

**Virginia Association of Fundraising Executives  
Policies and Procedures Manual**

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## **1. Purpose**

This Policy & Procedure Manual has been prepared to collect the policies and procedures for the operation of the Virginia Association of Fundraising Executives (VAFRE). It is designed to expand on the provisions of the Articles of Incorporation and the Bylaws. This Manual is reviewed annually by the VAFRE Governance Committee with recommendations for changes presented to the Board of Directors for approval.

This Policy & Procedure Manual has been adopted by action of the VAFRE Board of Directors on June 4, 2013 and supersedes all previous policies approved by the Board.

## **2. General**

### **2.1 Administration**

#### **A. Management of the Association**

The Board will engage an association management company, or an employee, as Administrator, who will perform such duties as are prescribed by the Board. The Administrator will be an ex officio non-voting member of the Board and of all committees. The Management Company will have a written employment contract specifying the services to be provided.

#### **B. Authority of the Management Company**

The Management Company is authorized to act on behalf of VAFRE in ordinary day-to-day business matters, as provided in the management contract. Authority to sign contracts or commit funds on behalf of VAFRE is limited to projects, programs and activities which have been specifically approved and budgeted by the Board.

#### **C. Records Retention and Destruction Policy**

The purpose of this Policy is to ensure that the necessary records and documents are adequately protected and maintained, and to aid employees and volunteers in understanding their obligations in retaining VAFRE documents, either electronically or by hard copy. See Appendix A, page 14.

#### **D. Use of Outside Services.**

All contracts for outside services are to be reviewed by the Board, or the Committees as directed by the Board, and competitive bids are to be requested by the appropriate committee in a timely fashion. Whenever possible, a minimum of three bids should be reviewed and selection should be made based on the overall quality of the product or service and the best price.

### **2.2 Finance**

#### **A. Fiscal Year**

The fiscal year of the organization shall begin July 1<sup>st</sup> and conclude June 30<sup>th</sup>.

#### **B. Annual Budget**

The Budget Committee, consisting of the current and incoming Executive Committee, will meet to develop the budget for the coming fiscal year in April. Committee chairs should submit a list of projected revenues and expenses to the Secretary/Treasurer and the Management Company one week prior to the meeting so that a comprehensive budget can be generated for the Committee to review and approve for the following fiscal year.

The budget as developed by the Committee will be presented to the Board of Directors for review and approval. Once approved by the Board, the draft budget will be published to the membership, who will vote on the budget at the Annual Meeting in June.

### **C. Annual Review**

An annual review of VAFRE's financial records will be conducted to ensure accuracy and compliance with generally accepted accounting procedures.

### **D. Accounting Procedures**

Payments received for and invoices owed by VAFRE will be handled by the Management Company as specified, with appropriate approvals and authorized signatures. See Appendix B, page 20.

### **E. Insurance**

Commercial general liability insurance and Directors' and Officers' liability insurance will be maintained by VAFRE. Insurance limits will be reviewed annually by the finance committee.

## **2.3 Communications**

### **A. Privacy of Member Data**

VAFRE never rents phone, fax or email information but may, at its discretion, opt to send third party information to our distribution list if it meets the cross-promotion criteria or it is otherwise deemed appropriate to do so by a vote of the Board of Directors.

### **B. Cross-Promotion of Events**

VAFRE will on occasion inform its members of events held by other organizations. In addition, the Management Company will cross promote an event when an appropriate request is received. See Appendix C, page 21.

## **2.4 Other**

### **A. Diversity Policy.**

In principle and in practice, VAFRE values and seeks a diverse and inclusive membership, therefore will actively promote diversity in all activities. There shall be full participation in this organization by all people, regardless of race, gender, creed, age, sexual orientation, national origin or disability.

### **B. Sexual Harassment Policy.**

VAFRE is committed to maintaining an atmosphere that is free from sexual harassment. Sexual harassment is a violation of Title VII of the Civil Rights Act of 1964 and of the Civil Rights Act of 1991. Such misconduct is prohibited by the organization. This policy applies to all VAFRE members, employees and guests. Reprisals against those who file complaints under this policy will not be tolerated. Complaints should be filed with the Board of Directors. If the Board determines that harassment has occurred, appropriate relief for the persons bringing the complaint and appropriate action against the harasser will follow. Any member functioning as an Officer or Director that receives a complaint and does not forward it to the full Board of Directors for action will also be subject to discipline. For the purposes of this policy, sexual harassment is defined as unwelcome sexual advances, requests for sexual favors or verbal or physical contact of a sexual nature when such conduct interferes directly or indirectly with an individual's performance by creating a hostile, offensive or intimidating environment.

### **C. Whistle Blower Policy**

It is the responsibility of all Directors, Officers and employees to report ethics violations or suspected violations in accordance with this Whistleblower Policy. No Director, Officer or employee who in good faith reports an ethics violation shall suffer harassment, retaliation or adverse employment consequence. See Appendix D, page 22.

### **3. Membership**

#### **3.1 Qualifications for Membership/Types of Membership**

- A. Membership shall be limited in accordance with the qualifications set forth in the Articles of Incorporation and other qualifications that may be specified by the Board of Directors.
- B. Full membership in the corporation shall be limited to residents of the Commonwealth of Virginia whose full- or part-time employment, volunteerism, or academic studies involves some aspect of seeking financial support in the form of gifts, grants, contributions and bequests to benefit organizations that are exempt from federal income taxation pursuant to Section 501(c) (3) of the Internal Revenue Code. This shall also include individuals who have a vested interest in the philanthropic community of the Commonwealth, including, but not limited to, Grantmakers, foundation trustees, or other entities or individuals who seek to further the missions of 501 (c) (3) organizations in Virginia through governance, leadership, or financial support.
- C. These individuals shall have voting privileges and shall be classified in the Active Membership category.
- D. Non-voting membership may be extended to those individuals who are Student members.
- E. The Board of Directors shall have the power to determine the qualification of any person for membership, except where it may conflict with the Articles of Incorporation. Members shall not be entitled to vote on any matter affecting the corporation except as set forth in the Articles of Incorporation.

#### **3.2 Applications for Membership**

An application for membership in VAFRE can be completed electronically or as hard copy and include the annual dues. The Management Company will verify completion and forward to the Membership Committee for review and approval

#### **3.3 Membership Dues**

Dues rates shall be set by the Board of Directors annually, based on the cost of meetings, programs, and other priorities set forth by the Board in the proposed annual budget, which is approved by the general membership at the June meeting.

#### **3.4 Scholarships**

Scholarships shall be available to cover the costs of membership. See Appendix E, page 24.

#### **3.5 Resignation/Transfer of Membership**

- A. Membership in VAFRE may be resigned at any time, but no reimbursement of dues will be made.
- B. Active Organizational memberships belong to the organization and may be transferred to another qualified representative at any time. An interim contact may be named if a member leaves their organization prior to a successor being named.
- D. If an Active Organizational member becomes unemployed, they will be granted a forty-five day grace period. During this time they may maintain their membership as an Active Individual at no cost with all of the benefits thereof. At the conclusion of the 45 days they must reapply as an Active member either as an Active Individual or with their new organization or their membership will be terminated.
- E. Active Individual memberships belong to the individual and may be transferred only on their request.
- F. Student memberships belong to the individual and may not be transferred.

### **3.6 Change of Address**

Members should send their change of address directly to the VAFRE offices by phone, e-mail, fax or mail, to ensure there is no gap in communications. Updates to member records can also be made directly in the online membership Directory.

### **3.7 Reinstatement of Lapsed Members**

A. Former members who are still in the same job they held when their membership lapsed may be reinstated by simply paying any dues payment owed. Their membership will apply for the current membership period, whether calendar year or fiscal year.

B. Former members who have changed jobs should submit a new application with the appropriate information about their current fundraising duties in order to be reinstated.

### **3.8 Voting of Members**

A. Members shall not be entitled to vote on any matter affecting the corporation except as set forth in the Articles of Incorporation. Only members in the Active category shall be entitled to vote.

B. As specified in the Bylaws, the Board of Directors shall fix a record date for determining members entitled to vote at regular or special meetings. Unless otherwise provided in the Articles of Incorporation, at any meeting of the Members of the Corporation each member in good standing on the record date shall be entitled to one vote on each matter presented to the meeting, such vote to be exercised in person or by proxy. Every proxy shall be in writing, dated and signed by the member entitled to vote or the member's duly authorized attorney-in-fact.

### **3.9 Committee Service**

All members shall be entitled to serve on committees of VAFRE. Each Standing Committee shall be Chaired by a member of the Board of Directors. Non-Board volunteers may serve on any committee except for the Executive Committee; Committee Chairs are encouraged to recruit volunteers as a cultivation tool for future Board service.

### **3.10 Member Compensation**

Although not a 501(c) (3) organization, as a model of best practices VAFRE Directors and Volunteers are required to pay fees for participation in the organization just the same as members-at-large. The sole exception to this requirement is that a member who is serving as a speaker at one of VAFRE's programs is not required to pay the registration fee for that event.

### **3.11 Code of Ethics**

All members of VAFRE are expected to adhere to the AFP Code of Ethics as adopted by VAFRE's Board of Directors. Failure to do so can lead to disciplinary action, up to and including the revocation of membership. See Appendix F, page 25.

## **4. Membership Meetings.**

### **4.1 General**

Membership Meetings will generally be held on the first Tuesday of every month. If circumstances such as holidays or other industry events make it unadvisable to hold a meeting on the regular date, the Board of Directors may approve an alternate date.

### **4.2 Meeting Registration**

Registration for regular meetings will be handled by VAFRE's Management Company.

Advanced registration is required to guarantee access for all meetings. Individuals who do not register in advance will be accommodated if possible.

### **4.3 Registration Fees**

Registration fees will be determined annually by the Board of Directors as a part of the budget approval process. The registration fee will be waived for members who serve as the guest speakers for a meeting.

### **4.4 Refund/Cancellation Policy**

#### **A. Early Cancellation.**

Credits for a future meeting or refunds will be given if notification of cancellation is received at VAFRE's office prior to noon on the Thursday before a regular Tuesday meeting.

#### **B. Late Cancellation**

If cancellation is received after the Thursday before a regular Tuesday meeting, credits and refunds will be given at the discretion of the Management Company based on the number of late registrations received. In the event of illness or an emergency, credits or refunds may be granted at the discretion of the Management Company.

#### **C. Cancellation of a Meeting**

If VAFRE cancels an event, credits or refunds will be issued to all individuals who registered. A credit to be applied for the following year will be made to those who hold a Season Pass.

### **4.5 Annual Meeting**

As specified in the Bylaws, the annual meeting of the Members of the Corporation shall be held in June of each year. At such meeting, the election of the Board of Directors and Officers shall be held and such other business as may come before the meeting shall be considered.

### **4.6 Political/Commercial Statement Policy**

It is considered inappropriate for a speaker or Board Member to use VAFRE's meetings to espouse any type of personal agenda. While the podium is the forum for the exchange of various, diverse points of view, the speaker should take caution to identify personal opinion from factual content. At no time should a speaker use the podium to promote a particular religious group, political party, social movement or ideological theme. It is also inappropriate for the speaker to attempt to sell either a product or professional service to the attendees or promote a business in which the speaker has a personal or financial interest. All speakers will be notified of this policy in writing prior to their engagement.

## **5. Board of Directors**

### **5.1 Qualifications**

As specified in the Bylaws, Officers and Directors shall be Active members of the association. No more than one person from the same company or firm may serve concurrently on the Board. In the case of a large organization with multiple departments, exemptions may be made in keeping with the stated conflict of interest policy.

### **5.2 Nominations**

A. There shall be a Governance Committee consisting of a Chairperson and at least three additional members. The Chairperson shall be the Immediate Past President, and one of the four members shall be the Vice President.

B. Nomination forms should be distributed to the membership and should be returned to the Chairperson of the Governance Committee in time for the nominees to be presented to the membership at the May meeting.

C. The Governance Committee should meet and develop a slate of Officers and Directors and present it to the Board for approval prior to the May membership meeting.



D. Once approved by the Board of Directors, the slate will be presented to the membership at the May meeting and published on the web site, with notice that the elections will be held at the June membership meeting.

### **5.3 Elections and Term of Office**

A. Elections will be held at the Annual Meeting in June.

B. A quorum (10% of the membership as defined in the Bylaws) of the membership must be present and voting for the elections to be valid.

C. Additional nominations may be received from the floor during the meeting when the elections are held. All members nominated from the floor must agree prior to the elections to serve on the VAFRE Board as an Officer or Director.

D. The term of office shall be two years, not to exceed a total of six consecutive years and until their successors are elected. A member may be invited to return to the Board after one year from the ending date of their last term.

### **5.4 Meetings**

Board of Directors meetings are held every other month in conjunction with monthly meetings or at other times agreed upon by the Board Members. Special meetings may be called according to the bylaws. Unless otherwise indicated, VAFRE Board Meetings are open to the public.

### **5.5 Attendance and Removal of Directors**

A. Board Membership is a privilege and carries with it certain responsibilities. As a result, attendance is important and expected. Multiple absences without cause may cause a Director to be removed from the Board.

If a Director cannot attend, notice should be given to the President and the Management Company as soon as possible. If a quorum will be lost, the Management Company, after consultation with the President, will advise the other Directors of the status of the meeting.

B. Directors may be removed from the Board, with or without cause, at any time by a majority vote of the Board. Vacancies created by such a removal may be filled by the Board for the remainder of the term. The responsibility for monitoring the removal process and for communicating the removal to the affected Board Member lies with the Nominations Committee in conjunction with the President.

### **5.6 Vacancies**

Any vacant Director or Officer positions will be filled as specified in the Bylaws and Articles of Incorporation.

### **5.7 Quorum and Manner of Acting**

A. As specified in the Bylaws, a majority of the Directors shall constitute a quorum for the transaction of business. Each Director present shall be entitled to one (1) vote. No proxy votes will be accepted.

B. The act of a majority of the Directors present at any meeting at which a quorum has been established shall be the act of the Board of Directors.

C. The Board of Directors will be governed by Robert's Rules of Order.

D. An article of business or proposal for Board action can be written or proposed by any Staff, Board Member, or member, and will be considered at the next scheduled Board Meeting if a quorum of members are present. Proposals can also be made verbally at Board Meetings.

E. If requested and approved by all Board Members present, a vote to take action can be deferred and take place by e-mail.

## **5.8 Agendas**

The Management Company shall issue to the Board and Committee Chairs a call for agenda items and set a deadline for agenda items and reports which shall be approximately one week prior to each scheduled Board Meeting. The Management Company will compile the Agenda, Financial Statements, Minutes of the previous Board Meeting, and the Committee Reports and post them on the Board Resource page of the web site for the Board to review prior to the meeting.

## **5.9 Meeting by Conference Call**

A conference call or any other method which allows all participants to hear each other or to communicate clearly may be used for a Special meeting. As required in the Bylaws, notice of such Special meeting must be given five (5) days in advance. The notice need not state the purpose of the meeting. The presence of a quorum will be established by a roll call, and all regular meeting procedures for motions and discussion will be followed.

## **5.10 Voting by E-mail or Other Electronic Means**

Voting by E-mail may be used for the Annual Meeting elections, By-Laws and Articles of Incorporation changes or between Board Meetings when the subject involved is considered to warrant action of an urgent nature. The following procedures will apply:

- The maker of the motion will prepare the motion in the usual format as is the custom in Board Meetings, and will provide a written rationale or justification, giving the pros and cons of the issue involved.
- The maker will forward the motion and justification to the President and Secretary for distribution to all Board Members.
- The Secretary will ensure the motion and justification appear to be clear and understandable.
- The Secretary will have the Management Company forward a copy of the motion and rationale or justification to each Board Member for their vote. Votes will be "in favor", "against", or "abstain."
- The Secretary will provide a form for each Board Member upon which they will record their vote. The form will include a statement of the date by which the Board Member is expected to respond if their vote is to be counted.
- Each Board Member will return their vote by e-mail, mail or fax on the form provided by the Secretary.
- The Secretary will announce the outcome of the vote to all Board Members by e-mail and will include this announcement in the minutes of the next scheduled Board Meeting

## **5.11 Conflict of interest**

In order to prevent the personal interest of Staff members and Board Members from interfering with the performance of their duties to VAFRE or resulting in personal gain at the expense of VAFRE all Staff and Directors are expected to comply with the Conflict of Interest policy adopted by the Board of Directors. See Appendix G, page 28.

# **6. Committees and Task Forces**

## **6.1 Standing Committees**

Current Standing Committees are the Executive Committee, Awards, Communications, Membership, and Programs. Additional committees may be created by the Board of Directors from time to time. See Appendix H, page 31.

## **6.2 Executive Committee**

A. Composition. The Executive Committee shall be composed of the Officers of VAFRE, the President, Vice President, Secretary/Treasurer and Immediate Past President, as well as the Chairs of the Standing Committees.

B. Quorum and Manner of Acting. A majority of the members of the Committee shall constitute a quorum for the transaction of business. A full report of any Executive Committee decisions and actions shall be made to the full Board and ratification of such actions by the Board will be made no later than the next scheduled meeting of the Board.

C. Budget. The Executive Committee shall have the latitude in extraordinary circumstances to make adjustments to the budget without seeking prior approval of the Board. Such adjustment shall not alter the bottom line of the budget and any committees impacted by such change shall be notified. All changes shall be reported to the Board as expeditiously as possible.

## **6.3 Ad Hoc Committees**

A. The President may appoint such task forces as deemed appropriate and shall report such appointments to the Board in an expeditious manner.

B. The Awards Selection Committee is a non-board committee co-chaired by the immediate past recipients of the Nina Abady and Rising Star Awards. The Past President serves on this committee along with the Vice President as well as three other members-at-large recruited by the committee co-chairs. The committee receives and reviews nominations and selects recipients of the Nina Abady Award and the Rising Star Award. The call for nominations should be issued in November, with the Award Winners selected in early January.

## **6.4 Committee Chairs**

The Governance Committee, working with the President and outgoing Committee Chairs, will appoint, for Board confirmation, the Chair of each standing committee. The President may, with good cause, replace a Chair and appoint a new Chair, subject to Board confirmation.

## **6.5 Membership of Committees**

Each Committee Chair of a Standing Committee will be a member of the Board of Directors and serve on the Executive Committee. Vice-Chairs should also be Board Members. Other members of the committee may be Board Members or members at large. Each committee shall maintain a current list of all committee members.

## **6.6 Terms**

Committee Chairpersons and Vice-Chairpersons shall be selected by June, for terms to begin July 1<sup>st</sup>. Committee members shall be selected by July, for terms to begin August 1<sup>st</sup>.

## **6.7 Officer Liaisons**

Each committee will be assigned an Officer to serve as a liaison and to participate as a member on that Committee. The Officer's role is to communicate the strategic plan and other Board requirements to the Committee for their annual planning and provide oversight and guidance to the Committee on an as-needed basis.

## **6.8 Committee Meetings**

Committees will meet at dates, times and in locations as mutually agreed upon.

## **6.9 Mission**

Each committee shall review its committee description (mission) on an annual basis and recommend changes and updates to the Board of Directors. See Appendix H, page 31.

## **6.10 Records**

A committee binder shall be maintained by the committee chair, which should include all files, business records, and related materials for that committee. The binder shall be turned over to the incoming chair or to the Management Company when there is no Chair. Each committee Chair shall prepare the succeeding chair and will pass along the committee binder.

## **6.11 Reporting**

Each committee shall submit a report to the Management Company and their Officer liaison one week prior to each Board of Directors meeting detailing the actions of the committee since the last Board Meetings.

## **6.12 Budgets**

Each committee shall present a committee budget to the budget and finance committee by April 15<sup>th</sup> of each year.

## **6.13 Communications**

A. The Membership and Program Committees shall each appoint a member to serve as their liaison to the Communications Committee to facilitate the sharing of information.

B. Each Committee shall submit at least one article during the year describing the activities of their committee for publication in the VAFRE electronic newsletter. Publication dates to be coordinated with the Communications Committee or the Management Company.

## **7. Officers**

### **7.1 Elections/Term of Office/Removal**

A. As specified in the Bylaws, the Officers of VAFRE shall consist of a President, a Vice-President, a Secretary/Treasurer, and an Immediate Past President.

B. The Officers shall be elected to serve for one (1) year terms beginning on July 1 of the calendar year following their election at the Annual Meeting of the Membership. They shall hold office until the next Annual Meeting and until their successors are elected. Any Officer may succeed him/herself for one additional term.

C. To be eligible for election as an Officer, a nominee must have been a member of VAFRE for at least two (2) successive years immediately preceding the election. All Officers must have served as a Director prior to being eligible to hold office.

D. Any Officer may be removed by the Board of Directors by a three-fourths vote of the Directors present and voting at any Regular or Special meeting at which a quorum has been established.

### **7.2 Duties of Officers**

A. The Officers of VAFRE shall have such powers and duties as are prescribed by law, provided for in the Bylaws, or as shall be conferred by the Board of Directors. See Appendix H, page 31.

B. The President shall be an ex-officio member of all committees, except the Nomination and Awards Selection committees.

C. The President shall provide leadership as to the direction and policy decisions of the organization and shall represent VAFRE to the membership and the general public as an authorized spokesperson.

D. If the President is unavailable, the Vice President shall act in their stead following appropriate consultation with the Executive Committee.

### **7.3 Succession to Office.**

A. In the event of the death, disability, resignation, or removal from office of the President, the Vice President shall succeed to the Presidency. A new Vice President will be elected to serve for the remainder of the term of office by the Board of Directors at a meeting called by the new President within fifteen (15) days of such vacancy.

B. In the event of the death, disability, resignation, or removal from office of the Vice President, the President shall call a meeting of the Board of Directors within fifteen (15) days of such vacancy to elect a successor.

C. In the event of the death, disability, resignation or removal from office of both the President and Vice President, the most recent Past President shall temporarily assume the duties of the office of the President and shall, within fifteen (15) days of the vacancies, call a meeting of the Board of Directors to elect successors.

## **8. Amendments.**

These Policies and Procedures may be amended by action of the Board of Directors.

## Appendices

### Appendix A.

#### Records Retention and Destruction Policy

This Policy represents the Virginia Association of Fundraising Executives' policy regarding the retention and disposal of records and the retention and disposal of electronic documents. This policy was approved as the maintenance, retention and disposal schedule for physical records and the retention and disposal of electronic documents by VAFRE's Board of Directors on June 4, 2013.

The Management Company 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 Management Company is also authorized to recommend 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 VAFRE.

#### 1) Suspension of Record Disposal In Event of Litigation or Claims

In the event VAFRE is served with any subpoena or request for documents or any Board Member becomes aware of a governmental investigation or audit concerning VAFRE or the commencement of any litigation against or concerning VAFRE, such individual shall inform the Management Company and any further disposal of documents shall be suspended until such time as the Management Company, with the advice of counsel, determines otherwise. The Management Company shall take such steps as is necessary to promptly inform all Directors of any suspension in the further disposal of documents.

#### 2) Applicability

This Policy applies to all physical records generated in the course of VAFRE's operation, including both original documents and reproductions. It also applies to the electronic documents described above.

### RECORD RETENTION SCHEDULE

#### 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
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 (documents showing customer credit card number)	Destroy upon completion of transaction

## B. CONTRACTS

### Record Type

Contracts and Related Correspondence (including any proposal that resulted in the contract and all other supportive documentation)

### Retention Period

7 years after expiration or termination

## C. CORPORATE RECORDS

### Record Type

Corporate Records (minute books, signed minutes of the Board and all committees, corporate seals, articles of incorporation, bylaws, annual corporate reports)  
Licenses and Permits

### Retention Period

Permanent

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 historical, significant, or 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 historical, significant, or 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—is to be deleted after 12 months.
  - Staff will strive to keep all but an insignificant minority of their e-mail related to business issues.

- VAFRE will archive e-mail for six months after the Staff has deleted it, after which time the e-mail will be permanently deleted.
  - All VAFRE business-related email should be downloaded to a service center or user Directory on the server.
  - Staff will not store or transfer VAFRE-related e-mail on non-work-related computers except as necessary or appropriate for VAFRE purposes.
  - Staff will take care not to send confidential/proprietary VAFRE information to outside sources.
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. 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.

In certain cases a document will be maintained in both paper and electronic form. In such cases the official document will be the electronic document.

## F. GRANT RECORDS

### Record Type

Original grant proposal  
 Grant agreement and subsequent modifications, if applicable  
 All requested IRS/grantee correspondence including determination letters and “no change” in exempt status letters  
 Final grantee reports, both financial and narrative  
 All evidence of returned grant funds  
 All pertinent formal correspondence including opinion letters of counsel  
 Report assessment forms  
 Documentation relating to grantee evidence of invoices and matching or challenge grants that would support grantee compliance with the grant agreement  
 Pre-grant inquiry forms and other documentation for expenditure responsibility grants  
 Grantee work product produced with the grant funds

### Retention Period

7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period  
 7 years after completion of grant period



## G. INSURANCE RECORDS

### Record Type

Annual Loss Summaries  
Audits and Adjustments  
Certificates Issued to VAFRE  
Claims Files (including correspondence, medical records, injury documentation, etc.)  
Group Insurance Plans - Active Employees  
Group Insurance Plans – Retirees  
Inspections  
Insurance Policies (including expired policies)  
Journal Entry Support Data  
Loss Runs  
Releases and Settlements

### Retention Period

10 years  
3 years after final adjustment  
Permanent  
Permanent  
Until Plan is amended or terminated  
Permanent or until 6 years after death of last eligible participant  
3 years  
Permanent  
7 years  
10 years  
25 years

## H. LEGAL FILES AND PAPERS

### Record Type

Legal Memoranda and Opinions (including all subject matter files)  
Litigation Files  
Court Orders  
Requests for Departure from Records Retention Plan

### Retention Period

7 years after close of matter  
1 year after expiration of appeals or time for filing appeals  
Permanent  
10 years

## I. MISCELLANEOUS

### Record Type

Consultant's Reports  
Material of Historical Value (including pictures, publications)  
Policy and Procedures Manuals – Original  
Policy and Procedures Manuals - Copies  
Annual Reports

### Retention Period

2 years  
Permanent  
Current version with revision history  
Retain current version only  
Permanent

## J. PAYROLL DOCUMENTS

### Record Type

Employee Deduction Authorizations  
Payroll Deductions  
W-2 and W-4 Forms  
Garnishments, Assignments, Attachments  
Labor Distribution Cost Records  
Payroll Registers (gross and net)  
Time Cards/Sheets  
Unclaimed Wage Records  
Retirement and Pension Records

### Retention Period

4 years after termination  
Termination + 7 years  
Termination + 7 years  
Termination + 7 years  
7 years  
7 years  
2 years  
6 years  
Permanent

## K. PERSONNEL RECORDS

<b>Record Type</b>	<b>Retention Period</b>
Commissions/Bonuses/Incentives/Awards	7 years
EEO- 1 /EEO-2 - Employer Information Reports	2 years after superseded or filing (whichever is longer)
Employee Earnings Records	Separation + 7 years
Employee Handbooks	1 copy kept permanently
Employee Medical Records	Separation + 6 years
Employee Personnel Records (including individual attendance records, application forms, job or status change records, performance evaluations, termination papers, withholding information, garnishments, test results, training and qualification records)	6 years after separation
Employment Contracts – Individual	7 years after separation
Employment Records - Correspondence with Employment Agencies and Advertisements for Job Openings	3 years from date of hiring decision
Employment Records - All Non-Hired Applicants (including all applications and resumes - whether solicited or unsolicited, results of post-offer, pre-employment physicals, results of background investigations, if any, related correspondence)	2-4 years (4 years if file contains any correspondence which might be construed as an offer)
Job Descriptions	3 years after superseded
Personnel Count Records	3 years
Forms I-9	3 years after hiring, or 1 year after separation if later

## L. PROPERTY RECORDS

<b>Record Type</b>	<b>Retention Period</b>
Correspondence, Property Deeds, Assessments, Licenses, Rights of Way	Permanent
Original Purchase/Sale/Lease Agreement	Permanent
Property Insurance Policies	Permanent

## M. TAX RECORDS

**General Principle:** VAFRE 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.

<b>Record Type</b>	<b>Retention Period</b>
Tax-Exemption Documents and Related Correspondence	Permanent
IRS Rulings	Permanent
Excise Tax Records	7 years
Payroll Tax Records	7 years
Tax Bills, Receipts, Statements	7 years
Tax Returns - Income, Franchise, Property	Permanent
Tax Workpaper Packages - Originals	7 years

**Record Type**

Sales/Use Tax Records  
Annual Information Returns - Federal and State  
IRS or other Government Audit Records

**Retention Period**

7 years  
Permanent  
Permanent

**N. CONTRIBUTION RECORDS**

**Record Type**

Records of Contributions  
VAFRE's or other documents evidencing terms of gifts

**Retention Period**

Permanent  
Permanent

**O. FISCAL SPONSOR PROJECT RECORDS**

**Record Type**

Sponsorship agreements

**Retention Period**

Permanent

## **Appendix B.**

### **Accounting Procedures for VAFRE**

1. The accounts of VAFRE shall be maintained by the cash basis of accounting.
2. All mail will be received and opened by the Administrator.
3. Check writing/payment of invoices:
  - a. Invoices that are in the approved budget or are for contracted services previously approved by the Board may be paid by Catapult without further approvals. Unbudgeted expenses must be approved by the Secretary/Treasurer before payment is made.
  - b. Administrator will note which invoices need approval and e-mail all invoices to Accountant for payment, with a copy being e-mailed to the Secretary/Treasurer seeking approvals as needed.
  - c. Accountant will set up approved invoices for online bill pay.
  - d. The same procedures will apply for the monthly check to the Management Company, which is a contracted fee. Expenses incurred by the Management Company will be e-mailed to the Secretary/Treasurer for approval before reimbursement is made.
  - e. The current Secretary/Treasurer, Vice-President and President shall be the three individuals authorized to sign checks for VAFRE.
  - f. Copies of any voided checks will be kept in a separate section of the financial binder. The original shall remain in numerical order with the other checks.
4. Use of debit card:
  - a. VAFRE shall have a debit card in the name of an Officer, which shall be held in custody by the Administrator.
  - b. Administrator may make use of the card for budgeted expenses.
  - c. For unbudgeted expenses, the Administrator should receive authorization from the Secretary/Treasurer before making use of the card.
  - d. All receipts should be scanned and sent to the Accountant, with a copy going to the Secretary/Treasurer as well.
5. Deposits:
  - a. Administrator will receive all checks and enter them in Wild Apricot, prepare a deposit slip and take the checks to the bank.
  - b. Administrator will transfer funds from PayPal to the bank account.
  - c. Administrator will run Wild Apricot deposit report with detail, reconcile it with the PayPal deposit report and the deposit slip from the bank, then e-mail all three files to the Accountant.
  - d. Accountant will review deposit reports for accuracy and enter the details in QuickBooks.
6. The Management Company will forward financial reports to the entire Board of Directors approximately one week prior to each Board Meeting.
7. Tax Forms
  - a. Accountant will prepare, distribute and file the annual IRS 1099 forms.
  - b. Accountant will coordinate with an outside accounting firm for preparation of the annual IRS information return.
8. Blank Check Policy
  - a. Neither VAFRE nor its fiduciary shall make a check payable to "CASH" or left blank. VAFRE will issue all checks and payments in accord with its policies and GAAP standards.

9. Bank Reconciliations

- a. In addition to the regular monthly review by the Treasurer, one other Board member will be designated to review all bank statements and report his or her findings directly to the Board via e-mail or by some means that shows their legible signature verifying the accuracy of the reconciliation and the date they reviewed the report.

10. Annual Review

- a. VAFRE shall establish a review committee of at least two (2) board members and no more than three (3) board members to review the fiscal health, financial records and financial policies and procedures. No member of the committee shall have signatory authority for VAFRE. VAFRE's Executive Committee shall appoint the review committee in July of any given year and the committee shall convene in August to review and make recommendations to the Board. The review committee's recommendations will be due to the Executive Committee within 30 business days of the review. The Executive Committee will review and present findings to the entire board.

## **Appendix C.**

### **Cross Promotion of Events**

Periodically, VAFRE is contacted by other organizations with requests to promote that organization's programs. These guidelines are intended to facilitate and streamline VAFRE's response to those requests, and to give the VAFRE Management Company clear parameters for that process.

#### **Criteria for promotion without further VAFRE Board approval:**

1. The organization is on this pre-approved list (*which is to be reviewed annually by the executive committee*):
  - Association of Fundraising Professionals (AFP)
  - Institute on Philanthropy (IOP)
  - Partnership for Nonprofit Excellence(PNE) (*The Community Foundation*)
    - ConnectRichmond
    - HandsOnGreater Richmond
    - Nonprofit Learning Point (NLP)
    - Consulting Solutions
    - Board Link
  - Virginia Fund Raising Institute (VFRI)
  - Virginia Gift Planning Council (VGPC)
  - Southside Community Partners (SCP)
2. The date of other organization's program does not conflict with a scheduled VAFRE event.
3. The organization agrees to reciprocate by promoting VAFRE's events and programs in similar ways.

#### **OR**

1. The organization's mission and program complement VAFRE's mission, and would be of interest to VAFRE's members.
2. The date of other organization's program does not conflict with a scheduled VAFRE event.
3. The organization agrees to reciprocate by promoting VAFRE's events and programs in similar ways.

If the requesting organization or its event does not clearly meet the above criteria, VAFRE's Management Company will provide the details of the request to the executive committee (via e-mail), for a decision about promotion of the event.

#### **Some possible methods of promotion include:**

- Posting on VAFRE's website
- Posting on VAFRE's Facebook page
- Posting on VAFRE's LinkedIn page
- e-mail to VAFRE's distribution list

## **Appendix D.**

### **Whistle Blower Policy**

#### **General**

VAFRE requires Directors, Officers and Employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As representatives of VAFRE we must practice honesty and integrity in fulfilling our responsibilities and comply with all applicable laws and regulations.

#### **Reporting Responsibility**

It is the responsibility of all Directors, Officers and Employees to report ethics violations or suspected violations in accordance with this Whistleblower Policy.

#### **No Retaliation**

No Director, Officer or Employee who in good faith reports an ethics violation shall suffer harassment, retaliation or adverse employment consequence. An Employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable Employees and others to raise serious concerns within VAFRE prior to seeking resolution outside VAFRE.

#### **Reporting Violations**

VAFRE has an open door policy and suggests that members share their questions, concerns, suggestions or complaints with someone who can address them properly. In most cases, a Board Member is in the best position to address an area of concern. Supervisors and managers are required to report suspected ethics violations to VAFRE's Secretary/Treasurer, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when you are not satisfied or uncomfortable with following VAFRE's open door policy, individuals should contact VAFRE's Secretary/Treasurer directly.

#### **Compliance Officer**

The Secretary/Treasurer is responsible for investigating and resolving all reported complaints and allegations concerning violations and, at his/her discretion, shall advise the Executive Director and/or the Executive Committee. The Secretary/Treasurer has direct access to the Executive Committee of the Board of Directors and is required to report to the Executive Committee at least annually on compliance activity.

#### **Accounting and Auditing Matters**

The Executive Committee of the Board of Directors shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Secretary/Treasurer shall immediately notify the Executive Committee of any such complaint and work with the Executive Committee until the matter is resolved.

#### **Acting in Good Faith**

Anyone filing a complaint concerning a violation or suspected violation must be acting in good faith and have reasonable grounds for believing the information disclosed indicates a violation. 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 offense.

#### **Confidentiality**

Violations or suspected violations may be submitted on a confidential basis by the complainant or may be submitted anonymously. Reports of violations or suspected violations will be kept confidential to the extent possible, consistent with the need to conduct an adequate investigation.

**Handling of Reported Violations**

The Secretary/Treasurer will notify the sender and acknowledge receipt of the reported violation or suspected violation within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.



**Appendix E.**  
**Membership Scholarship Policies and Procedures**

Scholarship funding is available for the cost of the annual Active Individual Membership dues. Individuals must submit the scholarship application and are eligible for the full membership cost for the first year. If the individual would like to continue the scholarship the next year, he/she must re-apply and is eligible for 50% of the full membership cost. As long as the individual is with the same organization, he/she may not apply for another (third) year. If the individual moves to another organization, he/she may re-apply and the process will restart with full membership scholarship for the first year etc. The scholarships are awarded on a rolling basis.

**Procedures**

A. Membership Committee is responsible for recommending or changing Scholarship Award Criteria to the Board of Directors for Approval.

B. Scholarship applications will be submitted to the VAFRE Administrator, and will be awarded by the Membership Committee.

C. If the request is denied Management Company notifies applicant.

D. If the request is granted Management Company notifies the applicant and notifies the Accountant to move funds from scholarship line item to dues line item.

## **Appendix F.**

### **Code of Ethics/Professional Conduct**

Permission for VAFRE's use of this Code was granted by the President and CEO of AFP in 2010. Any public display of the code must include credit to AFP.

Association of Fundraising Professionals Code of Ethical Principles and Standards

#### **ETHICAL PRINCIPLES • Adopted 1964; amended Sept. 2007**

The Association of Fundraising Professionals (AFP) exists to foster the development and growth of fundraising professionals and the profession, to promote high ethical behavior in the fundraising profession and to preserve and enhance philanthropy and volunteerism. Members of AFP are motivated by an inner drive to improve the quality of life through the causes they serve. They serve the ideal of philanthropy, are committed to the preservation and enhancement of volunteerism; and hold stewardship of these concepts as the overriding direction of their professional life. They recognize their responsibility to ensure that needed resources are vigorously and ethically sought and that the intent of the donor is honestly fulfilled. To these ends, AFP members, both individual and business, embrace certain values that they strive to uphold in performing their responsibilities for generating philanthropic support. AFP business members strive to promote and protect the work and mission of their client organizations.

#### **AFP members both individual and business aspire to:**

- practice their profession with integrity, honesty, truthfulness and adherence to the absolute obligation to safeguard the public trust;
- act according to the highest goals and visions of their organizations, professions, clients and consciences;
- put philanthropic mission above personal gain;
- inspire others through their own sense of dedication and high purpose;
- improve their professional knowledge and skills, so that their performance will better serve others;
- demonstrate concern for the interests and well-being of individuals affected by their actions;
- value the privacy, freedom of choice and interests of all those affected by their actions;
- foster cultural diversity and pluralistic values and treat all people with dignity and respect;
- affirm, through personal giving, a commitment to philanthropy and its role in society
- adhere to the spirit as well as the letter of all applicable laws and regulations;
- advocate within their organizations adherence to all applicable laws and regulations;
- avoid even the appearance of any criminal offense or professional misconduct;
- bring credit to the fundraising profession by their public demeanor;
- encourage colleagues to embrace and practice these ethical principles and standards; and
- be aware of the codes of ethics promulgated by other professional organizations that serve philanthropy.

#### **ETHICAL STANDARDS**

Furthermore, while striving to act according to the above values, AFP members, both individual and business, agree to abide (and to ensure, to the best of their ability, that all members of their Staff abide) by the AFP standards. Violation of the standards may subject the member to disciplinary sanctions, including expulsion, as provided in the AFP Ethics Enforcement Procedures.

#### **MEMBER OBLIGATIONS**

1. Members shall not engage in activities that harm the members' organizations, clients or profession.
2. Members shall not engage in activities that conflict with their fiduciary, ethical and legal obligations to their organizations, clients or profession.
3. Members shall effectively disclose all potential and actual conflicts of interest; such disclosure does not preclude or imply ethical impropriety.

4. Members shall not exploit any relationship with a donor, prospect, volunteer, client or employee for the benefit of the members or the members' organizations.
5. Members shall comply with all applicable local, state, provincial and federal civil and criminal laws.
6. Members recognize their individual boundaries of competence and are forthcoming and truthful about their professional experience and qualifications and will represent their achievements accurately and without exaggeration.
7. Members shall present and supply products and/or services honestly and without misrepresentation and will clearly identify the details of those products, such as availability of the products and/or services and other factors that may affect the suitability of the products and/or services for donors, clients or nonprofit organizations.
8. Members shall establish the nature and purpose of any contractual relationship at the outset and will be responsive and available to organizations and their employing organizations before, during and after any sale of materials and/or services. Members will comply with all fair and reasonable obligations created by the contract.
9. Members shall refrain from knowingly infringing the intellectual property rights of other parties at all times. Members shall address and rectify any inadvertent infringement that may occur.
10. Members shall protect the confidentiality of all privileged information relating to the provider/client relationships.
11. Members shall refrain from any activity designed to disparage competitors untruthfully.

#### **SOLICITATION AND USE OF PHILANTHROPIC FUNDS**

12. Members shall take care to ensure that all solicitation and communication materials are accurate and correctly reflect their organizations' mission and use of solicited funds.
13. Members shall take care to ensure that donors receive informed, accurate and ethical advice about the value and tax implications of contributions.
14. Members shall take care to ensure that contributions are used in accordance with donors' intentions.
15. Members shall take care to ensure proper stewardship of all revenue sources, including timely reports on the use and management of such funds.
16. Members shall obtain explicit consent by donors before altering the conditions of financial transactions.

#### **PRESENTATION OF INFORMATION**

17. Members shall not disclose privileged or confidential information to unauthorized parties.
18. Members shall adhere to the principle that all donor and prospect information created by, or on behalf of, an organization or a client is the property of that organization or client and shall not be transferred or utilized except on behalf of that organization or client.
19. Members shall give donors and clients the opportunity to have their names removed from lists that are sold to, rented to or exchanged with other organizations.
20. Members shall, when stating fundraising results, use accurate and consistent accounting methods that conform to the appropriate guidelines adopted by the American Institute of Certified Public Accountants (AICPA)\* for the type of organization involved. (\* In countries outside of the United States, comparable authority should be utilized.)

#### **COMPENSATION AND CONTRACTS**

21. Members shall not accept compensation or enter into a contract that is based on a percentage of contributions; nor shall members accept finder's fees or contingent fees. Business members must refrain from receiving compensation from third parties derived from products or services for a client without disclosing that third-party compensation to the client (for example, volume rebates from vendors to business members).
22. Members may accept performance-based compensation, such as bonuses, provided such bonuses are in accord with prevailing practices within the members' own organizations and are not based on a percentage of contributions.
23. Members shall neither offer nor accept payments or special considerations for the purpose of influencing the selection of products or services.

24. Members shall not pay finder's fees, commissions or percentage compensation based on contributions, and shall take care to discourage their organizations from making such payments.

25. Any member receiving funds on behalf of a donor or client must meet the legal requirements for the disbursement of those funds. Any interest or income earned on the funds should be fully disclosed.

## **Appendix G.**

### **Conflict of Interest Policy for the Virginia Association of Fundraising Executives**

The purpose of the following policy and procedures is to prevent the personal interest of Staff members and Board Members from interfering with the performance of their duties to VAFRE or result in personal financial, professional, or political gain on the part of such persons at the expense of VAFRE or its Members, supporters, and other stakeholders.

Definitions: Conflict of Interest (also Conflict) means a conflict, or the appearance of a conflict, between the private interests and official responsibilities of a person in a position of trust. Persons in a position of trust include Staff members, Officers, and Board Members of VAFRE. Board means the Board of Directors; Officer means an Officer of the Board of Directors; who does not receive compensation for services and expertise provided to VAFRE and retains a significant independent decision-making authority to commit resources of the organization. VAFRE means the Virginia Association of Fundraising Executives. Staff Member means a person who receives all or part of her/his income from the payroll of VAFRE. Supporter means corporations, foundations, individuals, 501 (c) (3) nonprofits, and other nonprofit organizations who contribute to VAFRE.

#### **POLICY AND PRACTICES**

1. Full disclosure, by notice in writing, shall be made by the interested parties to the full Board of Directors in all conflicts of interest, including but not limited to the following:
  - a. A Board Member is related to another Board Member or Staff member by blood, marriage or domestic partnership.
  - b. A Staff member in a supervisory capacity is related to another Staff member whom she/he supervises.
  - c. A Board Member or their organization stands to benefit from a VAFRE transaction or Staff member of such organization receives payment from VAFRE for any subcontract, goods, or services other than as part of her/his regular job responsibilities or as reimbursement for reasonable expenses incurred as provided in the bylaws and Board policy.
  - d. A Board Member or Staff member is a member of the governing body of a contributor to VAFRE.
2. Following full disclosure of a possible conflict of interest or any condition listed above, the Board of Directors shall determine whether a conflict of interest exists and, if so the Board shall vote to authorize or reject the transaction or take any other action deemed necessary to address the conflict and protect VAFRE's best interests. Both votes shall be by a majority vote without counting the vote of any interested Director, even if the disinterested Directors are less than a quorum provided that at least one consenting Director is disinterested.
3. A Board Member who is formally considering employment with VAFRE must take a temporary leave of absence until the position is filled. Such a leave will be taken within the Board Member's elected term which will not be extended because of the leave. A Board Member who is formally considering employment with VAFRE must submit a written request for a temporary leave of absence to the Secretary of the VAFRE Board indicating the time period of the leave. The Secretary will inform the President of the Board of such a request. The President will bring the request to the Board for action. The request and any action taken shall be reflected in the official minutes of VAFRE.
4. An interested Board Member, Officer, or Staff member shall not participate in any discussion or debate of the Board of Directors, or of any committee or subcommittee thereof in which the subject of discussion is a contract, transaction, or situation in which there may be a perceived or actual conflict of interest. However,

they may be present to provide clarifying information in such a discussion or debate unless objected to by any present Board or committee member.

5. Anyone in a position to make decisions about spending VAFRE's resources (i.e., transactions such as purchases contracts – who also stands to benefit from that decision – has a duty to disclose that conflict as soon as it arises (or becomes apparent); he/she should not participate in any final decisions.

6. A copy of this policy shall be given to all Board Members and Staff members upon commencement of such person's relationship with VAFRE, or at the official adoption of stated policy. Each Board Member, Officer and Staff member shall sign and date the policy at the beginning of her/his term of service or employment and each year thereafter. Failure to sign does not nullify the policy.

7. This policy and disclosure form must be filed annually by all specified parties.

**The Virginia Association of Fundraising Executives**

**Conflict of Interest  
Disclosure Form**

This form must be filed annually by all specified parties, as identified in the Virginia Association of Fundraising Executives Conflict of Interest Policy Statement.

\_\_\_\_\_ I have no conflict of interest to report

\_\_\_\_\_ I have the following conflict of interest to report (please specify):

The undersigned, by their affixed signature, note their understanding of the implications of this policy.

\_\_\_\_\_

Signature

\_\_\_\_\_

Printed Name

\_\_\_\_\_

Date

**Appendix H.  
Officer and Committee Member Job Descriptions**

*PRESIDENT*

**BASIC PURPOSE**

The President is the formal representative and spokesperson for VAFRE.

**ESSENTIAL JOB RESPONSIBILITIES**

- ➔ Plans agenda and leads monthly board meetings, (1) annual membership meetings and attends new member functions and all other VAFRE-sponsored events.
- ➔ Convenes the Executive Committee as needed to make decisions when full board meetings are not appropriate or possible.
- ➔ Consults with and oversees committee heads, specifically:
  - Awards Committee
  - Membership Committee
  - Communications Committee
  - Program Committee
  - Additional ad hoc task force(s) as needed
- ➔ Responsible for legal compliance (notification of actions needed and coordination completed by Administrator) specifically:
  - SCC compliance
  - Bi-annual audit
- ➔ Responsible for the training and leadership development of the Board of Directors, including but not limited to an annual Board Retreat
- ➔ Supervises VAFRE Administrator.
- ➔ Serves as the organization’s liaison with other philanthropy professional associations.
- ➔ Provides necessary guidance and support to administrative staff and all board members.

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

*Updated May 2013*



*PAST PRESIDENT*

**BASIC PURPOSE**

The primary function of the Past President is to serve as an advisor to the President and Board in relation to most VAFRE functions, policies, and procedures. The historical context that he or she provides is an invaluable one in setting the course and direction of the board as dictated by the President.

**ESSENTIAL JOB RESPONSIBILITIES**

- ➔ Lead the officer and board nominating process for VAFRE’s upcoming year. Creates and chairs an ad hoc subcommittee to identify candidates, review and interview them, confirm their interest and commitment, and officially nominate them for approval by the board and then the full VAFRE membership. Board should be recruited and approved by membership at the June meeting.
- ➔ Coordinate an annual Board Member Evaluation. (Each spring, the Past President along with the Vice President, will provide an evaluation form for each board member. The evaluation forms are for assessment purposes only and are used only to strengthen the activities and eliminate duplications or wasteful processes of the board.)
- ➔ Serves on the VAFRE Awards Committee (a non-board committee co-chaired by immediate past recipients of the Nina Abady and Rising Star Awards).
- ➔ Chairs the Sponsorship Committee, which is tasked with securing sponsors to support VAFRE programs and initiatives.

\_\_\_\_\_

Print Name

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

*Updated May 2013*

*VICE PRESIDENT*

**BASIC PURPOSE**

In the absence of the President, the Vice President represents the organization at all VAFRE-sponsored events and meetings.

**ESSENTIAL JOB RESPONSIBILITIES**

- ➔ Attends regular Board meetings, monthly membership meetings, new member functions and all other VAFRE-sponsored events.
- ➔ Assists and coordinates the Nina Abady and Rising Star award selection process working with Past President and members of the Awards Committee.
- ➔ Ensures Articles of Incorporation and By-Laws are up-to-date and accurately reflect the current status of VAFRE.
- ➔ Ensures the presentation of a code of ethical conduct and conflict of interest statement to the Board of Directors, and collects signed statements from each Director.
- ➔ Assists the President in planning and implementing the annual VAFRE Board Retreat and training for incoming Board Members
- ➔ Assists in defining recruitment process and recruiting new members of the Board of Directors with Past President and President
- ➔ Works with the President on creating and maintaining partnerships in the community that allow VAFRE to fulfill its mission
- ➔ Works with Past President on Board Evaluation survey
- ➔ Makes regular reports to the Board of Directors.

\_\_\_\_\_

Print Name

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

*Updated May 2013*

## SECRETARY/TREASURER

### BASIC PURPOSE

The Secretary/Treasurer is the formal recording agent for VAFRE, working with the VAFRE Administrator to produce and maintain minutes of the Board of Directors meetings and any official business of membership. The Secretary/Treasurer works closely with the President acting as Chief of Staff to help monitor Board progress on action items, as well as to set and publish the Board's monthly agenda. The Secretary/Treasurer is responsible for the organization's financial management, ensuring that financial practices are fiscally and ethically sound and consistent with good stewardship of the organization's resources.

### ESSENTIAL JOB RESPONSIBILITIES

- ➔ Attends regular board meetings, monthly membership meetings, new member functions, and other VAFRE-sponsored events.
  
- ➔ In the absence of the VAFRE administrator, records the proceedings of all regular and called meetings of the Association and the Board. Submits draft to the President and then to the full board for review/editing. Submit final draft to the VAFRE administrator to distribute to the full board as a part of the monthly consent agenda packet. (Via Electronic Mail)
  
- ➔ Serves at any specially-called meetings of the Officers of the Board.
  
- ➔ Leads the creation of an annual operating budget for the upcoming fiscal year, involving the current and upcoming officers of the organization and the VAFRE Administrator, to be presented to the Board of for its approval at the last meeting of the fiscal year.
  
- ➔ Oversees the financial welfare of the organization to include:
  - Reviewing the process for collecting monies for membership, luncheons, workshops, speaker programs, award programs and special events. Ensures that these monies are properly deposited and accounted.
  - Reviews periodically the organizations investments and makes timely recommendations concerning the responsible management of such investments
  - Oversees the payment of accounts and authorizes all expenditures.
  - Recommends to the Board, towards the end of the fiscal year, that an independent review or audit be conducted on the organization's accounts and financial records after June 20. An Independent Audit Committee may be appointed for this purpose, though professional audits should be used at least once every five years. The Treasurer makes available all records and cooperates fully with this review/audit.
  - Communicates on a regular basis with VAFRE's Administrator about the financials.
  - Reports to the Board on a regular basis the income and expenses of the organization in enough detail to allow the Board to satisfy its fiduciary responsibility.

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Print Name

Signature

Date

*Updated May 2013*









*BOARD MEMBER-AT-LARGE*

**BASIC PURPOSE**

Board Members-at-Large serve in their first year on the board of VAFRE without designation to a particular area of focus but support the broad work of the Board through active involvement in various committees and ad-hoc task forces. It is expected that they will agree to serve in a specific role on a standing committee by the second year of their first term, and continue in a specific role for their remaining board service.

**ESSENTIAL JOB RESPONSIBILITIES**

- ➔ Attends regular Board meetings, monthly membership meetings, new member functions and all other VAFRE-sponsored events.
  
- ➔ Signs up for and completes other duties for one or more of the standing committees:
  - ➔ Programs Committee
  - ➔ Membership Committee
  - ➔ Communications Committee
  - ➔ Awards Committee

\_\_\_\_\_

Print Name

\_\_\_\_\_

Signature

\_\_\_\_\_

Date

*Updated May 2013*