

Policies & Procedures
of the
Texas Association of Licensed Investigators



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CAPITAL PURCHASES AND CAPITALIZATION THRESHOLD POLICY

Adopted: November 8, 2017

Amended:

DEFINITION AND THRESHOLD

Capital purchases comprise furniture, fixtures, equipment, software, leasehold improvements, etc. that meet two criteria:

- 1) a useful life of more than one year, and
- 2) cost more than a certain amount

The Texas Association of Licensed Investigator's Board of Directors has established \$2,500 as the threshold amount for capitalization.

COMPETITIVE BID:

For purchases of goods and services in excess of \$1,000, competitive bids (preferably three, minimum two) should be sought when appropriate,

APPROVAL

The Texas Association of Licensed Investigators Capital Budget is updated each year and should include proposed capital purchases that are anticipated to take place during the year. Those purchases itemized within the approved capital budget are considered approved requiring no additional approval from the Board of Directors.

The Texas Association of Licensed Investigators Capital Budget includes a discretionary fund of \$750 that can be accessed by the President without prior approval, provided resources are available, and with the stipulation that the board be informed of any use of the fund at the next regular board meeting.

Capital purchases not within the approved capital budget, or beyond the scope of the discretionary fund, must be specifically approved by the board of directors. To seek such approval, the President and or the Executive Director must provide the price and rationale for the purchase and assurance of availability of financial resources to support the purchase.

RECORD KEEPING:

The Texas Association of Licensed Investigators shall maintain a list of capital assets showing the date of the acquisition, its cost, and a schedule for depreciation of the asset.

Annual depreciation expense will be included in the organizations books of record.

For each purchase, the treasurer shall evaluate whether the acquisition will have an impact on insurance coverage, determine if present coverage valuations are adequate, and obtain additional coverage if necessary.

ADMINISTRATION

The Texas Association of Licensed Investigator's Board of Directors is responsible for the administration, revision, interpretation and application of this Policy. The Policy will be reviewed annually and revised as needed.

CONFLICT OF INTEREST POLICY

Adopted: November 8, 2017

Amended:

GENERAL BACKGROUND AND PRINCIPLES

The Texas Association of Licensed Investigators (the Organization) President and Members of the Board of Directors (the Board) are encouraged to play active roles within the Investigative community by serving as board members to other organizations or otherwise being involved with a wide spectrum of civic and professional organizations. Thus, from time to time, potential conflicts of interest or the appearance of such conflict will inevitably arise. It is the Organizations policy to deal with such conflicts in the most open and appropriate manner as possible.

A conflict of interest may take various forms but exists when there is a divergence between an individual's private interests and his or her professional obligations to the Organization, such that an independent observer might reasonably question whether the individual's professional actions or decisions might be influenced by considerations of gain, financial or otherwise, for the individual or his or her family.

Potentially conflicting involvements include but are not limited to the following: (1) member of the Board serving as board members of other organizations that contract with or otherwise utilize the Organizations services, (2) immediate family members of the Board serving as board members of other organizations that contract with or otherwise utilize the Organizations services, and/or (3) members of the Board or their immediate family members being employed by or doing business with the Organization. A conflict of interest depends on the situation and not on the character or actions of the individual.

Professional organizations such as the Texas Association of Licensed Investigators must strive so far as possible to be above suspicion. It is not enough that the members of the Board believe that they are operating from the highest motives and that any particular action is innocent, regardless of its appearance. So far as possible, actions and relationships must avoid an appearance of impropriety that raises questions in the minds of the Organizations members. Members of the Board should conduct their affairs so as to avoid or minimize conflicts of interest and respond appropriately when apparent conflicts of interest arise. Actions, or decisions not to act, taken by the Board should be defensible as having been based upon best, unbiased judgement of the individuals involved.

To that end, the purposes of this Conflict of Interest Policy (the Policy) for the Texas Association of Licensed Investigators are as follows:

1. To educate individuals about situations that generates conflicts of interest;
2. To provide means for individuals and the Organization to manage, reduce or eliminate actual or potential conflicts of interest in conducting affairs of the Organization through disclosure and recusal; and
3. To describe prohibited actions.

STATEMENT OF POLICY

No member of the Board of Directors, managers/supervisor, employees or contract individuals of the Organization should have any interest, financial or otherwise, direct or indirect, or engage in any business or transaction of professional activity or incur any obligation of any nature that is in substantial conflict with the proper discharge of their duties in the best interest of the Organization except as otherwise permitted by law.

Prohibited Activities include the following:

No member of the Board, manager/supervisor, employee or contract individual of the Organization may accept employment or engage in any business or professional activity that will require the disclosure of information confidential to the Organization that was gained by reason of that individual's position or authority, except as otherwise permitted by law.

No member of the Board, manager/supervisor, employee or contract individual may disclose information confidential to the Organization that is acquired by that individual in the course of his or her duties, except as otherwise required by law.

No member of the Board, manager/supervisor, employee or contract individual of the Organization may use information confidential to the Organization to further their personal interests, unless such information has previously been made public or as otherwise permitted by law.

No member of the Board, manager/supervisor, employee or contract individual will use or attempt to use their position to secure privileges or exemptions for themselves or others.

No member of the Board, manager/supervisor, employee or contract individual will, by their own conduct, give reasonable basis for the impression that any person can improperly influence them or unduly enjoy their favor in performance of their duties, or that they are affected by kinship, rank, position or influence of any party or person.

Notwithstanding the foregoing and notwithstanding anything to the contrary under applicable state or federal law, the Organization shall not, directly or indirectly, extend or maintain credit, arrange for an extension of credit, or renew an extension of credit, in the form of a personal loan to or for any director or officer of the Organization; provided, however, that the foregoing prohibition concerning loans shall not apply to or otherwise affect any indemnification of the Organization of reasonable expenses (including attorneys' fees) incurred by a present or former director or officer, who was, is or is threatened to be made a named defendant or respondent in a proceeding based on his or her position with the Organization, as provided by Texas law.

MEMBERS OF THE BOARD OF DIRECTORS

DISCLOSURE

The touchstone of this policy is “complete disclosure.” When connections, no matter how remote, of the individual who participates in decisions are fully disclosed, this avoids any misunderstanding or subsequent charges of concealment. This Policy is also intended to apply to those cases where the disclosure of a connection may indicate that the individual involved should abstain from participating in the decision making process.

Each Board member must inform the President and fellow Board members of any position presently held or held in the past, of any investment, and of any business or vocational activity that may result in a possible conflict of interest or bias for or against a particular grantee, action, or policy at the time such grant, action, or policy is under consideration by the Board.

Specifically, in the interest of maintaining the integrity of this Policy, each Board member will file with the Organization (or subcommittee that may be established by the Board) a written statement of all businesses or other organizations of which he or she is an officer, director, trustee, member, owner, (either as a sole proprietor or partner); shareholder, employee or agent, with which the Organization has, or might reasonably in the future, enter into a relationship or a transaction in which the Board member would have conflicting interests. As determined and considered necessary by the President, such disclosure will be given annually.

In addition to the foregoing initial or annual disclosure, each Board member must disclose to the Board any additional situations arising subsequent to the initial or annual disclosure that may raise questions of conflict of interest, which additional disclosure must occur as soon as situations become known to the Board member, including but not limited to the Prohibited Activities described in this Section B above.

ABSTENTION

Once a disclosure of a possible conflict of interest had been made, the remaining Board members will determine whether or not an actual or potential conflict of interest exists. If the existence of an actual or potential conflict is so determined by a majority of the other Board members, the Board member involved will recuse himself or herself and not participate in any discussion of the conflicting issue or organization at any time such matter may come before the Board, other than to answer specific questions that may be raised by other Board members. At such time, the President may request that the conflicted member exit the room during any discussion of the conflicting issue or organization be brought to a vote; the affected Board member will abstain from voting. Notwithstanding anything to the contrary in the foregoing, a Board member of the Organization will abstain from voting on any action that has a direct or indirect financial interest to that Board member or his or her immediate family.

Example 1. An officer or other paid employee of a bank or other financial institution who is also a council member of a city will abstain from voting on the employment, retention or dismissal of the bank or financial institution as the fiscal agent of the city.

Example 2. An attorney serving as a council member of a city will abstain from voting

on employment, reemployment or dismissal of said attorney's law firm as legal counsel for the city, or on the question of continuing or discontinuing (or settlement) a lawsuit or proceeding in which said attorney's law firm is acting as counsel for the city.

Example 3. A council member of the city who is a substantial investor, owner or employee in a business concern that may be affected favorably or adversely by contractual arrangements with the city shall abstain from voting on the motion for or against the contractual arrangements.

RECORDS

Records of all financial disclosures and of all actions taken to resolve actual or potential conflicts of interest will be maintained by the Organizations Secretary until a minimum of three years following the later of (1) date of termination or completion of the issue, matter or grant to which the records relate or (2) the resolution of any organizational action involving the records. Moreover, the official minutes of the Board of Directors will reflect that the requirements of disclosure, abstention and record keeping. Information supplied in accordance with this Policy will be deemed confidential unless public disclosure is required by applicable law.

REPORTING

In cases in which one or more of the Organizations Board members has abstained from voting as the result of a conflict or the appearance thereof, such Board member(s) and issue(s) must be identified in the minutes of the Board meeting at which abstention occurred.

COMPENSATION

While it may be permissible for the Organization to compensate its Board members for services rendered in their capacity as members of the Board, the Organization must make such payments using an objective standard that is consistently applied and in compliance with the Bylaws of the Organization.

ADVISORY COMMITTEES

While it is recognized that the advice of local or regional experts is important to evaluate proposals effectively, the membership of any advisory committees should, to the extent possible, include a majority of members who are not affiliated with organizations that have potentially conflicting or divergent interests with that of the Organization. Thus, to the extent possible, the Organization will avoid placing on any advisory committees any person who may have an interest, financial or as an unpaid officer or board member in any organization that has submitted a proposal to the Organization for any issue or matter beneficial to the applicant organization.

If it develops that a member of an advisory committee has an interest in an organization that is submitting a proposal for any issue or matter beneficial to that organization to be considered by the committee, the member will:

- 1) Be disqualified from participating in any way in the consideration of the proposal by the committee;
- 2) Not communicate further with other members of the committee on the subject of the proposal; and

- 3) Not communicate further with the Organizations staff on the subject, unless staff specifically asks for information about the proposal or issue.

In, after consideration of such a proposal by other members of the advisory committee, they recommend to the Board that a favorable response be issued by the Organization, they or the Organizations staff will clearly inform the Board of the nature of the relationship between the Organization and the disqualified member of the advisory committee at such time.

FRAUD PREVENTION POLICY

Adopted: November 8, 2017

Amended:

GENERAL BACKGROUND

The Texas Association of Licensed Investigators (the Organization) fraud prevention policy (the Policy) is established to facilitate the development of controls which will aid in the detection and prevention of fraud against the Organization. It is the intent of the Organization to promote consistent organizational behavior by providing guidelines and assigning responsibility for the development of controls and conduct of investigations.

SCOPE OF POLICY

The Policy applies to any fraud, or suspected fraud, involving the Organizations Board members, employees, consultants, vendors, contractors and/or any other parties with a business relationship with the Organization.

POLICY

The Organizations Board of Directors and management is responsible for the detection and prevention of fraud, misappropriations and other fiscal wrongdoing. Each Board member and members of management will be familiar with the types of improprieties that might occur within the Organization and be alert for any indication of irregularity.

ACTIONS CONSTITUTING FRAUD

Fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon it to his or her injury.

Also, for the purposes of this Policy, the term “fraud” shall include defalcation, misappropriation, and other fiscal wrongdoings.

The terms “defalcation, misappropriation and other fiscal wrongdoings” refer to, but are not limited to:

- Any dishonest or fraudulent act;
- Forgery or alteration of any document or account belonging to the Organization;
- Forgery or alteration of a check, bank draft or any other financial document;
- Misappropriation of funds, securities, supplies or other assets;
- Impropriety in the handling or reporting of money or financial transactions;
- Profiteering as a result of insider knowledge of Organization activities;
- Disclosing confidential and proprietary information to outside parties;
- Accepting or seeking any benefit prohibited by Chapter 36 of the Texas Penal Code;
- Destruction, removal or inappropriate use of records, furniture, fixtures and equipment and/or

- Any similar or related inappropriate conduct.

If there is any question as to whether an action constitutes fraud, each member shall contact the Board of Directors for guidance.

INVESTIGATION RESULTS

The Board of Directors or their designee had the primary responsibility for the investigation of all suspected fraud as defined in the Policy. The Board of Directors shall have the authority to confer with and/or hire other persons to assist in the investigation as may be reasonable and appropriate. If, in the opinion of the Board of Directors, the investigation substantiates that fraud has occurred, appropriate action shall be taken.

Decisions to prosecute or refer the examination results to the appropriate law enforcement and/or regulatory agencies for independent investigation will be made by the Board of Directors in conjunction with the Organizations legal counsel, as will final decisions on disposition of the case.

CONFIDENTIALITY

The Organization and its Board of Directors will treat all information received as “confidential” to the extent authorized by law, state or federal. Any member who suspects fraud shall notify the Board of Directors immediately, and should not attempt to personally conduct investigations or interviews/interrogations related to any suspected fraudulent act (see **REPORTING PROCEDURE** section below).

AUTHORIZATION FOR INVESTIGATING SUSPECTED FRAUD

Individuals responsible for conducting an investigation shall have:

- Free and unrestricted access to all Organization records and premises; and
- The authority to examine, copy, and/or remove all or any portion of the contents of files, desks, cabinets and other storage facilities including electronic media without prior knowledge or consent of any individual who may use or have custody of any such items or facilities when it is within the scope of the investigation.

REPORTING PROCEDURES

A member who discovers or suspects fraud will contact the Board of Directors immediately. In the event that a Board member is suspected of fraud, the member shall contact the Chairman of the Board or if the Chairman is suspected, the President Elect of the Organization. The Board of Directors will then undertake the necessary investigation or appoint another member to conduct the investigation, with the same rights, powers and duties granted herein to the Board of Directors. The member or other complainant shall submit their statement in writing with their name and signature subscribed to the complaint. All inquiries concerning the activity under investigation from the suspected individual, his or her attorney or representative, or any other inquirer should be directed to the Board of Directors or Chairman as provided herein.

INDIVIDUAL’S RESPONSIBILITY

The reporting individual shall be informed of the following:

- Do not contact the suspected individual in an effort to determine or demand restitution.

- Do not discuss the case, facts, suspicions or allegations with anyone unless specifically asked to do so by the Board of Directors of the Organizations legal counsel.

ADMINISTRATION

The Board of Directors is responsible for the administration, revision, interpretation and application of this Policy. The Policy will be reviewed annually and revised as needed.

GOVERNANCE (“WHISTLEBLOWER”) POLICY

Adopted: November 8, 2017

Amended:

GENERAL BACKGROUND

The Texas Association of Licensed Investigators (the Organization) is committed to lawful and ethical behavior in all of its activities and requires President, Board Members, Executive Director as well as individuals who work and volunteer at the Organization to observe high standards of business and personal ethics and comply with all applicable laws, regulations and policies in the conduct of their duties on behalf of the Organization.

The underlying purpose of this policy (the “Whistleblower Policy”) is to support the Organization’s goals of ethical conduct and legal compliance, and it is intended to enable the Organization’s members or other individuals associated with the Organization to raise concerns within the Organization prior to seeking resolution from external sources. Because the support of all Organization members or associates is necessary to achieve compliance with applicable laws and regulations, it is the responsibility of all Organization members and associates to report food faith suspicions or knowledge of illegal, unethical or inappropriate activity without the fear of retaliation pursuant to this “Whistleblower Policy”.

REPORTING RESPONSIBILTY AND PROCEDURES

If at any time, any member or associate reasonably believes that (1) a concern exists regarding the propriety or legality of any action contemplated to be taken or that has been taken by any member or associate as the action relates to the Organization; (2) action needs to be taken in order for the Organization to be in compliance with the law or ethical standards; and/or (3) some policy, practice or activity of the Organization is improper, illegal or in violation of any clear mandate of public policy, a written complaint must be made and filed by that individual with the Organizations Board of Directors who are responsible to investigate all reported violations or other alternate designated recipient as provided below.

Alternatively, if the Organization member or associate does not believe that the foregoing channel of communication may be used to express his/her concerns, the Organization member or associate should then contact the Executive Director, in accordance with this Policy, Regardless of which authorized recipient receives the complaint, Organization member’s or associate’s written complaint should contain enough information to substantiate the concern and allow an appropriate investigation to begin.

HANDLING OF REPORTED VIOLATIONS; CONFIDENTIALITY

The Board President or the Executive Director, will notify the party making the report and acknowledge receipt of the reported violation or suspected violation with five business days following submission of that party’s written complaint, if the complainant’s identity is known. Efforts will be made to treat all complaints received and acted upon by the authorized recipients as confidential to the maximum extent possible given legal requirements and the need to gather facts, conduct an adequate and effective investigation, and take necessary preventative and/or

corrective action, if such action is warranted by the investigation. While reports of violations or other complaints may be submitted anonymously, such approach is not favored, as anonymity may hinder an investigation of the complaint.

DESIGNATED MANAGER

The Board of Directors is responsible for investigating and resolving all reported complaints and allegations concerning violations. If a complaint is reported directly to the Board of Directors or the Executive Director as alternatively provided herein, such authorized person will be responsible for investigating and resolving all complaints and allegations concerning violations and shall advise the Organizations Board of Directors.

ACCOUNTING AND OTHER MATTERS

The Board of Directors must be advised of and must address all reported concerns or complaints regarding Organization accounting practices, internal controls or auditing. The Board of Directors, as applicable, shall investigate any complaint timely. Decisions to prosecute or refer the examination results to the appropriate law enforcement and/or regulatory agencies for independent investigation will be made by the Board of Directors in conjunction with the Organizations legal counsel, as will final decisions on disposition of the case.

FAITH ACTING AS GOOD

The “Whistleblower Policy” is based on an Organization member or associate who reports as complaint hereunder to be acting in good faith, with reasonable grounds for believing the information disclosed or allegation set forth in his or her complaint is true. The Board of Directors may take disciplinary action against any member of associate who makes any allegation or complaint that is unfounded and or is proven to have been made recklessly, maliciously, or with acknowledge that allegations were false, and such situation will be viewed as a serious disciplinary offense.

RETALIATION PROTECTION

Subject to the terms of this “Whistleblower Policy”, an Organization member or associate who in good faith reports what he or she perceived to be a wrongdoing, violations of law or unethical conduct concerning the Organization will be protected and will not experience retaliation, harassment, discrimination or adverse consequences.

Namely, the Organization will not retaliate against a person who, in good faith, has made a protest or raised a complaint against some practice of the Organization, or of another individual or entity with whom the Organization has a business relationship, on the basis of a reasonable belief that the practice is in violation of either the law or a clear mandate of public policy. Nor will the Organization retaliate against an individual who discloses or threatens to disclose to a Board member of the Organization, any activity, policy or practice of the Organization that the party reasonably believes is on violation of a law or regulation mandated pursuant to the law or is in violation of public policy concerning the health, safety, welfare or protection of the environment. An Organization member or associate who retaliates against another Organization member or associate who has, in good faith, made a complaint or filed a report is subject to discipline up to and including expulsion or comparable consequences.

Notwithstanding anything to the contrary in the foregoing, a member is protected from retaliation only if that member brings the alleged illegal, improper or unethical activity, policy or practice to the attention of the Board of Directors or Executive Director in the manner required herein and provides the authorized recipient with a reasonable opportunity to investigate and prevent or correct the matter.

RECORD RETENTION AND DESTRUCTION POLICY

Adopted: November 8, 2017

Amended:

PURPOSE

The purpose of this Policy is to ensure that necessary records and documents of are adequately protected and maintained and to ensure that records that are no longer needed by the Texas Association of Licensed Investigators or are of no value are discarded at the proper time. This Policy is also for the purpose of aiding the Board of Directors of the Texas Association of Licensed Investigators in understanding their obligations in retaining electronic documents - including e-mail, Web files, text files, sound and movie files, PDF documents, and all Microsoft Office or other formatted files.

POLICY

This Policy represents the Texas Association's policy regarding the retention and disposal of records and the retention and disposal of electronic documents.

ADMINISTRATION

Attached as Appendix A is a Record Retention Schedule that is approved as the initial maintenance, retention and disposal schedule for physical records of the Texas Association of Licensed Investigators and the retention and disposal of electronic documents. The Board of Directors (the "Administrator") is in charge of the administration of this Policy and the implementation of processes and procedures to ensure that the Record Retention Schedule is followed. The Administrator is also authorized to: make modifications to the Record Retention Schedule from time to time to ensure that it is in compliance with local, state and federal laws and includes the appropriate document and record categories for the Texas Association of Licensed Investigators; monitor local, state and federal laws affecting record retention; annually review the record retention and disposal program; and monitor compliance with this Policy.

SUSPENSION OF RECORD DISPOSAL IN THE EVENT OF LITIGATION OR CLAIMS

In the event the Texas Association of Licensed Investigators is served with any subpoena or request for documents or any member becomes aware of a governmental investigation or audit concerning the Texas Association of Licensed Investigators or the commencement of any litigation against or concerning the Texas Association of Licensed Investigators, such member shall inform the Administrator and any further disposal of documents shall be suspended until shall time as the Administrator, with the advice of counsel, determines otherwise. The Administrator shall take such steps as is necessary to promptly inform all staff of any suspension in the further disposal of documents.

APPLICABILITY

This Policy applies to all physical records generated in the course of the Texas Association of Licensed Investigators operation, including both original documents and reproductions. It also applies to the electronic documents described above.

APPENDIX A – RECORD RETENTION SCHEDULE

The Record Retention Schedule is organized as follows:

All records will be kept for a total of 7 years; 2 years in hardcopy, and then scanned into digital format unless otherwise specified below.

SECTION TOPIC

- A. Accounting and Finance
- B. Contracts
- C. Corporate Records
- D. Correspondence and Internal Memoranda
- E. Electronic Documents
- F. Legal Files and Papers
- G. Miscellaneous
- H. Tax Records

A. ACCOUNTING AND FINANCE

| Record Type | Retention Period |
|--|-----------------------------------|
| Accounts Payable ledgers and schedules | 7 years |
| Accounts Receivable ledgers and schedules | 7 years |
| Annual Audit Reports and Financial Statements | Permanent |
| Annual Audit Records, including work papers and other documents that relate to the audit | 7 years after completion of audit |
| Annual Plans and Budgets | 2 years |
| Bank Statements and Canceled Checks | 7 years |
| Employee Expense Reports | 7 years |
| General Ledgers | Permanent |
| Interim Financial Statements | 7 years |
| Notes Receivable ledgers and schedules | 7 years |
| Investment Records | 7 years after sale of investment |
| Credit card records | 2 years |

Credit card record retention and destruction

A credit card may be used to pay for Texas Association of Licensed Investigators for the purchase of goods or services necessary to the operations of the Organization.

All records showing customer credit card number must be locked in a desk drawer or a file cabinet when not in immediate use by staff.

If it is determined that information on a document, which contains credit card information, is necessary for retention beyond 2 years, then the credit card number will be cut out of the document.

B. CONTRACTS

| Record Type | Retention Period |
|--|---|
| Contracts and Related Correspondence (including any proposal that resulted in the contract and all other supportive documentation) | 7 years after expiration or termination |

C. CORPORATE RECORDS

| Record Type | Retention Period |
|--|-------------------------|
| Corporate Records (minute books, signed minutes of the Board and all committees, corporate seals, articles of incorporation, bylaws, annual corporate reports) | Permanent |
| Licenses and Permits | Permanent |

D. CORRESPONDENCE AND INTERNAL MEMORANDA

General Principle: Most correspondence and internal memoranda should be retained for the same period as the document they pertain to or support. For instance, a letter pertaining to a particular contract would be retained as long as the contract (7 years after expiration). It is recommended that records that support a particular project be kept with the project and take on the retention time of that particular project file.

Correspondence or memoranda that do not pertain to documents having a prescribed retention period should generally be discarded sooner. These may be divided into two general categories:

1. Those pertaining to routine matters and having no significant, lasting consequences should be discarded *within two years*. Some examples include:
 - Routine letters and notes that require no acknowledgment or follow-up, such as notes of appreciation, congratulations, letters of transmittal, and plans for meetings.
 - Form letters that require no follow-up.
 - Letters of general inquiry and replies that complete a cycle of correspondence.
 - Letters or complaints requesting specific action that have no further value after changes are made or action taken (such as name or address change).
 - Other letters of inconsequential subject matter or that definitely close correspondence to which no further reference will be necessary.
 - Chronological correspondence files.

Please note that copies of interoffice correspondence and documents where a copy will

be in the originating department file should be read and destroyed, unless that information provides reference to or direction to other documents and must be kept for project traceability.

2. Those pertaining to non-routine matters or having significant lasting consequences should generally be retained permanently.

E. ELECTRONIC DOCUMENTS

1. **Electronic Mail:** Not all email needs to be retained, depending on the subject matter.
 - All e-mail—from internal or external sources—may be deleted after 12 months.
 - Staff will strive to keep all but an insignificant minority of their e-mail related to business issues.
 - Texas Association of Licensed Investigators will archive e-mail for six months after the staff has deleted it, after which time the e-mail will be permanently deleted.
 - All Texas Association of Licensed Investigators business-related email should be downloaded to a service center or user directory on the server.
 - Staff will not store or transfer Texas Association of Licensed Investigators related e-mail on non-work-related computers except as necessary or appropriate for Texas Association of Licensed Investigators purposes.
 - Staff will take care not to send confidential/proprietary Texas Association of Licensed Investigators information to outside sources.
 - Any e-mail staff deems vital to the performance of their job should be copied to the staff's H: drive folder, and printed and stored in the employee's workspace.
2. **Electronic Documents:** including Microsoft Office Suite and PDF files. Retention also depends on the subject matter.
 - **PDF documents** – The length of time that a PDF file should be retained should be based upon the content of the file and the category under the various sections of this policy. The maximum period that a PDF file should be retained is 6 years. PDF files the employee deems vital to the performance of his or her job should be printed and stored in the employee's workspace.
 - **Text/formatted files** - Staff will conduct annual reviews of all text/formatted files (e.g., Microsoft Word documents) and will delete all those they consider unnecessary or outdated. After five years, all text files will be deleted from the network and the staff's desktop/laptop. Text/formatted files the staff deems vital to the performance of their job should be printed and stored in the staff's workspace.

F. LEGAL FILES AND PAPERS

| Record Type | Retention Period |
|---|---|
| Legal Memoranda and Opinions (including all subject matter files) | 7 years after close of matter |
| Litigation Files | 1 year after expiration of appeals or time for filing appeals |
| Court Orders | Permanent |
| Requests for Departure from Records Retention Plan | 10 years |

G. MISCELLANEOUS

| Record Type | Retention Period |
|--|---------------------------------------|
| Policy and Procedures Manuals – Original | Current version with revision history |
| Policy and Procedures Manuals - Copies | Retain current version only |
| Annual Reports | Permanent |

H. TAX RECORDS

General Principle: Donors Forum must keep books of account or records as are sufficient to establish amount of gross income, deductions, credits, or other matters required to be shown in any such return.

These documents and records shall be kept for as long as the contents thereof may become material in the administration of federal, state, and local income, franchise, and property tax laws.

| Record Type | Retention Period |
|--|-------------------------|
| Tax-Exemption Documents and Related Correspondence | Permanent |
| IRS Rulings | Permanent |
| Annual Information Returns - Federal and State | Permanent |
| IRS or other Government Audit Records | Permanent |

Hudgins-Sallee Award Procedure

Adopted:

Amended:

Hudgins-Sallee Award was first established by TALI on October 27, 1995. This is the most distinguished, honorable and noble award that can be presented to a Member of TALI by their peers. This award was established in remembrance of two outstanding deceased TALI members - Virginia Hudgins and David Sallee. Virginia and David passed away within one month of each other in 1995. They both devoted over 20 years of their lives to TALI and both were Honorary Lifetime Members for their years of dedication, service and devotion to TALI. They both served on the TALI Board of Directors and numerous committees. TALI is what it is to-day because of the efforts, devotion and contributions made by members like Virginia and David. Therefore, the Hudgins-Sallee Award was established in their memory to exemplify the high moral and ethical standards by which a professional licensed private investigator adheres to in his/her services to the Texas Association of Licensed Investigators.

NOMINATION CRITERIA to consider when nominating this person for the award:

1. Nominee or Recipient must be a TALI Member and in good standing.
2. Must be an investigator for a minimum of 5 years.
3. Be recommended by peers (other investigators or investigative company)
4. Should have made contribution to TALI, to other investigators, investigation companies, or in our professional field, that promotes, enhances, and instills ethics of what a private investigator should be.
5. Can be an investigator that has received a commendation in the past year from a judge, attorney, legal profession, law enforcement, or public service, etc.
6. Must adhere to the TALI Code of Ethics which are as follows:
 - a. To be professional and to demonstrate integrity and honesty as an investigator and as a member of TALI.
 - b. To give each client a full explanation of the work to be performed, rates to be charged, and reports to be rendered.
 - c. To preserve as confidential all information received in an investigation unless directed otherwise by the client or unless under specific order or legal authority.
 - d. To conduct all aspects of investigation within the bounds of legal, moral, and professional ethics.

- e. To apprise clients against any illegal or unethical activities and to cooperate with law enforcement or other governmental agencies, as required by law.
 - f. To constantly strive for improvements as a professional, to respect the rights of others, and to insure the same from one's employees.
 - g. To loyally support TALI, its aims, purposes, and policies as long as one remains a member.
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- The Chair and Committee solicits recommendations which must be made through the online nomination form. Board Members are not eligible to receive this award. The Committee's selection must be approved by the Board of Directors.
 - Chair procures the award and contacts the recipient's family so they may be in attendance at presentation
 - Presentation is made by the previous year's Recipient and/or Commendations Committee Chair

ELECTION POLICY

Adopted:

Amended:

70 days prior to the member's meeting all advanced nominations must be postmarked and made in writing to the Elections Committee Chairperson in order to appear on the absentee ballot. All nomination MUST be postmarked by this date. The Elections Chair should begin notifying the membership by email and posting on the website well in advance of this date to solicit nominations. No fax or email nominations are to be accepted. Shortly thereafter, the Elections Chair should notify the administrator of all nominations. She or the Elections Chair may notify each nominee of the below deadline to receive campaign materials as a courtesy and the best method to receive them. If a person is nominated for more than one position, the Elections Chair should contact the member and they must choose only one position in which to run. Additionally, the Elections Chair and Executive Director should review the above candidate qualifications and confirm that each candidate is qualified to run. If there is an issue, it should be immediately brought to the attention of the President and the Board. After the slate is determined, they should then notify the President and Board. Also, on this date the Secretary should receive any proposed bylaw changes in written format. They must be postmarked by this date and sent to the SECRETARY of TALI not the Executive Director.

All Candidates will be sent the following information:

“Candidates may make a one-time candidacy announcement on the TALI Elist. Candidates are entitled to the voting list which includes voter's name, email address and company mailing address. The voting list will likely change prior to the election as new members are added and current members change status; an up to date list will be provided prior to the election. Candidates will be allowed to make a brief candidacy speech at the Annual Meeting. Campaign material is permitted but not a requirement. In order for campaign material to be included in the TALI election absentee ballot mailing, it must be delivered to TALI Executive Director 55 days prior to the annual members meeting via email. Campaign material must be a single page of 8 1/2 by 11 sheet of paper, emailed to Active Members no later than 45 days prior to the date of the Annual Convention. For candidates elected to the new board, as well as board members remaining on the board, there will be a mandatory Board Orientation &

Training. As with all board meetings, travel expenses are the responsibility of each individual and will not be reimbursed.”

55 days prior to the member’s meeting all campaign material must be received by the TALI Executive Director. The Executive Director should work with nominees to ensure that they get their material to TALI prior to the deadline.

45 days prior to member’s meeting, the Board shall notify the members, emailed to each member on or before this date. The mailings should include any campaign material and the instructions for electronic voting. This should be emailed to only Active (voting) members. Concurrently, the Board shall email, in the same mailing, any bylaw changes which were received above.

Electronic voting via ElectionBuddy software platform shall commence ten (10) days prior to the first day of the TALI Annual Business Meeting. Voting will be closed at 11:59PM the day prior to the beginning of the TALI Annual Business Meeting. In the event no Annual Business Meeting is scheduled, then the President, with the concurrence of the Board of Directors, shall determine the dates of the commencement and closing for the electronic vote. The President and Elections Chair need to remind all members of this rule and encourage voting. In addition to the above, and at all times, we are to keep a voting list that can be viewed by any active member who requests to do so in writing. We are required to produce that list for inspection within 2 days of any written request from an active member or his representative.

Campaign Policy:

- The Elections Committee holds full responsibility for the integrity of the Elections Process.
- The Elections Committee consists of one Chair, one Liaison and three Members in good standing.
- Candidates may make a one-time announcement on the TALI ListServ.
- Social Media, electronic mail, hard copy correspondence, etc. are not restricted but must be in compliance with the TALI Code of Ethics.

Any Candidate found to be in violation of this policy for the first time will be issued a stern written and verbal warning. If there is a second violation, the Elections Committee has the power to potentially disqualify the Candidate by committee vote.