NOTE: THIS WAS PUT TOGETHER IN 2009 AND UPDATED IN 2012. AT THE TIME, THE ORGANIZATION’S ATTORNEY FELT IT WAS A GOOD DOCUMENT. ANYONE WANTING TO DUPLICATE THIS SHOULD MAKE SURE THAT LAWS HAVEN’T CHANGED. AND, THIS ISN’T LEGAL ADVICE – IT’S JUST A GUIDE.

THIS IS AN ORGANIZATION THAT OWNS A FACILITY, WORKS WITH KIDS, AND HAS A LIQUOR LICENSE SO MUCH MAY NOT BE APPLICABLE TO ALL ORGANIZATIONS.

**XXXXX ORGANIZATION**

**“ONE BOOK” DIRECTORY**

**Legal Documents, Licenses, Policies and Procedures**

**Adopted by the Board on November 18, 2009**

**Updated April 26, 2012**

**Updated February 1, 2013**

This book includes Board legal documents, licenses, policies; and related procedures;*.*

Some of the contents are in direct response to federal law, others were considered prudent by groups like the Center for Nonprofit Management at the time that the documents were created.

Its intents are:

* For everyone to be able to locate key **document**s, annual certificates, etc., without chaos.
* For the board to understand what **policies** it has adopted, in order to govern responsibly. Policies are shaded below and are on colored paper.
* For the staff to know the framework within which they design **procedures**.
* For XXX ORGANIZATION to be passed from one generation of board and staff members as smoothly as possible, without “reinventing the wheel”

 Date attained,

 adopted,

 amended or

 reviewed Notes/detail

|  |  |  |
| --- | --- | --- |
|  CONTENTS |   | This serves as both the Table of Contents of this book and as a commitment to maintain the contents and the currency of the policies,procedures and documents listed. |
| Preface |  |  |
| 1. Template for policies
 |  |  |
| 1. When a change is made…
 |  |  |
| 1. Title page
 |  |  |
| 1. Introduction
 |  |  |
| 1. Table of Contents
 |  |  |
| Section A: People,Dates,Brochure |  |  |
| 1. Current board and staff
 |  |  |
| 1. Current committees
 |  |  |
| 1. Standing meeting dates
 |  |  |
| 1. Current xxx brochure
 |  |  |
| Section B:Foundational, Federal, State, City, Internal Documents; Insurance |  |  |
| 1. History
 | 2011 |  |
| 1. Articles of incorporation
 | 1/19/84 |  |
| **FEDERAL:** |  |  |
| 1. FEIN number
 |  |  |
| 1. IRS determination letter
 | 8/30/845/2011 | Prudent to update every 5 years |
| 1. Audits & audit committee policy
 | 6/0811/18/09 | Responds to Sarbanes-Oxley law |
| 1. Document Retention policy
 | 6/18/0811/18/094/16/12 | Responds to Sarbanes-Oxley law |
| 1. Whistleblowing policy
 | 6/18/08 | Responds to Sarbanes-Oxley law |
| 1. Nondiscrimination Policy
 | 6/18/0811/18/09 |  |
| 1. Accessibility Policy
 | 11/18/09 |  |
| 1. Drug & Alcohol-free Workplace Policy
 | 11/18/09 |  |
| 1. Sexual & Other Unlawful Harassment Policy
 | 11/18/09 |  |
| 1. Most Recent 990 Filing
 | 2011 | 990 should be filed in May.. Must be accepted by the board so is noted here as a policy. |
| 1. Dun & Bradstreet Number (DUNS)
 |  |  |
| **STATE:** |  |  |
| 1. Tradename registration and DBA
 |  | XXX is our officlal DBA |
| 1. Annual filing
 | 4/1/12 |  |
| 1. Certificate of good standing
 | 4/17/12 | Received when annual filing is done |
| 1. Certificate of registration
 | Good thru 8/15/12 | Received when annual Charitable Solicitation filing Is done |
| 1. State sales exemption certificate
 |  |  |
| 1. State sales tax license
 | Good thru 12/31/13 |  |
| 1. State alcoholic beverage license
 | Good thru 11/5/12 |  |
| 1. Taxes & record-keeping policy
 | 4/26/12 | We may not have to pay UBIT & property tax but there’s precedent for nonprofits getting hit with these. Need to be prepared. |
| 1. Elevator inspection certificate
 | Good thru 4/30/12 |  |
| **GUNNISON:** |  |  |
| 1. City sales tax license
 |  |  |
| 1. City liquor license
 | Good thru 11/5/12 |  |
| 1. Compliance with liquor law policy
 | 4/26/12 |  |
| **XXX Internal:** |  |  |
| 1. By-Laws
 | 3/3/8412/13/0612/16/094/26/12 | Includes:* Indemnification
* election. elimination
* conflict of interest
* general duties
* quorum
* terms
* standing committees
* special meetings
* how committees are created
* member compensation
 |
| 1. Mission, Vision, Values
 | 12/16/12 |  |
| 1. Meeting and Records Policy
 | 11/18/09 |  |
| 1. Policy Designating Executive Director as Executive Secretary
 | 9/08 | Many grantors require the “Executive Secretary” to sign legal documents. |
| 1. Electronic Voting Policy
 | 9/08 |  |
| 1. Agenda Template
 | 11/2012 |  |
| 1. Minutes Template
 | 11/18/09 |   |
| 1. Directors & Officers Insurance
 | Good thru 11/30/12 |  |
| 1. Liability insurance
 | Good thru 12/16/12 |  |
| 1. Workers Comp insurance
 | Good thru 8/31/12 |  |
| 1. Most recent annual report
 | 2012 | Listed as “policy” because must be accepted by Board |
| **Section C:****Board** |  |  |
| 1. Conflict of Interest policy
 | 4/8/084/26/12 |  |
| 1. Conflict of Interest disclosure form
 | 4/8/08 | Signed annually |
| 1. Ethics policy
 | 4/0811/18/09 |  |
| 1. Confidentiality policy
 | 4/0811/18/094/26/12 |  |
| 1. Board responsibilities policy
 | 9/0811/18/092/9/12 |  |
| 1. Board member pledge

  | 9/0811/18/092/9/12 | Signed annually |
| 1. Board self-evaluation policy
 | 11/18/094/26/124/26/12 |  |
| 1. Board self-evaluation process
 |  |  |
| 1. Nominations policy
 | 11/18/094/26/12 |  |
| 1. Nominations procedure
 | 11/18/09 |  |
| 1. Board orientation policy
 | 4/26/12 |  |
| 1. Board orientation process/agenda
 | 11/18/09 |   |
|  |  |  |
| **Section D:****Structure** |  |  |
| 1. Lines of authority policy
 | 4/26/12 |  |
| 1. Organizational chart
 | 1/15/12 |  |
| 1. Standing Committees
 | 11/18/094/26/12 | Includes authority, purpose, accountability, membership, record keeping, reporting |
| 1. Program Councils
 | 11/18/094/26/12 |  |
| 4a. XXXX Council | 10/11/12 |  |
| 1. Advisory Council
 |  1/10/13 |  |
| 1. List of Ad hoc Committees
 |  |  |
|  |  |  |
| **Section E:** **Staff & Contractors** |  |  |
| 1. Employee practices policy
 | 4/26/12 |  |
| 1. Employee handbook/manual
 | 4/0612/069/072/0811/18/094/26/121/10/13 | Approved by our attorney. Includes:* statement of org’l values
* statement that the manual is a guide, not a contract
* affirmation of compliance with federal/state laws such as the Family Medical Leave Act, jury duty, workman's Compensation Act ,

and ADA* definition of “full time,” “part time,”contract workers with hours, expectations and benefits
* hiring, job review, firing policies
* codes of behavior
* grievance procedures
* whistleblowing procedures
* holiday, vacation, sick leave, compensatory time policies
* opportunities for advancement, professional development, etc.
 |
| 1. Executive Director review policy
 | 9/084/26/12 |  |
| 1. Incentive compensation policy
 | 8/2/11 |  |
| 1. Job descriptions
 | 1/15/12 |  |
| 1. Succession planning policy
 | 4/26/12 |  |
| 1. Policy on deputizing anyone who solicits funds
 | 11/18/09 |  |
| 1. Policy on background checks
 | 11/18/09 |  |
| 1. CPR training policy
 | 11/18/09 |  |
| 1. Bidding of work policy
 | 11/18/09 |  |
| 1. Policy on agreements with contractors
 | 7/12/12 |  |
| 1. Agreement to be used with prospective contractors
 | 7/12/12 |  |
| **Section F:****Volunteers/Community Service Workers** |  |  |
| 1. Policy on Volunteers
 | 11/18/094/26/12 |  |
| 1a. Areas of need |  | 2009 list of areas requiring volunteer assistance |
|  1b. Resource |  | Possible resource to help volunteer coordinator design program |
| 1. Program description, volunteer job description
 |   | Need  |
| 1. Training Agenda
 |   | Need |
| 1. Policy on Ownership of Work Performed by Volunteers
 | 11/18/09 |  |
|  |  |  |
| **Section G:****Fiscal Policies & Record-keeping** |  |  |
| 1. Financial Policies
 | 4/0811/18/097/12/12 | Includes: * who signs checks
* Ex Dir spending authority
* policy of acknowledging gifts: how soon after a gift is made?
* acknowledgment of legal requirement to

 provide a receipt to donors showing amount, date paid; and how much of the gift is tax-deductible * gift acceptance policy
* loan and debt review and repayment policy
* restricted funds policy
* accounting basis – cash or accrual
* acknowledgment of responsibility to keep records on UBIT and property tax
* security of money and records, including

personnel, credit cards, social security numbers, donor and member personal information* reimbursement policies
* photocopying/scanning of checks received
* how often does the Finance Committee meet? What do they review?
* how often does the Board see a report from the Finance Committee? What does the Finance Committee and what does the Board look at?
* What records are retained, for how long (same as SOX Records Retention document)
* In-kind records
* how does the budget get created? When does the process start, and when does the Board adopt the following year’s budget?
* Checks and balances to ensure that staff cannot make inappropriate decisions
* audit: frequency; full audit or financial review?
* financial reserve
* service as fiscal agent for another group(s)
* statement of value of transparency
* investment policy
* cash reserve policy needs to be included
* policy acknowledging that we honor donors’ wishes
 |
| 1. Policy on forecasting for financial feasibility of events
 | 11/18/09 |  |
| 1. Financial forecasting procedure
 |  |  |
| 1. Fundraising Plan for 2012
 | 12/14/12 |  |
| 1. Gift acceptance Policy
 | 6/0811/18/094/26/12 |  |
| 1. Membership levels
 | 11/11 |  |
| 1. Scholarship policy
 | 11/18/094/26/12 |  |
| 1. Most recent audit cover sheet & most recent audit committee findings
 | 2009 | Listed as a policy here because must be accepted by the board |
| **Section H:****Facilities & Real Estate** |  |  |
| 1. Deed, ADDRESS
 |  |  |
| 1. Deed, vacant lots
 |  |  |
| 1. Lease with XXXX
 |  |  |
| 1. Facility rental & use policy
 | 11/18/09 4/26/12 | Includes:* general statement of values
* general policies –liquor,room setup,cleanup, etc
* statement balancing freedom of expression with community standards of decency
* statement about use for political and educational purposes including a statement of disclaimer of views held by renters
* statement re: religious purposes
* authority given to Director to sign and enforce
* scheduling procedures
 |
| 1. Facility rental procedures and forms
 |  | These forms constitute our UBIT/property tax records referenced in B-21. Must be kept for 7 years per document retention policy. Includes:* list of rooms available to rent and their dimensions
* rental rates, including any distinctions in among types of users
* rental agreement form including such information as access to keys, security procedures, insurance, mutual expectations,
 |
| 1. Facility code of conduct policy
 | 11/18/094/26/12 |  |
| 1. Religious use policy
 | 1/0911/18/09 |  |
| 1. Political and educational use policy
 | 1/0911/18/09 |  |
| 1. Security and evaluation policy
 | 4/26/12 |  |
| 1. Facility development policy
 | 4/26/12 |  |
| 1. Summary of facility plans & naming
 | 4/26/12 |  |
|  |  |  |
| **Section I:****Programs & Freedom of Expression** |  |  |
| 1. Program development policy
 | 4/26/12 |  |
| 1. Freedom of expression policy
 | 1/0911/18/09 |  |
| 1. Intellectual property policy
 | 11/18/09 |  |
|  |  |  |
| **Section J:** **Customer Service Standards** |  |  |
| 1. Policy on customer service
 | 11/18/09 |  |
|  |  |  |
| **Section K:** **Planning** |  |  |
| 1. Planning policy
 | 11/18/094/26/12 |  |
| 1. Current plan
 |  | Llisted as “policy” because must be accepted by Board |
| 1. Current budget
 | 12/15/11 | Listed as “policy” because must be accepted by Board |
| 1. Event communications
 | 11/18/094/26/12 |  |
| 1. Communications planning form
 |  |  |
| 1. Administrative Calendar
 | 2/1/13 |  |
|  |  |  |
| **Section L:****Technology** |  |  |
| 1. Policy on compliance with laws affecting technology
 | 11/18/09 |  |
| 1. Computer and internet use policy
 | 11/18/09 |  |
| 1. Electronic records retention policy
 | 11/18/09 |  |