Chief Executive Officer to evaluate and make recommendations to the organization on using or refusing to use the AI tool, as appropriate with the policies of WPI organization regarding bias, equity, and inclusion.

Article V: Acceptable Uses

The following details the acceptable use of AI for WPI:

- The generative AI tool use should be limited to business-related purposes and aligned with our organization's standards.
- All assets created using generative AI systems must be professional and respectful. Persons associated with WPI are prohibited from using offensive or abusive language and engaging in any behavior that could be considered discriminatory, harassing, or biased when applying generative techniques.
- Persons associated with WPI should not share any confidential or sensitive information with AI technology, including but not limited to passwords, certificates, personally identifiable information (PII), secrets, and tokens.
- Multi-factor authentication should be in place across all third-party tools and technologies used for generative AI services.
- Generative AI systems must comply with all applicable laws and regulations, including data protection and privacy laws.
- WPI reserves the right to review and monitor all communications shared with generative AI systems, including but not limited to messages, prompts, attachments, and files.

Article VI: Responsibility

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Persons associated with WPI are responsible for ensuring they use AI technology in compliance with this Artificial Intelligence Policy and any other relevant organization policies or procedures.

All persons must be aware of their responsibilities for protecting confidential and sensitive information and take all necessary steps to safeguard the privacy and security of this information when using generative AI technology. Further, they must comply with all applicable laws and regulations, including data protection and privacy laws.

WPI's Chief Executive Officer is responsible for agreeing on and documenting an approved list of AI systems to ensure that only authorized applications of these technology capabilities are applied by the organization.

Article VII: Consequences for Breach of Policy

Any person associated with WPI who breaches this Policy, whether during or after their term of employment or service, is subject to appropriate discipline, including dismissal or other sanctions. Persons associated with WPI recognize that WPI could be irreparably damaged as a result of any breach(es) of this Policy.

Article VIII: Amendments to this Policy

This Artificial Intelligence Policy may be updated periodically to reflect the dynamic nature of the use of AI tools. Changes to this policy will be informed by the potential risks and biases of these tools and updated cybersecurity recommendations.

INTRODUCTION – FINANCE

Financial stewardship is fundamental to the success and sustainability of our nonprofit organization. This section provides a comprehensive framework for managing our financial resources responsibly, transparently, and efficiently. By adhering to these policies and procedures, we ensure that our financial practices align with our mission and demonstrate our commitment to accountability and integrity.

Our financial guidelines cover key areas such as budgeting, accounting, financial reporting, and internal controls. These protocols are designed to safeguard our assets, maintain accurate financial records, and ensure compliance with regulatory requirements.

Budgeting procedures outline the processes for planning and allocating resources, ensuring that we prioritize our programs and initiatives effectively. Accounting policies establish the standards for recording and managing financial transactions, providing a clear and consistent approach to financial management. Financial reporting practices ensure timely and accurate reporting to stakeholders, enhancing transparency and trust.

Internal controls are essential to prevent and detect fraud, protect our financial integrity, and promote ethical behavior. This section also includes guidelines for financial audits, grant management, and fundraising practices, ensuring that all financial activities are conducted with the highest level of accountability.

By following these finance policies and procedures, we uphold our fiduciary responsibilities and strengthen our organization's financial health and sustainability.

FINANCE PROCEDURES

Article I: Dues and Fees

The Board of Directors may issue directives related to establishing fees and prices for Association services and products including, but not limited to:

- Membership dues;
- Publication fees;
- Conference registration fees;
- WPI services; and
- Collection of returned, cancelled, or otherwise uncollectable payments, and fees charged to WPI for such items.

The Chief Executive Officer, in consultation with finance personnel, shall have the authority to make reasonable adjustments as required in applying the pricing policy.

All fees collected by the Association shall be in U.S. funds and drawn on a U.S. financial institution.

Article II: Travel and Operational Expenses

Section 1. Travel Funding

Except as determined otherwise by the Board of Directors, the Association shall provide travel funding as specified below:

- Members of the Board of Directors, staff, or other individuals designated by the WPI Chair and/or Chief Executive Officer to attend meetings, conferences, or other functions authorized by the Board of Directors and/or Chief Executive Officer;
- Commission, committee, and task force members to attend authorized commission, committee, and task force meetings;
- The WPI Chair, WPI Chair-Elect, and WPI Vice Chair to attend the Association's Annual Conference and business meeting; and
- The Chief Executive Officer may authorize payment of travel expenses for subject matter experts or other costs associated with WPI's services and products.

Travel funding for items 3 and 4 shall only be provided in cases where alternative travel funding is not available. Requests for such funding shall be submitted to and received by the Chief Executive Officer no less than four weeks prior to the proposed

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date of travel. The submittal deadline may be extended by the Chief Executive Officer for extenuating circumstances. Provided that sufficient Association travel funding is available, the Chief Executive Officer may authorize the Association to fund the travel.

Section 2. Authorized Travel Expenses

Authorized travel expenses shall include those costs incurred in the use of common carriers from the point of origin to destination and return, which shall include airfare, ground transportation, parking, hotel, meals not provided for, and reasonable miscellaneous costs.

The use of personal vehicles shall be reimbursed at the rate established by the Federal Government on the date(s) of travel, but shall not exceed the cost of coach airfare.

Per Diem shall be reimbursed at the rate established by the Federal Government on the date(s) of travel. In cases where the full daily rate is not applicable, 25 percent of the daily rate shall apply to breakfast, 25 percent to lunch, and 50 percent to dinner.

Costs for variations in routing or mode of travel for the convenience of the traveler shall be borne by the traveler.

If travel funding is subsidized either in whole or in part by others, the Association shall only pay the cost not borne by others.

Additional travel expenses may be paid by the Association if authorized by the Board of Directors, WPI Chair, or the Chief Executive Officer. The Chief Executive Officer may authorize upgraded travel accommodation as appropriate.

Section 3. Air Travel Reservations

Air travel reservations should be made at least four weeks prior to the proposed travel date through the Association's designated travel agent, unless an alternative source provides an equal or less expensive travel arrangement. Travel funding may be revoked by the Chief Executive Officer if air travel reservations are made less than three weeks prior to the proposed travel date and the Chief Executive Officer deems the cost to be excessive, unless:

- An emergency funding request for extenuating circumstances has been approved by the Chief Executive Officer; or
- The traveler reimburses the Association for the difference in cost for the lowest airfare that was available three weeks prior to the proposed travel date, as determined by the Chief Executive Officer.

Section 4. Reimbursement of Expenses

Individuals requesting reimbursement for expenses incurred in connection with authorized travel shall prepare and submit electronically an Association Expense

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Report to the Chief Executive Officer and/or finance personnel for approval and payment. Receipts for all allowable reimbursable expenses shall be sent in a timely matter (per diem does not require receipts). The expense reports of the Chief Executive Officer shall be submitted to the WPI Chair or finance personnel for approval and payment.

Section 5. Grant Funding

Association funds shall normally be used for all travel expenses. Grant funds may be used for travel expenses for the Association officers, staff, and others when justified and with the concurrence of the grant's project director.

Section 6. Operational Expenses

Expenses incurred on behalf of the Association but not related to travel shall be reimbursed, provided such expenses are approved before actual expenditure, unless such expenses are deemed justified by the Chief Executive Officer.

Article III: Required Reserve

The Association shall maintain a *required reserve* equal to the average annual expenditures for the preceding five-year period. Required reserves may consist of cash, financial institution deposits, certificates of deposit, marketable securities at market or face value, or other highly liquid financial instruments. Should the required reserve fall below this amount, the Finance Committee may determine a plan for how it is to be recouped.

Funds held by the Association in excess of the required reserve and required cash on hand (see below) may be invested and/or expended at the discretion of the CEO in consultation with Finance Personnel. Any transactions of these funds will be made in adherence to the Investment Policy.

Article IV: Cash on Hand

The Association shall maintain cash on hand equal to one-sixth the required reserve amount. Cash on hand may include cash, financial institution deposits, marketable securities at market or face value, certificates of deposit with a maturity date of less than two months, and any other financial instruments with a liquidity conversion period of less than two months. Should cash on hand drop below the required amount, the Finance Committee may determine a plan for how it is to be recouped.

Article V: Arrears Policy

Section 1. Certification Program Members

Members whose dues are not paid within 90 days of the start of their membership year shall be suspended, all rights and privileges of membership being withheld from

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them until their dues are fully paid, unless the member has notified the Association that the dues payment is forthcoming. Members in arrears for 180 days, having received due notice, may be referred to the Board of Directors for action, unless the member has notified the Association that the payment is forthcoming.

Members who fail to pay fees charged for materials, publications, or services ordered from the Association within 90 days shall be suspended, all rights and privileges of membership being withheld from them until their fees are fully paid, unless the Association is notified that the payment is forthcoming. Members who fail to pay fees within 180 days, having received due notice, shall automatically be referred to the Chief Executive Officer for action, unless the Association has been notified that the payment is forthcoming. Removal of a member shall be per the *Bylaws*.

Members who have been suspended or expelled for nonpayment of dues and/or fees to the Association shall not be reinstated until the dues and/or fees have been paid, which shall include any penalties and administrative costs incurred by the Association. Other remedies provided by law may also be pursued by the Association.

Section 2. Non-Members

Non-members who fail to pay fees charged for materials, publications, or services ordered from the Association within 60 days shall be suspended from purchasing any additional materials, publications, or services from the Association until payment has been received. Other remedies as provided by law may also be pursued by the Association.

Article VII: Bidding and Contracting Policy

Section 1. Contract Approval and Signature Authority

It is the policy of the Association to grant authority to sign all contracts and leases to the Chief Executive Officer as long as the financial implications of the contract or lease are provided for in the annual budget. The Chief Executive Officer will determine if they should be reviewed by general counsel before signing. Finance personnel will receive and retain an original and/or copy of all contracts, leases, and letters of agreement.

The Chief Executive Officer is authorized to approve all expenditures and reallocate budgeted funds for the Association made from a Board-approved budget. All unbudgeted expenditures exceeding \$50,000 will be approved by the Finance Committee Chair and reported to the Board of Directors. Finance personnel will be advised of all capital purchases.

The Chief Executive Officer is authorized to sign all testing client contracts in accordance with the Board of Directors directives. The Director of Operations and finance personnel will receive a copy of all testing client contracts.

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The Chief Executive Officer and/or their designee is authorized to negotiate and sign all leases and contracts for office and equipment, hotels, consulting and professional services provided funds are available in the budget. The Chief Executive Officer will sign all leases and contracts for future budgets and the finance personnel will be advised of and receive and retain a copy of all contracts and letters of agreement.

Section 2. Bid Requirement

It is the Chief Executive Officer's discretion to require bids for major purchases exceeding \$100,000 to ensure that the Association is receiving the best value for goods and services. This policy applies to all material purchases when the Association has discretion over the vendor chosen.

Professional services, including CPA firms and law firms, will be evaluated periodically or as requested by the Chief Executive Officer, the Finance Committee, or the Board of Directors.

Article VIII: Financial Signature Authority

Overall authority for financial transactions including, but not limited to, check signing, account changes, wires, automated clearing activities, and cash transactions for the Association shall be designated solely to the Chief Executive Officer, WPI Chair, Director of Operations, and finance personnel, except as otherwise provided for in the *Policies and Procedures Manual*. All electronic expenditures shall be reviewed and authorized by the Chief Executive Officer and/or WPI Chair.

Article IX: Duties of Finance Personnel

Section 1. General Duties

Finance personnel shall assist the Chief Executive Officer, the Board of Directors, the Director of Operations, and the Finance Committee in the performance of their duties.

Section 2. Specific Assignments

Finance personnel shall:

- Maintain a list of state and federal reporting requirements for the Chief Executive Officer to monitor that these requirements are being fulfilled.
- Serve as staff liaison to the Finance Committee.
- Work directly with the Director of Operations and Chief Executive Officer to draft and implement testing service agreements and all other contractual agreements as directed by the Chief Executive Officer.
- Provide for the collection and receipt of monies earned by or in any manner due to or received by the Association.

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- Ensure the deposit of all funds of the Association in banks or other places of deposit as the Board of Directors may direct and designate.
- Whenever required by the Board of Directors, render an account showing all transactions and the financial condition of the Association.
- Prepare, or cause to be prepared, a financial statement for each Board of Directors meeting.
- Provide an annual financial report for the membership.

FINANCE COMMITTEE

Article I: Purpose

The Finance Committee shall be responsible for reviewing regular financial reports and monitoring the organization's annual budget. In addition, they should ensure that a professional, independent accountant is selected and approved by the Board of Directors to perform an annual audit of the organization's finances as well as recommend the selection of the auditor, work with the auditor, and respond to the auditor's recommendations. In addition, they will work to determine fair compensation for the Chief Executive Officer.

Article II: Composition

The Finance Committee shall consist of the following:

- Committee chair (appointed by the WPI Chair or Chief Executive Officer and approved by the Board of Directors);
- WPI Chair;
- WPI Chair-Elect;
- WPI Vice Chair;
- Chief Executive Officer; and
- One Board member appointed by the committee chair and approved by the Board of Directors.

Article III: Responsibilities

Section 1: Compensation

The Compensation Committee shall be responsible for ensuring the fair and equitable determination of compensation for the Chief Executive Officer (CEO). The committee is responsible for developing, implementing, and monitoring the policies and procedures related to CEO compensation, ensuring alignment with the organization's mission, goals, and regulatory requirements.

Procedures:

1. Committee Meetings: The Compensation Committee shall meet annually to review and discuss CEO compensation matters. Additional meetings may be called as needed.

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2. Compensation Review Process: The committee shall conduct an annual review of the CEO's performance and compensation. This process includes:
 - Reviewing the CEO's performance against established goals and metrics.
 - Conducting a market analysis to compare the CEO's compensation with industry standards.
 - Developing a compensation package recommendation based on performance evaluation and market analysis.
3. Approval and Implementation: The committee's compensation recommendation shall be submitted to the Board of Directors for approval. Once approved, the compensation package shall be implemented and communicated to the CEO.

Section 2. Financial Management

The Finance Committee shall be responsible for reviewing regular financial reports and monitoring the organization's annual budget. In addition, they should ensure that a professional, independent accountant is selected and approved by the Board of Directors to perform an annual audit of the organization's finances as well as recommend the selection of the auditor, work with the auditor, and respond to the auditor's recommendations.

In addition, the finance committee should:

- Be familiar with financial policies specified in the *Policies and Procedures* manual.
- Develop and maintain the formal financial goals of the Association as directed by the Board.
- Review budgets initially prepared by the finance personnel, help develop appropriate procedures for budget preparations (such as meaningful involvement by program directors), and work on consistency between the budget and the organization's plans.
- Report to the Board any financial irregularities, concerns, and/or opportunities.
- Recommend financial guidelines to the Board (such as establishing a reserve fund or obtaining a line of credit for a specified amount).
- Work with staff to develop financial reports and ensure that reports are accurate and timely.
- Oversee short- and long-term investments.

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- Advise the Chief Executive Officer and other appropriate staff on financial priorities.

COMPENSATION POLICY

Article I: Purposes

Water Professionals International (hereinafter, “WPI”) declares, through this Compensation Policy, that all compensation paid by WPI to individuals or entities must be fair, reasonable, budgeted in advance, not excessive, and based upon a review of comparability data.

Article II: Review and Approval of Compensation

Section 1. Annual review

The Board of Directors (hereinafter “the Board”) shall complete annual written evaluations regarding the performance of all compensated individuals and entities, including asking all compensated individuals and entities for their input on matters of performance and compensation.

Section 2. Chief Executive Officer Determines

The Chief Executive Officer will obtain research, data, and information regarding compensation of individuals. The Chief Executive Officer has sole authority and discretion over staff compensation.

Article III: Comparability Data

Comparability data should include but not be limited to the following:

1. Salary and benefit compensation studies by independent sources;
2. Written job offers for similar positions at similar organizations (such as asset size, geographic location, mission, staff, and services);
3. Documented telephone calls and/or video meetings about similar positions at both similar nonprofit and, when appropriate, similar for-profit organizations; and
4. Information obtained from IRS Form 990 filings of similar organizations.

Article IV: Independence in Setting Compensation

Compensation shall be reviewed and approved by the Chief Executive Officer, provided they do not have a conflict of interest with respect to the compensation arrangement. The Chief Executive Officer has a conflict of interest if they:

1. Benefit from the compensation arrangement;

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2. Receive compensation or other payments subject to the approval of any person or organization benefiting from the compensation arrangement; or
3. Hold any financial interest affected by the compensation arrangement.

Article V: Amendments to this Policy

This Compensation Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification, including notice this Policy is to be discussed.

FINANCIAL MANAGEMENT POLICY

Article I. Purposes

Water Professionals International (hereinafter “WPI”) is committed to using its funds in the most effective and efficient manner possible. WPI must remain accountable to all stakeholders, including Officers, Directors, members of committees, employees, independent contractors, volunteers, and the general public, for proper care of its finances. WPI will provide accurate and complete financial data for both internal and external use.

Article II. General Roles and Responsibilities

1. The Board of Directors is ultimately responsible for WPI’s financial management.
2. The Chief Executive Officer is responsible for the day-to-day financial management of WPI. The Chief Executive Officer is authorized to hire and supervise staff and independent consultants, pay bills, receive funds, and maintain bank accounts.

Article III. Specific Responsibilities of the Chief Executive Officer

The Chief Executive Officer is responsible for the following:

1. Account for donor-restricted and Board of Directors-designated funds separately from general operating funds and clearly define the restrictions applicable to these funds.
2. Limit vendor credit accounts to prudent and necessary levels.
3. Make no contractual commitment for bank loans, corporate credit cards, or for real estate leases or purchases, without specific approval of the Board of Directors.
4. Manage expenses within the parameters of the overall Board of Directors-approved budget and report to the Board on any variances and the reason for these variances.
5. Obtain competitive bids for items or services costing in excess of thirty thousand dollars (\$30,000) that is not pre-approved in the budget. (Note that the Board of Directors may award the bid to any provider and is not required to accept the proposal with the lowest cost).
6. Pay all obligations and file the required reports promptly.

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7. Provide oversight so that the depreciation of capital assets will not exceed five (5) years for furniture and equipment or three (3) years for computer and other technology equipment.
8. Record fixed assets with purchase prices greater than two thousand dollars (\$2,500) as capital assets in accounting records.
9. Report financial results of WPI operations as may be mandated by the Board.
10. Review and approve all program expenditures to verify that they are reasonable, allowable, and properly allocated.
11. Check all invoices for accuracy and approve by signature.

Article IV. Specific Responsibilities of the Board of Directors

WPI shall:

1. Ensure the Board of Directors strictly adheres to both this Policy and to generally accepted accounting practices (commonly known as “GAAP”).
2. Provide adequate training to Directors and employees to enable each person to fulfill their financial oversight role.
3. Review financial reports at each Board of Directors meeting and in a timely fashion whenever financial reports are generated and presented.
4. Ensure all expenditures of federal funds are adequately documented and allowable, that those expenditures are allocable and reasonable according to federal cost principles, and that the organization meets all applicable federal requirements.

Article V. Pre-Approval and Other Restrictions

1. Pre-approval by the Board of Directors is required for expenses in excess of thirty thousand dollars (\$30,000) that are not included in previously approved budgets.
2. The Chief Executive Officer is authorized to sign checks for any amount if approved by the Board.
3. The Chief Executive Officer is authorized to enter contracts as part of budgets or plans.
4. The Finance Chair must approve any use of any cash reserve fund.
5. All disbursements will be supported by adequate documentation such as time sheets for time worked, invoices, and/or purchase requests.

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Article VI. Budget

In order to ensure that planned activities minimize the risk of financial jeopardy, and are consistent with Board of Directors-approved priorities, long-range organization goals, and specific objectives, the Chief Executive Officer will:

1. Submit an operating budget to the Board of Directors in time for reasonable approval by the Board prior to each fiscal year.
2. Use responsible assumptions and reasonable projections to support a general goal of maintaining an unrestricted surplus.

Article VII. Financial Reports

Section 1. Monthly reports.

Financial reports shall be provided to the Board of Directors at all regular meetings. Reports shall include a comparison to the budget.

Section 2. Year-end financial reports.

Year-end financial reports shall be provided to the Board of Directors within one hundred twenty days (120) days of the close of the fiscal year.

Section 3. Notations.

Reference explanations are required for any budget variances of thirty percent (30%) or more.

Section 4. Audit.

An audit shall ideally be conducted by an independent certified public accountant (CPA) biennially. Every year, the Board of Directors shall review all relevant financial records, and make appropriate findings and recommendations for adoption.

Article VIII. Cash Management Security

Section 1. Counting cash.

For all fundraising activities or receipts of cash from events, two (2) people shall count the cash together at the conclusion of the event, or receipt/ticket taking portion of the event, and both shall sign an acknowledgment of the total receipts counted.

Section 2. Deposits.

All cash and checks shall be processed immediately and no later than the fourth business day following receipt; if deposits cannot be made immediately, checks and cash shall be locked in a secure location. For all deposits, a careful record of funds must be made, including the account into which the funds are deposited, purpose of

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deposit, donor (or payor), and amount. Copies or scans of all checks received are encouraged. If possible, deposits should be verified and initialed by another staff member or Director.

Section 3. Cash disbursements.

Cash disbursements or petty cash accounts are permitted.

Article IX. Federal Drawdowns

Drawdowns from the federal government or other funders will be made to cover the amounts that have been expended and not previously vouchered and other amounts that will be paid shortly after draws are received. Reimbursement of federal funds is preferred. However, if advances are required, they will be supported by documented, allowable, and reimbursable costs and will be expended as soon as administratively possible after they are received.

X. Other Accounting Protocols and Security

Section 1. Computer controls.

Computers, laptops, and other electronics used for operations of WPI shall be password-protected with multi-factor authentication and kept in a secure location(s). Passwords should be updated periodically.

Section 2. Reconciling accounts.

All accounts shall be reconciled monthly and reviewed by the Chief Executive Officer.

Section 3. Credit card use.

The Chief Executive Officer authorizes staff to make purchases with the WPI credit card. Staff should also receive a documented fund limit prior to use.

Section 4. Credit card accounts.

All credit card statements shall be reconciled monthly; receipts for all charges, including the name of the person making the charge and the purpose of the charge, are required. If no receipt is available, an explanation of the transaction should accompany the charge if needed.

Section 5. Bank statements/on-line banking access.

Bank accounts will be opened and accessible by the Chair, Chief Executive Officer, Vice President, and Finance Chair. The Chief Executive Officer and Vice President will have access to bank accounts on-line for purposes of monitoring the accounts.

Section 6. Payroll.

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a. Personnel files. Personnel files are to be maintained in a secure location for all employees. Changes in payroll data (pay, benefits, etc.) must be approved by the Chief Executive Officer.

b. Payroll processing. Payroll will be processed by an outside firm with reports sent to the Chief Executive Officer no less than monthly.

c. Tax deposits and returns. Copies of tax deposits and all state and federal payroll returns will be provided to the Chief Executive Officer before the deposits and returns are due.

d. Paycheck deposit. Paychecks are provided via direct deposit.

Section 7. Board and staff fiduciary duty.

It is the duty of the Chief Executive Officer or their designee to sign checks to verify that there are sufficient funds available for payment of the checks before affixing their signature.

Section 8. Financial transactions with insiders.

Direct and necessary expenses, including travel for meetings and other activities related to carrying out responsibilities, shall be reimbursed. In no case shall the Board of Directors borrow funds from any Officer, Director, employee, and/or independent contractor without specific authorization from the Board of Directors following review of the Conflict of Interest Policy.

Section 9. Resignation and termination.

Access to all computers and data may be immediately removed upon resignation or termination.

XI. Asset Protection

In order to ensure that the assets of WPI are adequately protected and maintained, the Chief Executive officer, in consultation with the Board, shall:

1. Avoid actions that would expose WPI, its Officers, Directors, employees, and/or independent contractors (whether individually or collectively), to claims of liability.
2. Insure against theft, casualty, and liability losses to Officers, Directors, employees, and/or independent contractors to levels indicated in consultation with suitable professional advisors.
3. Plan and carry out suitable protection and maintenance of property, building, and equipment.

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4. Protect financial information and intellectual property, whether in paper or electronic form, or both, from unauthorized access, tampering, loss, or significant damage.
5. Receive, process, and disburse funds under controls that are sufficient to maintain reasonable security.
6. Use up-to-date anti-virus protection and anti-spam software.

XII. Gift Acceptance Policy

The Board will review, accept, or decline charitable gifts in accordance with WPI's Gift Acceptance Policy.

XIII. Amendments to this Policy

This Financial Management Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification including notice this Policy is to be discussed.

GIFT ACCEPTANCE POLICY

Article I: Purposes

Water Professionals International (hereinafter “WPI”) solicits current and deferred charitable gifts from individuals, families, corporations, foundations, and government to secure the future growth and mission of WPI. This Gift Acceptance Policy governs the acceptance of charitable gifts by WPI and provides guidance to prospective and actual donors and their professional advisors when making gifts to WPI.

Article II: Governance Committee

Gift Acceptance responsibilities will be handled by the Governance Committee. These responsibilities will include reviewing all gifts proposed to be made to WPI and properly screening, accepting, or rejecting those gifts. Whenever possible, the Committee will seek review and approval of its decisions by the Board of Directors.

Article III: Professional and Ethical Standards

WPI’s work with donors and prospective donors will always be in keeping with the highest professional and ethical standards. Therefore, WPI adheres to two important documents which promote excellence in the field of fundraising.

First, WPI works to follow “The Donor Bill of Rights” developed by the Association of Fundraising Professionals (as well as several other organizations), which is attached as “Exhibit A” to this Gift Acceptance Policy.

Second, WPI strives to follow “Model Standards of Practice for the Charitable Gift Planner,” by the National Association of Gift Planners, which is attached as “Exhibit B” to this Gift Acceptance Policy.

Officers, Directors, employees, independent contractors, volunteers, and indeed all WPI stakeholders (as well as any independent third parties) who solicit charitable gifts are expected to have read and understood these two important documents. Any questions or concerns about these two documents should be directed to the Governance Committee, the Board of Directors, and/or legal counsel.

Article IV: General Policies Relevant to All Gifts

1. In addition to this Gift Acceptance Policy, gifts are subject to the provisions of other policies, including, but not limited to, the Conflict of Interest Policy, Confidentiality Policy, and Fundraising Policy.
2. WPI will urge all prospective donors to seek the assistance of independent personal legal, financial, and tax advisors in matters relating to their gifts and the resulting potential and real consequences.

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3. WPI and its employees and agents are prohibited from directly advising donors about the tax and/or legal consequences of their donations. WPI may not provide advice but only general information.
4. WPI is committed to respecting the privacy of donors. The types of donor information that it collects and maintains include contact information, giving information, information on events attended, publications received, and special requests for program information, information provided by the donor in the form of comments and suggestions.

This information may be shared with the staff, board members, volunteers, and consultants only on a "need-to-know" basis.

Donor information will not be shared with any third party unless permission has been granted.

Article V: Gifts Generally Accepted Without Review

Donors' wishes will be considered to the extent possible, as long as their intended use of funds is in keeping with the purpose of WPI and with the policies and priorities of the organization. There are four (4) types of gifts that will generally be accepted by WPI without review by the Governance Committee.

Section 1. Cash

Cash gifts are acceptable in any form, including by check, money order, credit card, or online.

Section 2. Marketable Securities

Marketable securities (i.e., publicly traded stocks) may be transferred electronically to an account maintained at one or more brokerage firms or delivered physically with the transferor's endorsement or signed stock power (with appropriate signature guarantees) attached. All marketable securities will be sold promptly upon receipt, and the donor should be informed of the same prior to making the gift. In some cases, marketable securities may be restricted, for example, by applicable securities laws or the terms of the proposed gift; in such instances, the decision whether to accept the restricted securities will be made by the Governance Committee.

Section 3. Deferred Compensation/Retirement Plan Beneficiary Designations

WPI may accept gifts designating WPI as a beneficiary of the donor's retirement plans, including, but not limited to, IRAs, 401(k)s, 403(b)s, and other such plans.

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Section 4. Bequests

Donors and supporters of WPI will be encouraged to make bequests to WPI pursuant to wills and trusts. The criteria for the acceptance of the gift or bequest will be the same as otherwise provided in this Policy.

Article VI: Gifts Subject to Prior Review

Other than the four (4) exceptions above, gifts will be reviewed prior to acceptance by the Governance Committee. Examples of gifts subject to prior review include:

1. **Life Insurance.** WPI may accept gifts of life insurance where WPI is named as both beneficiary and irrevocable owner of the insurance policy. The donor must agree to pay, before due, any future premium payments owing on the policy.
2. **Real Estate.** WPI will generally not accept gifts of real estate. In extraordinary circumstances, the Governance Committee may consider a gift of real estate after seeking advice from legal counsel.
3. **Closely Held Securities.** Stock in non-publicly traded companies, such as family businesses and interests in LLPs and LLCs or other ownership forms, are known as “closely held securities.” WPI will generally not accept gifts of closely held securities. In extraordinary circumstances, the Governance Committee may consider a gift of closely held securities after seeking advice from legal counsel.
4. **Tangible Personal Property.** The categories and types of tangible personal property are nearly limitless. The most common types of tangible personal property contributed to charity include, but are scarcely limited to, artwork; jewelry; stamps, coins, and other collectibles; motor vehicles and aircraft; livestock, harvested crops, cut timber, and other agricultural products; and items of business inventory or equipment (excluding ordinary office furniture/supplies). WPI will generally not accept gifts of tangible personal property. In extraordinary circumstances, the Governance Committee may consider a gift of tangible personal property after seeking advice from legal counsel.

Article VII: Unacceptable Gifts

WPI reserves the right to refuse any gift that is not consistent with its mission and policies. Gifts not consistent with WPI’s mission and policies include, but are not limited to, the following:

1. Gifts that may violate any federal, state, or local laws, or other WPI policies;
2. Gifts with unreasonable conditions (e.g., a lien or other encumbrance) or gifts of partial interest in property;
3. Gifts made with the condition the proceeds will be spent by WPI for the personal benefit of a named individual(s);

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4. Gifts made with conditions which are too restrictive in nature; and/or
5. Gifts which could expose WPI to liability.

Article VIII: Use of Legal Counsel

WPI will seek the advice of legal counsel in matters relating to acceptance of gifts when appropriate. Review by counsel is recommended for:

1. Certain gifts, such as closely held stock or closely held stock subject to buy-sell agreements or other restrictions.
2. All transactions governed by contracts or other legal documents. This would include, but not be limited to, gifts of real estate, bargain sales, trusts naming WPI as trustee, or documents obligating WPI to act or refrain from taking any action.
3. All transactions with potential conflicts of interest. These may include, but are certainly not limited to, use of Board Members as sales agents in transactions, and leases of gift property to Officers, Directors, employees, and/or independent contractors.
4. Administration of estates of which WPI is named as a beneficiary.
5. Any other circumstances in which the Governance Committee (or the Board of Directors) believes that use of legal counsel is appropriate.

Article IX: Costs Which Are the Responsibility of the Donor

The cost to secure an appraisal, environmental review, assessment, remediation, or independent legal and/or tax counsel for any gifts proposed to be made to, or for the benefit of WPI, are entirely the donor's responsibility. Potential donors will be advised to have their own legal counsel either to prepare or approve any legal agreements pertaining to any gifts. The donor is responsible for payment of all of their own professional advisors' fees, such as for accountants and attorneys.

Article X: Fees and Commissions

1. WPI does not pay "finder's fees" or commissions to third parties in connection with any gift to WPI.
2. No employee or agent of WPI is or will be compensated in a manner that is dependent on the size or nature of gifts made to WPI by any person.
3. If WPI engages legal counsel, accounting professionals, appraisers, environmental consultants, or any other such professionals, their fees and expenses will be determined by the time they spend engaged with WPI's work and not by reference to any particular gift in connection with which they are retained.

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Article XI. Acknowledgment of Gifts

1. All gifts to WPI will receive acknowledgement from WPI within one (1) week of receipt of the gift, if possible.
2. Acknowledgement of all gifts made to WPI will be in full compliance with current tax and legal requirements.

Article XII. Amendments to this Policy

This Gift Acceptance Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification including notice this Policy is to be discussed.

INVESTMENT POLICY

Article I: Purpose

The Finance Committee shall work within the following objectives and policies governing the investment of the financial assets of the Association.

Article II: Investment Objectives

The primary objective of the investment portfolio is to provide a reasonable degree of security and stability, a stream of current income, and a level of long-term capital appreciation.

Article III: Asset Allocation

Investments should be allocated across broadly defined financial asset and sub asset categories with varying degrees of risk and return.

Investment may be made in equity exchange-traded funds and in fixed income exchange-traded funds. The allocation ratio should not exceed 90 percent equity to 10 percent fixed income.

Investments are to be regularly evaluated and rebalanced as necessary to reach target objectives.

Article IV: Portfolio Restrictions

Investments shall not be made in securities of a hedge fund nature. If an exchanged-traded fund has any significant portion of its portfolio invested in this type of security, it shall not be considered for investment.

No investments shall knowingly be made in which any member of the Board of Directors or the Finance Committee stands to make a financial gain.

Investments shall not be made equity securities of issues for which market quotations are not readily available. At the Finance Committee's discretion, investments received as gifts may be retained even if they do not meet these criteria.

Investments shall not be made in securities for the purpose of exercising control or management.

The Finance Committee retains the right to proscribe any security from its portfolio if it determines that the issuer sells products or services inconsistent with the Association's philosophy and goals.

Unless expressly authorized by the Board of Directors, the portfolio and its managers are prohibited from:

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- Purchasing securities on margin and/or executing short sales;
- Pledging or hypothecating securities, except for loans of securities that are fully collateralized; and
- Purchasing or selling derivative securities.

Article V: Performance for Equity and Exchanged-Traded Fund Investments

The performance goals for the equity exchanged-traded funds portion of the portfolio are to be compared with a blended stock index over a normal market cycle (i.e., 3-7 years) based upon the investment style weightings of the portfolio for that period. Recognized averages, reflective of the current investment styles held in the portfolio, will be used to attain this blended index.

Decisions as to individual fund selection are subject to the discretion of the Finance Committee with the advice of any appropriate investment advisory firm, and subject to usual standards of fiduciary prudence.

Article VI: Performance Goals for Fixed Income Investments

The performance goals for the fixed income portion of the portfolio are to be compared with a blended bond index over a normal market cycle (i.e., 3-7 years) based upon the investment style weightings of the portfolio for that period. Recognized averages, reflective of the current investment styles held in the portfolio, will be used to attain this blended index.

Investment in corporate bonds shall be only in securities rated “BAA” or higher by a recognized independent rating organization. Issues of state or municipal agencies shall not be purchased except in unusual circumstances.

Decisions as to individual fund selection are subject to the discretion of the Finance Committee with the advice of any appropriate investment advisory firm, and subject to usual standards of fiduciary prudence. The average maturity date for the fixed income portion of this portfolio shall not exceed 10 years.

Article VII: Monitoring of Objectives and Results

Performance of the portfolio shall be reviewed at least semi-annually to determine investment performance and the appropriateness of these investment policies.

The Finance Committee and/or investment firm shall also prepare and submit to the Board of Directors an annual report (fiscal year Oct. 1 - Sept. 30) reflecting the above statistics. This report shall include a review of portfolio performance, investment philosophy, future outlook, other related subjects, and any recommendations for changes in the Investment Policy.

FINANCE

Article VIII: Investment Responsibility

Subject to oversight by the Board of Directors, investment management is the responsibility of the Finance Committee and the Chief Executive Officer.

The Finance Committee shall have the authority to employ, subject to the approval of the Board of Directors, one or more qualified and reputable investment advisory firms to assist the Finance Committee with the implementation of this Investment Policy.

All directions to any such investment advisory firms concerning the purchase or sale of specific securities, funds, or other investments, or any other matter relating to the Association's portfolio, must be done in accordance with the Investment Policy. In an emergency event, either the Finance Committee or the Chief Executive Officer may authorize portfolio adjustments.

INTRODUCTION – CREDENTIALING SERVICES

WPI is dedicated to ensuring safe and clean water for communities. Our testing services play a crucial role in identifying and mitigating potential health hazards, ensuring compliance with regulatory standards, and promoting sustainable water management practices.

This section outlines the policies and procedures that govern our testing services, ensuring consistency, accuracy, and integrity in our operations. We aim to provide reliable data and actionable insights to support the health and well-being of the communities we serve. Our approach is rooted in scientific rigor, transparency, and a deep commitment to environmental stewardship.

TESTING PROCEDURES

Article I: Personal Data Policy

The Association may collect biographical and/or demographical data such as sex, grade or education level attained, date of birth, race/ethnic group, or years of operating experience for exam validation and administration, or on the answer sheet for examinations given by the Testing Service. The provision of this information by an examinee shall be entirely voluntary and shall not affect the scoring of the examination.

Article II: Proctoring Policy

All WPI certification exams must be taken under the supervision of an impartial and well-trained proctor. The proctor ensures the credibility of the certification process by administering and monitoring the testing of individuals. Each testing client or their designated test administrator is responsible for selecting and training local proctors to administer WPI exams. National private testing centers must be approved by the Association before they can proctor an WPI exam. The Association may contract test administrators and proctors as independent contractors for Testing Service clients.

If a potential conflict of interest is identified, the testing client is responsible for determining if the individual will be allowed to proctor the certification exam.

To serve as an exam proctor, an individual must:

- Sign, and return to the Association, a form stating that they agree to comply with this policy, the *Instructions for Administering WPI Exams*, and the *Examination Security Policy*
- Avoid disclosing, using, or exploiting confidential Association information and exam content
- Carefully monitor candidates and test room conditions during the exam session
- Ensure that examinees do not receive any assistance while taking the exam; all WPI standardized exams are closed book
- Enforce all certification program and exam procedure rules
- Adhere to high standards of ethical conduct
- Securely store examinations prior to and following administration
- Ensure examinations are not reproduced, copied, photographed or recorded
- Ensure all exam material is collected and accounted for prior to candidates leaving the test room
- Ensure exam material is securely shipped by a traceable service to certification program or the Association within five days of the exam session

CREDENTIALING SERVICES

Article III: Question & Comment Policy

Candidates and Testing Service Clients may submit comments on exam items. Candidate comments may only be submitted at the time of testing using an Association-approved method. Testing Service Clients may submit comments on their current exams to the Association in writing. Comments are used solely for the purpose of future improvement of the Association's item banks.

Article IV: Exam Development Policy

The Association's Testing Service will provide two types of certification exams to our clients: standardized and customized. Clients may use different options for different exams.

Section 1. Standardized Exams

The Association offers sequential standardized exams developed in accordance with psychometrically-sound credentialing industry standards.

Section 2. Customized Exams

Customized exams are defined as all exams that deviate from the standardized exam. Customized exams will be developed according to client specifications. The exams may be created from designated portions of the Association's item banks, the client's item bank, or a combination of the two. Non-current standardized examinations will also be considered customized. WPI does not accept liability for the customized exam content.

Section 3. Testing Restrictions

The Association recommends to testing clients that individuals who are provided access to an WPI certification exam that is offered through their certification program should not be permitted to take the same exam for a period of one year following the date of the most recent access. The one-year restriction does not apply to an exam candidate who failed the exam.

Article V: Examination Security Policy

Maintaining the security of WPI exam material is essential to uphold the integrity of the testing service before, during, or after an examination. Conduct that may violate the security of an examination includes, but is not limited to:

- Theft of portions of, or entire, examination;
- Removing examination material from a test site without authorization;
- Reproducing examination material without authorization;
- Using paid test takers for the purpose of reconstructing an examination;
- Using improperly obtained test questions to prepare persons for examination;
- Cheating during an examination;
- Impersonating an examinee or having an impersonator take an examination; and
- Loss of a shipment of examination books.

CREDENTIALING SERVICES

It is the responsibility of the exam administrators and proctors to aggressively ensure the security of the examination at all times and to immediately report any security breaches to the Association. Examinations must be administered according to the terms provided in *Instructions for Administering WPI Exams*.

A breach in examination security has significant repercussions for the Association, including the costs of replacing questions and developing new exams. The Association reserves the right to pursue damages from a certification program, including remuneration for the costs of replacing compromised questions and developing new exams, arising from security breaches while the examination material was in their possession. Other remedies provided by law may also be pursued by the Association.

Article VI: WPI Exam Review Policy

For security reasons, examination material is not available to review by examinees after taking an exam, unless such review is guaranteed by state law. Where no state law requires review of exams, scored answer sheets and test books are not open to public inspection or subsequent review by the candidate.

Further, the Association requests that any state with a statute guaranteeing candidates the right to an item-by-item review of exams adopt a policy:

1. Requiring that a candidate wait at least one year before having the opportunity to retake an exam; and/or
2. Limiting the number of times that a candidate may retake an exam to three before requiring additional education/experience or permanently being denied certification.

NOTICE:

**THE FOLLOWING PAGES ARE POLICIES THAT
REQUIRE SEPARATE ACKNOWLEDGEMENT.**

**THESE ARE TO BE DISTRIBUTED ALONGSIDE THIS
POLICIES AND PROCEDURES MANUAL.**

**ADDITIONALLY, THEY MAY BE PROVIDED
INDIVIDUALLY IF DESIGNATED TO RECEIVE ANNUAL
REVIEW.**

POLICIES

CODE OF ETHICS

WPI is committed to upholding the highest ethical standards in all aspects of our work. The following outlines the principles that shape our actions and decisions as we serve our community. Each staff member, board member, volunteer, and partner is required to adhere to these principles to ensure integrity, accountability, and impact.

Article I: Commitment to the Public Good

We prioritize the needs and well-being of the communities we serve. Every decision and action we take is rooted in creating positive and lasting impacts on society. We are dedicated to fostering trust by being transparent and responsive in our interactions.

Article II: Advocacy and Empowerment

We respect the essential role nonprofits play in advocating for underserved and underrepresented groups. We actively support the right to raise awareness, lobby for change, and champion causes that promote equity and justice.

Article III: Integrity and Accountability

We uphold the highest standards of honesty and transparency in all our operations. We commit to:

- Accurate and truthful representation of our mission, services, and outcomes.
- Responsible stewardship of resources, ensuring that funds are used effectively to fulfill our mission.
- Regular evaluation of our programs, strategies, and operations to ensure accountability to stakeholders.

Article IV: Embracing Inclusion

We honor the rich diversity of the individuals, cultures, and communities we serve. We actively create an inclusive environment where everyone feels valued, respected, and empowered to contribute. Discrimination, harassment, or exclusion of any kind is not tolerated.

Article V: Striving for Excellence and Professionalism

We are dedicated to delivering exceptional service to nonprofits and community partners. This includes:

- Listening to and respecting the needs of nonprofit practitioners.
- Providing timely, reliable, and high-quality support and resources.
- Continuously improving our skills and knowledge to stay innovative and effective.

POLICIES

Article VI: Innovation

We embrace creativity and forward-thinking approaches to address societal challenges. By fostering a culture of innovation, we aim to develop solutions that bring meaningful change and inspire hope for a better future.

Article VII: Responsible Stewardship

We carefully manage the human, natural, and financial resources entrusted to us. Our stewardship principles include:

- Efficient and ethical use of funds and assets.
- Sustainable practices that protect and respect the environment.
- Recognizing and valuing the time and talents of our team members and volunteers.

Article VIII: Advocating for Sustainability

We are committed to investing in the longevity of the nonprofit sector by:

- Supporting ongoing education and development for staff and volunteers.
- Ensuring fair compensation and benefits to sustain a healthy, motivated workforce.
- Advocating for policies and resources that support the sector's sustainability.

Article IX: Conflict of Interest

We avoid conflicts of interest by ensuring that personal, financial, or professional interests do not compromise our decisions or actions. Any potential conflicts are disclosed promptly, and appropriate steps are taken to address them.

Article X: Transparency

We are open and honest in our communications with stakeholders, ensuring clarity and accuracy in all disclosures. We actively seek feedback and foster dialogue to improve our work and build trust.

Article XI: Compliance with Laws and Regulations

We adhere to all applicable local, state, and federal laws and regulations governing nonprofit organizations. We maintain the highest ethical standards in all legal, financial, and operational matters.

By adhering to this Code of Ethics, we affirm our commitment to serving our mission with integrity, excellence, and responsibility. This Code will be regularly reviewed and updated to ensure its relevance and effectiveness in guiding our organization's work.

[signature page to follow]

POLICIES

CODE OF ETHICS ACKNOWLEDGMENT

I have read the Code of Ethics set forth above and agree to always comply fully with its terms and conditions during my service to Water Professionals International.

I acknowledge and agree that my selection for service to Water Professionals International and the opportunities made available to me by serving Water Professionals International constitute good and valuable consideration for entering into this agreement, the receipt and sufficiency of which I hereby acknowledge.

Signature: _____

Printed Name: _____

Title of Position: _____

Date: _____

POLICIES

CONFIDENTIALITY POLICY

Article I: Purpose

Protection of confidential information is a priority of Water Professionals International (hereinafter, "WPI"). This Confidentiality Policy offers clarity concerning duties to protect confidential information.

Article II: Applicability of Confidentiality Policy

This Confidentiality Policy applies to Officers, Directors, employees, independent contractors, consultants, volunteers, and members of committees, as well as anyone given access to WPI confidential information (hereinafter collectively referred to as "persons associated with WPI").

Article III: Scope of Confidentiality Policy

Information that is generally considered confidential includes, but is not limited to, planning documents; business and legal negotiations; personnel files; donor and prospective donor data; personal information such as home and office addresses, phone numbers, fax numbers, e-mail addresses, financial information (such as salaries, financial institution accounts, or credit cards), birth dates, health status, and social security numbers of persons associated with WPI; and Board of Directors discussions in executive sessions.

Article IV: Specific Confidentiality Provisions

Section 1. Board and committee meetings

On any vote of the Board of Directors, or any vote of a WPI committee, both the numbers of affirmative and negative votes and the individual votes, unless specifically requested by a Director or a committee member to the contrary, shall be kept confidential.

Section 2. Executive sessions

The minutes of Board meetings shall indicate when the Board of Directors goes into executive session but shall not normally reflect any of the topics of discussion that occurs in executive session. However, when the Board of Directors takes an action in executive session that needs to be recorded, the Chair of the Board of Directors will provide any text to be included in the official minutes of the meeting.

Section 3. Personal information

The home and office addresses, telephone numbers, fax numbers, email addresses, and other similar personal information of persons associated with WPI shall be considered confidential, and shall not be discussed with, or disclosed to, any individual or entity. Such discussion or disclosure of personal information may be allowed if either expressly authorized by the person whose information is to be

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discussed or disclosed or there is a legitimate and good faith business reason for doing so, as determined by the Chief Executive Officer.

Section 4. Donors and prospective donors

- a. WPI shall take particular care with information concerning donors and prospective donors.
- b. The home and office addresses, telephone numbers, fax numbers, email addresses, and other such similar personal information, especially including any and all financial information, of donors and prospective donors shall be considered confidential, and shall not be discussed with, or disclosed to, any individual or entity. Such discussion or disclosure of personal information may be allowed if either expressly authorized by the person whose information is to be discussed or disclosed or there is a legitimate and good faith business reason for doing so, as determined by the Board of Directors.
- c. All persons associated with WPI shall adhere to the principle that all donor and prospective donor information created by, or provided to, WPI is the property of WPI and shall not be transferred or utilized except on behalf of WPI.
- d. WPI shall not sell or otherwise make available the names and contact information of its donors to third party individuals or organizations unless the third-party individuals or organizations are working on behalf of WPI.
- e. When a donor requests that a gift be treated as an anonymous gift, the donor's wishes are to be honored to the greatest extent possible.

Article V: Duty of Care

Persons associated with WPI must exercise reasonable care to ensure that unauthorized individuals do not overhear discussion, receive documents, or otherwise gain access to confidential information.

Article VI: Confidentiality Extends Beyond Term of Employment/Service

Persons associated with WPI must understand and agree that during their employment and/or service they are likely to receive confidential information. All persons associated with WPI are required to return any documents or other materials containing confidential information at the time of the termination of employment or expiration of service. The duty to keep confidential information private and protected shall extend after a person's term of employment or service.

Article VII. Consequences for Breach of Confidentiality

Any person associated with WPI who divulges confidential information, whether during or after their term of employment or service, is subject to appropriate discipline, including dismissal or other sanctions (such as appropriate legal action). Persons associated with WPI recognize that WPI has proprietary interests in confidential

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information and that WPI would be irreparably damaged as a result of any disclosure of confidential information.

Article VIII: Amendments to this Policy

This Confidentiality Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification including notice this Policy is to be discussed.

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POLICIES

CONFIDENTIALITY POLICY ACKNOWLEDGMENT

I have read the Confidentiality Policy set forth above and agree to always comply fully with its terms and conditions during and after my service to Water Professionals International. If at any time following the submission of this form, I become aware of any actual or potential breaches of confidentiality, I will promptly notify Water Professionals International in writing.

I acknowledge and agree that my selection for service to Water Professionals International and the opportunities made available to me by serving Water Professionals International constitute good and valuable consideration for entering into this agreement, the receipt and sufficiency of which I hereby acknowledge.

Signature: _____

Printed Name: _____

Title of Position: _____

Date: _____

POLICIES

CONFLICT OF INTEREST POLICY

Article I: Purposes

Water Professionals International (hereinafter, “WPI”) adopts this Conflict of Interest Policy to serve the following purposes:

1. As a nonprofit organization, WPI is accountable to both government agencies and members of the public for proper and responsible use of its resources.
2. Officers, Directors, members of committees, employees, and independent contractors have a duty to act in WPI’s best interests and may not use their positions for their own financial or personal benefit.
3. Conflicts of interest can expose both WPI and affiliated individuals to legal liability if not handled appropriately.
4. Even the appearance of a conflict of interest should be avoided, as it could undermine public support for, and public trust in, WPI.

Article II: Definitions

Section 1. Definition of “Interested Person”

Any Officer, Director, member of a committee, employee, or independent contractor who has a direct or indirect financial interest, as that term is defined directly below, is then an “interested person.”

Section 2. Definition of “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 WPI has a transaction or arrangement;
- (b) A compensation arrangement with WPI or with any individual or entity with which WPI has a transaction or arrangement; and/or
- (c) A potential ownership or investment interest in, or compensation arrangement with, any individual or entity with which WPI is negotiating a transaction or arrangement.

A financial interest is not necessarily a conflict of interest. Under Article III, Section 2 of this Policy, a person who has a financial interest has a conflict of interest only if the Board of Directors decides that a conflict of interest exists.

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Section 3. Definition of “Compensation”

“Compensation” includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

Article III: Process

Section 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 of Directors considering the proposed transaction or arrangement.

Section 2. Procedures for Addressing the Conflict of Interest

- (a) An interested person may make a presentation at a Board of Directors meeting and/or committee meeting, but after the presentation, they shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.
- (b) The Chair of the Board of Directors may, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
- (c) After there has been disclosure of a potential conflict and after gathering any relevant information from the interested person, the Board of Directors shall determine whether there is a conflict of interest. In determining whether a conflict of interest exists, the Board of Directors shall consider whether the potential conflict of interest would cause the transaction or arrangement entered into by WPI to raise questions of bias, inappropriate use of WPI’s assets, or any other impropriety.
- (d) The Board of Directors shall determine whether WPI can obtain with reasonable efforts a more advantageous transaction or arrangement from an individual or entity that would not give rise to a conflict of interest.
- (e) If, under (d) directly above, a more advantageous transaction or arrangement without producing a conflict of interest is not possible, the Board of Directors shall determine by a majority vote of the disinterested Directors whether the transaction or arrangement is in WPI’s best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, the Board of Directors shall make its decision as to whether or not to enter into the transaction or arrangement.

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Section 3. Violations of the Conflict of Interest Policy

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

Article IV: Meeting Minutes

The Board of Directors' meeting minutes shall contain:

1. The name of the person who disclosed or otherwise was found to have a financial interest in connection with an actual or possible conflict of interest;
2. The nature of the financial interest;
3. Any action taken to determine whether a conflict of interest was present and the Board's decision as to whether a conflict of interest in fact existed;
4. The names of the persons who were present for discussions and votes relating to the transaction or arrangement;
5. The content of the discussion, including any alternatives to the proposed transaction or arrangement; and
6. A record of any votes taken in connection with the proceedings.

Article V: Annual Statement

Each Officer, Director, member of a committee, employee, and/or independent contractor shall annually sign a statement which affirms such person has:

1. Received a copy of the Conflict of Interest policy;
2. Read and understood the Policy;
3. Agreed to comply with the Policy; and
4. Understood that WPI is a charitable organization, and to maintain its federal tax exemption, WPI must only engage in activities which accomplish one (1) or more of its tax- exempt purposes.

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Article VI: Periodic Reviews

To ensure WPI 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:

1. Whether compensation arrangements and benefits are reasonable, based on competent survey information, and the result of arm's length bargaining.
2. Whether partnerships, joint ventures, and arrangements with other persons or entities conform to WPI's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes, and do not result in impermissible private benefit or in an excess benefit transaction.
3. Officers, Directors, members of committees, employees, and/or independent contractors shall review, fill in as appropriate, and execute the attached form annually.

Article VII: Use of Outside Experts

To comply with this Conflict of Interest policy, WPI may employ outside experts, such as accountants, lawyers, and other professional advisors. If outside experts are used, their use shall not relieve the Board of Directors of its overall responsibility for ensuring compliance with this Conflict of Interest Policy.

Article VIII: Amendments to this Policy

This Conflict of Interest Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification, including notice this Policy is to be discussed.

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CONFLICT OF INTEREST ACKNOWLEDGMENT AND DISCLOSURE

This statement is made pursuant to the policy of Water Professionals International (“WPI”) that each member of the Board of Directors of WPI, staff or committee, commission, or task force member shall disclose any potential conflict of interest on the part of such individual, or on the part of their immediate family, which may exist in connection with any transaction or proposed transaction to which WPI is or will be a party; and shall disclose any training activities related to the materials in the WPI examinations.

A copy of the Conflict of Interest Policy shall be furnished to each individual who is presently serving WPI or who may hereafter become associated with WPI. Statements of Fiduciary Responsibility that are deemed by the Chief Executive Officer to present a conflict of interest shall be referred to the Board of Directors for possible action. WPI shall maintain in its files a copy of completed Disclosure Statement and Acknowledgment signed by each individual.

I. The following is a list of all organizations which will, or which may be expected to, engage in transactions with WPI in which I or a member of my immediate family have any substantial financial interest (by way of ownership, employment, or otherwise) or in which I act as a director, partner, trustee, or officer:

II. The following is a list and description of all training activities related to the WPI examinations in which I am engaged or expect to be engaged during the term of my service with WPI.

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THIS SECTION MUST BE READ AND COMPLETED

I acknowledge that I have received and read the Conflict of Interest Policy of Water Professionals International. To the best of my knowledge, I do not have any actual, apparent, or potential conflicts of interest, and am not involved in any training activities related to the WPI examinations, which are not listed on the Disclosure Statement above; and I agree to abide by the Conflict of Interest Policy as applicable to me. I understand that it is my responsibility to inform WPI in writing of any change in circumstances relating to the Conflict of Interest Policy.

In the event that any matter comes before a voting body of the Association on which I serve (including the WPI Board of Directors, Certification Commission for Environmental Professionals, and all committees, commissions, and task forces) involving any matter in which I or a member of my immediate family have a substantial financial interest (by way of ownership, employment, or otherwise), or any transaction with any entity in which I act as a director, partner, trustee, or officer, I shall notify the voting body and the Chief Executive Officer of the existence and extent of such interest or capacity, and I shall refrain from voting and from using my personal influences thereon. I shall, of course, make available to the other members of the Board or Certification Commission, as the case may be, any pertinent information in my possession with respect to such matter that may be properly disclosed.

Signature: _____

Printed Name: _____

Title of Position: _____

Date: _____

POLICIES

DOCUMENT RETENTION AND DESTRUCTION POLICY

Article I: Purposes

This Document Retention and Destruction Policy represents the outlook and operations of Water Professionals International (hereinafter “WPI”) regarding the retention and disposal of paper and electronic documents. This Policy ensures that necessary documents are properly protected and maintained and also that documents which are no longer needed by, or are of no value to, WPI are discarded at the appropriate time. Further, this Policy aids those involved with WPI in understanding their obligations in retaining and destroying documents.

WPI’s Officers, Board of Directors, employees, committee members, stakeholders, and even third parties (for example, independent contractors via agreements with WPI) are required to follow this Policy.

Article II: Administration

1. The Chair of the Board of Directors (hereinafter “Chair”) and the Chief Executive Officer are directly in charge of the administration of this Policy and the implementation of procedures to ensure that this Policy is followed. However, the full Board of Directors, when necessary, must also provide advice and direction regarding this Policy.
2. The Chair and Chief Executive Officer are authorized to:
 - a. Make modifications to the record retention schedule (see below) from time to time to ensure that it complies with local, state, and federal laws and includes the appropriate document and record categories for WPI;
 - b. Monitor local, state, and federal laws affecting record retention;
 - c. Annually review the record retention and disposal program; and
 - d. Ensure compliance with this Document Retention and Destruction Policy.

Article III: Record Retention Schedule

1. The following record retention schedule is approved as the initial maintenance, retention, and disposal schedule for both physical and electronic records of WPI.
2. Exceptions or extensions for a longer period will be accommodated if required by particular federal awards or other government grants, or changes in law and regulations.

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Record Retention Schedule

Type of Document	Minimum Requirement
Accounts payable ledgers and schedules	7 years
Audit reports	Permanently
Bank reconciliations	2 years
Bank statements	3 years
Checks (for important payments and purchases)	Permanently
Contracts, mortgages, notes, and leases (expired)	7 years
Contracts (still in effect)	Contract period
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Correspondence (with customers and vendors)	2 years
Deeds, mortgages, and bills of sale	Permanently
Determination letter for income tax exemption	Permanently
Depreciation schedules	Permanently
Duplicate deposit slips	2 years
Employment applications	3 years
Expense analyses/expense distribution schedules	7 years
Year-end financial statements	Permanently

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Insurance records, current accident reports, claims, policies, and related materials (active and expired)	Permanently
Internal audit reports	3 years
Inventory records for products, materials, and supplies	3 years
Invoices (to customers, from vendors)	7 years
Minute books, bylaws, and charter	Permanently
Patents and related papers	Permanently
Payroll records and summaries	7 years
Personnel files (terminated employees)	7 years
Retirement and pension records	Permanently
Tax returns and worksheets	Permanently
Timesheets	7 years
Trademark registrations and copyrights	Permanently
Withholding tax statements	7 years

Article IV: Document Destruction

1. Paper or electronic documents indicated under the terms of the record retention schedule will be maintained by the Chair and Chief Executive Officer at the direction of the full Board of Directors when necessary.
2. All other paper documents, not expressly referred to in the record retention schedule above, will be destroyed after three (3) years.

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3. All other electronic documents, not expressly referred to in the record retention schedule above, will be deleted from all individual computers, databases, networks, and back-up storage after three (3) years.
4. Documentation with personal identifying information must be destroyed in such manner that reasonably protects the personal identifying information contained therein.

Article V: Labeling and Storage

1. All paper files will be labeled by the topic and, if applicable, the date (month, day, and year).
2. All electronic documents will be saved in appropriate folders on the network drive and shall be labeled by the topic and, if applicable, the date (month, day, and year).
3. Paper documents will be stored or archived in WPI's office or secure storage.
4. Archived paper files will be stored in durable and sturdy containers, protected from water, animals, etc., and clearly labeled with topic and date (month, day, and year).
5. Electronic documents will be backed up as deemed reasonable.
6. If documents of similar type and with the same retention and destruction requirements are stored together, said documents will also be labeled with a "destroy after" date to reduce unnecessary repeated review.

Article VI: Review and Purging

Review and purging of files may take place in an ongoing manner but must occur at least every two (2) years in the odd-numbered years and must follow the minimum retention requirements stated above in the record retention schedule. Such review and purging must also occur prior to archival storage of any files.

Article VII: Drafts of Documents

Once the final copy of a document has been completed, the drafts may be recycled or deleted unless previous drafts have value. For those drafts to be determined to be of value, drafts containing comments shall be saved for a minimum of two (2) years, and drafts without comment may be destroyed once the final version is complete.

POLICIES

Article VIII: Suspension of Record Disposal in Event of Litigation or Claims

In the event WPI is served with any subpoena or request for documents, or the Chair and/or Chief Executive Officer become aware of a governmental investigation or audit concerning WPI, or the commencement of any complaint or litigation against or concerning WPI, the Chair and Chief Executive Officer shall inform the Board of Directors and any further disposal of documents shall be suspended until such time as the Board of Directors, with the advice of counsel, determines appropriate steps. The Chair and Chief Executive Officer shall inform all interested persons of any suspension in disposal of documents.

Article IX: Amendments to this Policy

This Document Retention and Destruction Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification including notice this Policy is to be discussed.

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POLICIES

**DOCUMENT RETENTION AND DESTRUCTION POLICY
ACKNOWLEDGMENT**

I have read the Document Retention and Destruction Policy set forth above and agree to always comply fully with its terms and conditions during and after my service to Water Professionals International.

I acknowledge and agree that my selection for service to Water Professionals International and the opportunities made available to me by serving Water Professionals International constitute good and valuable consideration for entering into this agreement, the receipt and sufficiency of which I hereby acknowledge.

Signature: _____

Printed Name: _____

Title of Position: _____

Date: _____

POLICIES

WHISTLEBLOWER POLICY

Article I: Purposes

Water Professionals International (hereinafter, “WPI”) requires all Officers, Directors, members of committees, employees, independent contractors, and volunteers, as well as any other persons associated with WPI (hereinafter collectively referred to as “persons associated with WPI”), to observe the highest standards of business and personal ethics in the conduct of their duties and responsibilities. All persons associated with WPI must practice honesty and integrity in fulfilling responsibilities and complying with all applicable laws, regulations, and WPI policies.

Article II: Reporting Responsibility

This Whistleblower Policy is intended to actively encourage and enable all persons associated with WPI to raise serious concerns internally so that WPI can address and correct alleged inappropriate conduct or actions. It is the responsibility of all persons associated with WPI to report concerns about suspected violations of WPI’s Code of Ethics, and/or suspected violations of laws, regulations, or WPI policies.

Article III: No Retaliation

It is against the values of WPI for anyone to retaliate against any person associated with WPI who in good faith reports about suspected violations of WPI’s Code of Ethics or suspected violations of laws, regulations, and/or WPI policies. Any person associated with WPI who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment and/or service.

Article IV: Reporting Procedure

1. WPI has an open-door policy and encourages persons associated with WPI to share their questions, concerns, suggestions, issues, or complaints (hereinafter collectively referred to as “complaints”) with the Board of Directors.
2. WPI also encourages that complaints be put in writing, including a date (day, month, year) and any ideas for resolution or remediation.
3. WPI further encourages that persons associated with WPI share their complaints first with the Chief Executive Officer and the Chair of the Board of Directors.
4. If a person associated with WPI is not comfortable communicating with WPI’s Chief Executive Officer and Chair of the Board of Directors, or the person believes the Chief Executive Officer and Chair of the Board of Directors is the source of the complaint, or if the person is not satisfied with the Chair of the Board of Directors’ response, individuals may submit their complaint directly to any Director currently seated on the Board of Directors.

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5. If a person associated with WPI is not comfortable communicating with any Director currently seated on the Board of Directors, or the person believes the Directors is/are the source of the concern, or if the person is not satisfied with the Director's or Directors' response, individuals may submit their complaints directly to the full Board of Directors.

Article V: Confidentiality

Complaints will be kept confidential to the greatest extent possible and consistent with the need to conduct an adequate investigation.

Article VI: Handling of Reported Complaints

The Chair of the Board of Directors will notify the person who submits a complaint and acknowledge receipt of the reported complaint. All complaints will be promptly investigated, and appropriate corrective action will be taken, if warranted, by the investigation as quickly as possible.

Article VII: Accounting and Auditing Matters

The Chair of the Board of Directors shall immediately notify the Board of Directors about any complaints regarding accounting practices, internal controls, or auditing, and work together until the matter is resolved.

Article VIII: Acting in Good Faith

Anyone filing a complaint must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation of applicable laws, regulations, Code of Ethics, and/or WPI's policies. 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.

Article IX: Amendments to this Policy

This Whistleblower Policy may be amended, but only by a vote after due deliberation by the Board of Directors at a meeting held with proper notification including notice this Policy is to be discussed.

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POLICIES

WHISTLEBLOWER POLICY ACKNOWLEDGMENT

I have read the Whistleblower Policy set forth above and agree to always comply fully with its terms and conditions during and after my service to Water Professionals International.

I acknowledge and agree that my selection for service to Water Professionals International and the opportunities made available to me by serving Water Professionals International constitute good and valuable consideration for entering into this agreement, the receipt and sufficiency of which I hereby acknowledge.

Signature: _____

Printed Name: _____

Title of Position: _____

Date: _____

APPENDIX

APPENDIX A: CHIEF EXECUTIVE OFFICER JOB DESCRIPTION

POSITION DESCRIPTION

Job Title: Chief Executive Officer
Water Professionals International

Reports to: WPI Board of Directors

Date: June 7, 2008

Objectives:

This position is responsible for managing the Association's staff and daily affairs in order to achieve the association's goals and to provide continued high quality services to its members.

Responsibilities:

1. Assist in the development of the Association's Strategic Plan and be responsible for its implementation.
2. Prepares the agendas, coordinates, attends, records minutes of the Board of Directors Meetings, Certification Commission, and coordinates publication of *The Certifier*.
3. Serves as liaison between the Board and members, volunteer leaders, and staff.
4. Implements policies, procedures, and actions as directed by the Board.
5. In consultation with the Chair of the Finance Committee, prepares and manages the annual budget.
6. Carries out hiring, development, evaluation, and management of the Association's staff.
7. Evaluates and directs all services provided to members.
8. Serves as technical resource for members, staff, and others.
9. Promotes the products and services of the Association through delivering presentations, writing articles, and advertising in appropriate mediums.

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10. Regularly contacts each Board Member outside of Board Meetings.
11. Coordinates Association response to legislation and regulatory action.
12. Contacts legislators and U.S. EPA representatives regarding current legislation impacting certification.
13. Establishes and maintains contact by serving as liaison and facilitator between the Association and other various professional and member environmental organizations such as AWWA, WEF, ASDWA, ACWA, NRWA, etc.
14. Other duties as assigned by the Board through the WPI Chair.

Minimum Qualifications Required:

Bachelor's degree in management, marketing, environmental engineering, environmental sciences, or related field of study with advanced degree or Certified Association Executive (CAE) credential preferred. Minimum of five years technical program management and administrative staff management experience required.

Knowledge, Skills, and Abilities:

1. Management and leadership skills.
2. Organizational skills.
3. Verbal and written communication skills.
4. Computer and Internet skills.
5. Knowledge of the Association's mission, goals, services, and operations.
6. Knowledge of testing principles and practices.
7. Knowledge of water treatment, distribution, collection, and wastewater treatment systems.
8. Knowledge of other environmental associations.
9. Knowledge of contract negotiations.

Measures of Effectiveness:

1. Develop innovative approaches in performing responsibilities and assignments.
2. Complete tasks within appropriate time and budget requirements.
3. Demonstrate professionalism and responsiveness in carrying out member and Board requests.

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4. Create an office atmosphere of coordination, responsiveness, and harmony.
5. Demonstrate fiscal constraints in carrying out administrative activities.
6. Expand the professional reputation of the Association.

Working Environment:

(Current PC, software, and information technology requirements to be inserted when the job is posted)

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APPENDIX B: INTERIM CHIEF EXECUTIVE OFFICER JOB DESCRIPTION

Position Title: Interim Chief Executive Officer

Primary Function: Serves on an interim basis as the Chief Executive Officer of the Association under the general supervision of the Board of Directors through the WPI Chair. Directs and controls all administrative and operational activities and programs in support of the Association's mission, including the strategic plan, personnel, finance, etc.

Responsibilities and Authority: The Interim Chief Executive Officer is charged with the same responsibilities and empowered with the same authority as the Chief Executive Officer (see Appendix A), with the following exceptions:

- Hiring and Firing of Personnel: Any proposed personnel actions, including hiring and firing, salary adjustments, and major changes in assignments and responsibilities among current personnel, must be approved by the Board of Directors prior to implementation.
- Reporting to the Board of Directors: Within 30 days of appointment to the position, the Interim Chief Executive Officer shall provide the Board of Directors with a report on the following:
 - Status and outlook, including potential problems, delays, etc. for current projects
 - Plans for change or deferral of scheduled events or activities
 - Plans for change in assignments and responsibilities among current personnel, if changes are needed
 - Need for assistance or counsel, including:
 - Unbudgeted temporary staff or services
 - Member support
 - Potential for deviations from budget or other unfavorable financial results (in conjunction with the Financial Oversight discussed above).

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APPENDIX C: CEO SUCCESSION TIMELINE IN CASE OF IMMEDIATE DISMISSAL

Timeline	Communications / Notification	Financial Oversight	Legal Oversight	Interim Management	Search Process
24 Hours	WPI Chair notify Staff				
72 Hours	Board of Directors special meeting			Decision of Board of Directors re: Interim Management Resolution to add check signing authorization to interim/new Chief Executive Officer	Review of Chief Executive Officer's contract Review of WPI outstanding obligations pending liabilities, contracts
1st Week	Notification to related organizations	Notification of banks, investment broker, insurance broker Check signing			

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Timeline	Communications / Notification	Financial Oversight	Legal Oversight	Interim Management	Search Process
2nd Week	General membership	Review of monthly bank statement by financial personnel			Search Task Force initiate search process
3rd Week - 4th Week		Budget impact report to the Board of Directors			

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APPENDIX D: CHIEF EXECUTIVE OFFICER EVALUATION FORM

Please score each item from **1 (low) to 5 (high)**, according to the following scale:

- 5 Significantly exceeds expectations:** Superior performance that consistently exceeds expectations. Demonstration of measurable contributions to WPI significantly above what is expected of the CEO.
- 4 Exceeds expectations:** Performance at this level often exceeds established expectations and standards for work, quality, quantity, and timeliness. The CEO exhibits mastery of most dimensions of the field of work performed.
- 3 Meets expectations:** Performance consistently meets and sometimes exceeds expectations. Contributes to WPI to the extent expected of a valuable CEO.
- 2 Needs Improvement:** Performance at this level is minimally capable and below the level expected. Improvement is suggested to meet the expectations and standards of the job.
- 1 Does not meet expectations:** Performance may meet some expectations for the position, but improvement is necessary to move expectation to a satisfactory level.

Section A	Evaluator			Total	Average (divide total by 3)
	1	2	3		
I. Management and Leadership Qualities					
A. Possesses a good grasp of issues affecting the association and the profession.					
B. Provides effective leadership and direction to association staff and volunteers.					
C. Performs functions within scope of responsibility and refers other matters appropriately.					
D. Demonstrates a resourceful, action-oriented approach to management. Seeks out and seizes opportunities. Finds ways to surmount barriers.					
E. Administers and evaluates programs, policies, and personnel effectively. Able to analyze situations and data to address challenges.					
Section Average (Add averages and divide by					

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5)

II. Financial Management

A. Exercises good judgment in managing the financial affairs of the association.						
B. Stresses the importance of non-dues revenue and recommends the adoption of revenue-generating programs and cost-savings measures.						
C. Works closely with the manager of the finance committee to develop a balanced budget.						
D. Monitors current budget and operational data to assure WPI maintains a good financial position.						
E. Keeps the finance committee and board updated throughout the year on any significant deviations from budget through monthly financial statements and notifications.						
Section Average <i>(Add averages and divide by 5)</i>						

III. Board/Member/Staff Relations

A. Helps develop long- and short-range strategic plans/policy and oversees their implementation.						
B. Fosters trust in board/CEO relations. Keeps the board informed, providing appropriate information during and between meetings.						
C. Cultivates an atmosphere that welcomes constructive suggestions and input from association volunteers and staff.						
D. Handles volunteer issues and member concerns in a timely and professional manner.						
E. Communicates effectively, both orally and in writing.						
F. Competently oversees staff. Instills a strong member service orientation in them that creates a positive organizational culture.						
Section Average <i>(Add averages and divide by 6)</i>						

IV. Personal Attributes

A. Demonstrates emotional intelligence. Treats people with courtesy and respect.						
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B. Is a self-starter. Has an appropriate level of drive and energy.					
C. Demonstrates integrity and abides by professional standards of conduct.					
D. Projects an image that reflects positively on the profession and association.					
E. Participates in professional development activities and volunteer service. Is a leader in the association management profession. Has established a strong peer network.					
F. Strives for a healthy work-life balance.					
Section Average <i>(Add averages and divide by 6)</i>					

Section B	Evaluator			Total	Average <i>(divide total by 3)</i>
V. Strategic Initiatives for <INSERT CURRENT YEAR> – Accomplishments/Areas for Improvement	1	2	3		
(List last year's CEO Strategic Initiatives and CEO self-assessment)					
Section Average					

VI. Professional Objectives and Goals for <INSERT NEXT FY YEAR> – to be reviewed and approved by evaluation team and evaluated in August <INSERT NEXT YEAR>

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(List next year's CEO Strategic Initiatives and goals)	Y/N	Y/N	Y/N
	Y/N	Y/N	Y/N
	Y/N	Y/N	Y/N
	Y/N	Y/N	Y/N
	Y/N	Y/N	Y/N
	Y/N	Y/N	Y/N
	Y/N	Y/N	Y/N

VII. What were the CEO's performance highlights in the past year?

CEO'S SELF ASSESSMENT

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VIII. What were the CEO's performance highlights in the past year?

EVALUATORS' ASSESSMENTS

IX. What could have been most improved regarding the CEO's performance in the past year?

CEO'S SELF ASSESSMENT

X. What could have been most improved regarding the CEO's performance in the past year?

EVALUATORS' ASSESSMENTS

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XI. EVALUATOR'S SIGNATURES

WPI Chair-Elect: _____

Date: _____

WPI Past-Chair: _____

Date: _____

XII. CERTIFICATION *Instructions: The CEO and the WPI Chair are required to sign the performance appraisal form. The CEO should be aware that signing this form does not denote agreement with the performance appraisal, only that they have had an opportunity for review and input in the appraisal process. See attached document for CEO's comments.*

CEO: _____

Date: _____

WPI Chair: _____

Date: _____

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APPENDIX E: POSITION STATEMENTS

Article I WPI Position Statement on Global Certification as a Means to Provide Uniform Standards for Education, Experience, and Examination of Certified Water Treatment and Wastewater Treatment Operators

(Approved by the Board of Directors on January 26, 2002)

Many water professionals throughout North America recognized the need for uniform operator certification standards among the states and provinces during the 1950s and 1960s. The rate of adoption of new certification programs and upgrading of existing programs, especially during the 1960s, underscored the acceptance of certification and its underlying concepts. From 1960 to 1970, the number of mandatory certification programs nearly tripled.

Almost all certification programs at that time included a framework for classification of plants and systems graded by size and complexity. Almost all included a framework of education and experience requirements by which operating personnel could qualify for certification grades to match. However, no two programs were the same. An operator desiring to move from one state to another could experience delay and frustration while someone decided whether the operator's Grade B was equivalent to the Grade III he needed to qualify for the new job.

In the conclusion of his report on the 1969 Water Pollution Control Federation's (WPCF) Personnel Advancement Committee (PAC) survey, Heinz Russelmann stated, "The unfortunate aspect lies in the fact that the programs are as diverse as they are numerous. This seriously impairs the value of certification.... The survey demonstrates a critical need for a nation-wide standard of personnel qualification."

Because of the activities of WPI, AWWA, and WPCF during the 1970s, many states and nearly all of the provinces adopted some form of standards that were based on WPI's *Model Act and Regulations* and *WPI's Certification Program Standards*. As a result, states and provinces have developed somewhat similar standards for education, experience, and plant classification and many states, and nearly all of the provinces, are currently using similar multiple choice exams.¹ Consequently, much of the diversity of program standards that existed in the early 1970s has moderated during the past twenty years. This moderation was further enhanced in 1996 by the reauthorization of the Safe Drinking Water Act.

The Safe Drinking Water Act Reauthorization amendments of 1996 required EPA to develop national certification standards (Final Guidelines for the Certification and

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Recertification of the Operators of Community and Nontransient Noncommunity Public Water Systems) that all state drinking water programs must meet or lose grant funding. The Guidelines, published in January 1999, have had the effect of further reducing diversity among state drinking water programs by requiring all states to meet general standards for certification. Similar legislation for wastewater treatment is expected during the Clean Water Act reauthorization.

During the development of the EPA national *Guidelines* for drinking water operator certification, the stakeholders, particularly the states, did not want the *Guidelines* to specify education, experience, or plant classification standards, but preferred that the details of such standards be left up to the states thereby ensuring some autonomy and, consequently, some level of continued diversity of program requirements among the states.

Recently, however, water utilities, particularly those located along the East Coast, have contracted with multi-national water management firms to operate their utilities. These multi-national companies often rotate operators at contracted facilities in different states and, consequently, their operators must be licensed to operate in each of the states. Lack of reciprocity among the states has placed a burden on some of the contract operators, and possibly on the certification programs themselves, often resulting in a delay in issuing their license. Should the contract management trend continue, particularly in other states throughout the country, an increase in the number of reciprocity applications would then be expected resulting in increased support among states for some form of universal certification and reciprocity.

WPI is well positioned to provide the states and provinces with universal certification and reciprocity. For a number of years WPI has offered certification for water and wastewater treatment operators. WPI's voluntary certification was developed to provide a mechanism for reciprocity between states and provinces that recognize WPI's certification. Exam equivalency agreements exist between WPI and a number of states. An operator may obtain an WPI certificate without taking a test if he/she meets WPI's strict education and experience standards and provides proof of a valid operator's license from a state that has an exam equivalency agreement with WPI. Alternatively, an operator may take the WPI standardized exam to obtain the WPI certificate. The WPI certification program can provide, all operators throughout North America, including contract operators, with a means to operate in multiple states, assuming the states recognize the certificate. Broader acceptance of the WPI certification program would alleviate the difficulty that operators face in obtaining multiple state licenses.

In conclusion, WPI believes that it must continue to fulfill one of its chief objectives – to promote uniformity of qualifications, standards and practices in certification among states and provinces and to facilitate the transfer of certification between certifying authorities. To meet this objective, WPI will continue to offer a certification program with standards that exceed most of the state education and experience requirements. Likewise, WPI will continue to offer a series of standardized North American certification

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tests for water and wastewater treatment operators, distribution and collection operators, and laboratory analysts. By following this approach we believe that WPI can promote the reciprocity needed for operators who work throughout North America while allowing individual states/provinces the flexibility needed to properly administer their programs.

¹Sixty (60) mandatory and voluntary certification programs currently use the WPI testing service in North America. Thirty-four (34) mandatory programs for water treatment and 28 for wastewater treatment use either WPI's standardized test or develop their tests from the WPI validated item bank. Canada has achieved full reciprocity among its provinces (except one) because, nationally, they have adopted the WPI standardized exam as well as most of WPI's education, experience, and plant classification standards.

Article II WPI Position Statement on Acceptance of the Continuing Education Unit

(Approved by the Board of Directors on January 26, 2002)

Water and wastewater treatment operator certification program officers throughout North America must make decisions daily about the relevancy and course credit for continuing education courses during their deliberations on whether or not an applicant meets the certification authority's educational standards. Operators who are applying for a license in a specific jurisdiction must provide evidence of course completion to meet education, or continuing education (for license renewals), requirements. Acceptance of continuing education units varies among states with some accepting "Continuing Education Units" (CEUs), some accepting "contact hours," and the remainder accepting various other course credit designations. Such variations in standards inhibit the ease with which operators can move from jurisdiction to jurisdiction and increase the difficulty of course evaluation by the certification officer.

In an attempt to provide a standard for continuing education credit, the International Association for Continuing Education and Training (IACET) created the "Continuing Education Unit" (CEU) to:

- ❑ Provide a standard unit of measure,
- ❑ Quantify continuing adult education and training activities, and
- ❑ Accommodate for the diversity of providers, activities, and purposes in adult education.

The traditional CEU is in the public domain and some training programs affix the CEU appellation to their course certificates; however, they may not follow the IACET strict criteria for CEUs (*Criteria and Guidelines for Quality Continuing Education and Training Programs: The CEU and Other Measurement Units*). Some state certification officers distrust the value of a CEU if there is no accompanying evidence that the course, and consequently the CEU, meets IACET's criteria. Conversely, a CEU that follows IACET's *Criteria and Guidelines* is generally well received by the state certification programs because it represents a high standard of training.

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Water Professionals International supports acceptance of the CEU (that follows IACET's *Criteria and Guidelines*) by individual water/wastewater treatment operator trainers, and by training organizations or associations, as a means to reduce the diversity of credit acceptance among voluntary and mandatory certification programs throughout North America. Acceptance of the CEU, as prescribed above, will ease the burden on the certification officer in their evaluation of acceptable course credit and will facilitate reciprocity across jurisdictions.

Article III ASDWA & WPI Joint Position Statement on Continuing Education Relevancy

(Approved by the Board of Directors on October 11, 2003)

The training and certification of persons operating public water systems assure that individuals who are responsible for protecting public health and the environment have the knowledge to provide an adequate supply of safe potable drinking water to consumers. The United States Environmental Protection Agency recognizes continuing education as an essential element in the training and certification of operators.

Water Professionals International (WPI) and the Association of State Drinking Water Administrators (ASDWA) support both mandatory initial certification and continuing education requirements for license renewal. The Associations recommend that the accreditation and tracking of ongoing training follow a standard process and set of criteria, as determined by the primacy agency.

As part of the continuing education requirements, both organizations believe that it is essential that training be on topics that are directly relevant to the operation, maintenance, or management of a water system and have an influence on water quality, water supply, or public health protection. This includes training that expands an operator's expertise in the technical, managerial, or financial operations of a water system. It may also include other topical areas as determined by the primacy agency which are relevant to the Need-to-Know criteria established for certification examinations.

Article IV Reauthorization of the Clean Water Act Position Statement

Trained and certified operators and laboratory analysts are our nation's most valuable water pollution prevention and control resource. With operators and analysts properly qualified, the public and regulatory agencies can be assured that these employees have the skill, knowledge, ability, experience, and judgment necessary to competently perform their jobs.

The Association strongly supports the establishment of a Federal mandate for training and certification of the environmental work force with implementation of the certification requirement carried out by State certifying authorities. The Association respectfully submits the following language to strengthen the Clean Water Act:

- All regulated facilities, including treatment plants and collection systems, whether public, private, or industrial, used or intended for use by the public or private persons, must at all times be under the direct supervision of properly certified operators.

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- All regulated laboratories, whether public, private, or industrial, used or intended for use by the public or private persons, must at all times be under the direct supervision of properly certified laboratory analysts.
- The U.S. Environmental Protection Agency in conjunction with State certifying authorities, the Association, and other professionals with an interest in operator certification shall develop minimum standards for State certification programs.
- All State certifying authorities shall meet or exceed the minimum federal standards for State certification program.
- The U.S. Environmental Protection Agency shall provide funding for State certification programs which meet or exceed the minimum federal standards.

While establishing federal certification minimum standards, this approach utilizes and optimizes the operator certification administrative framework already present in 49 States. Additionally, this approach maximizes the limited resources available by eliminating duplication of efforts between federal and state agencies.

Although the U.S. Environmental Protection Agency should set federal minimum standards for State certification programs, the responsibility for administration of said programs remains with the States.

Article V Reauthorization of the Resource Conservation and Recovery Act Position Statement

Trained and certified operators and laboratory analysts are our nation's most valuable pollution prevention and control resource. With operators and analysts properly qualified, the public and regulatory agencies can be assured that these employees have the skill, knowledge, ability, experience, and judgment necessary to competently perform their jobs.

The Association strongly supports the establishment of a Federal mandate for training and certification of the environmental work force with implementation of the certification program carried out by State certifying authorities. The Association respectfully submits the following language to strengthen the Resource Conservation and Recovery Act:

- All regulated facilities, whether publicly or privately owned, used or intended for use by the public or private persons, must at all times be under the direct supervision of properly certified operators.
- All regulated laboratories, whether publicly or privately owned, used or intended for use by the public or private persons, must at all times be under the direct supervision of properly certified laboratory analysts.
- The U.S. Environmental Protection Agency in conjunction with State certifying authorities, the Water Professionals International, and other professionals with an interest in operator certification shall develop minimum standards for State certification programs.
- All State certifying authorities shall meet or exceed the minimum federal standards for State certification program.

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- The U.S. Environmental Protection Agency shall provide funding for State certification programs which meet or exceed the minimum federal standards.

Although the U.S. Environmental Protection Agency should set federal minimum standards for State certification programs, the responsibility for administration of said programs remains with the States.