



## **POLICY AND PROCEDURE MANUAL TABLE OF CONTENTS**

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**TITLE: BOARD DUTIES AND RESPONSIBILITIES**

**Policy No. I**

The Board is responsible for ensuring the integrity and effectiveness of the organization.

**Roles and responsibilities of the Board:**

1. Determine the organization's mission and purpose.
2. Ensure effective organization planning.
3. Ensure adequate resources.
4. Ensure fiduciary oversight.
5. Determine, monitor and strengthen the organization's programs and services.
6. Enhance the organization's public standing.
7. Ensure legal and ethical integrity and maintain accountability.
8. Recruit and orient new Board members and assess Board performance.

**Personal commitment of each Board member:**

1. Share the vision of the organization and help articulate that vision within her circle of influence.
2. Attend and participate fully in meetings.
3. Support the work financially to the extent of her means and use of whatever contacts she has to expand the base of financial support for the organization.
4. Bring a special skill, talent, body of knowledge, connections or other asset to the work of the organization.
5. Be willing to be honest, open, questioning, and contributing to whatever the process is going on within the Board.

Title:	Board Duties and Responsibilities	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: BOARD ORIENTATION AND EVALUATION**

**Policy No. II**

**New Board members will be oriented to:**

1. The Alliance's mission and programs.
2. The Alliance's finances.
3. The Alliance's fund-raising initiatives.
4. The structure of the Board and staff.
5. Their roles and responsibilities as a Board member.

**Each Board member will receive a Board manual containing at least:**

1. The Alliance's by-laws.
2. The Alliance's policies and procedures.
3. Prior year's annual report.
4. Current year's budget.
5. List of current Board members with contact information.
6. Board roles and responsibilities.
7. Staff contact information.
8. Conflict of Interest Policy.
9. Prior year's Financial Review Summary page.
10. The Alliance's mission and vision statement.
11. Dates of future Board meetings.
12. Other items pertinent to the Alliance.

**The Board will conduct a self-assessment annually to include at least:**

1. Program Evaluation.
2. Fund Raising.
3. Financial Oversight.
4. Strategic Planning.
5. Selection and Orientation of the Board.
6. Marketing and Communications.
7. Board Operations.

Title:	Board Orientation and Evaluation	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: RECORDS RETENTION AND DESTRUCTION POLICY**

**Policy No. III**

Type of Document	Minimum Retention Requirement
Accounts Payable	3 years
Audit or Financial Review Reports	Permanently
Bank Reconciliations	2 years
Bank Statements	3 years
Checks for important payments	Permanently
Contracts, notes and leases (expired)	7 years
Contracts (in effect)	Permanently
Correspondence (general)	2 years
Correspondence (legal and important)	Permanently
Duplicate deposit slips	2 years
Year End Financial Statements	Permanently
Insurance Policies (expired)	3 years
Insurance Records, reports, claims	Permanently
Invoices (from vendors)	3 years
Minute books, bylaws and charter	Permanently
Tax returns and worksheets	Permanently
Timesheets	3 years

Title:	Records Retention and Destruction Policy	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: PRIVACY POLICY**

**Policy No. IV**

Healthy Charlotte Alliance (the Alliance) understands it is important to protect our online visitors and donors by helping you understand what kind of information we collect through our website as well as how we use the information. Please review our policy carefully and how we use your personal data.

## **Policy Statement**

We do not collect or use personal information (as described below) except as discussed in this privacy statement. The Alliance's internal purposes include tracking the number and kinds of visitors, analyzing the performance of the Alliance's website as well as publicizing activities, special programs and projects, our grant recipients and future events. We use your personal information to contact you if requested. We do not sell, share, or intentionally make available to third parties or the general public your personal information. "Personal information" is any information that you provide on your registration and response forms received by the Alliance.

Healthy Charlotte Alliance does not offer goods or services nor are we connected to organizations/business who offer credit/debit cards in exchange for monetary and/or in-kind donations. Please report any organization to us that approaches you on the behalf of the Alliance making these types of offers to 704-376-3688. We do not sell or share our donor and mailing list. Our present fundraising policies are confined to targeted mailings to those on our mailing lists and campaigns or events organized by Alliance volunteers.

Healthy Charlotte Alliance's website does link to sites not owned or operated by us. We are not responsible for the privacy practices or the content of such web sites.

Please contact Healthy Charlotte Alliance at 704-376-3688 if you have any questions about our privacy statement or if you would like to make changes or deletion of your personal information from our website.

Title:	Privacy Policy	Date of Issue:	
Approved by:		Review/Revise Date:	



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**TITLE: CONFLICT OF INTEREST POLICY**

**Policy No. V**

**Purpose:**

- a) The purpose of this Board conflict of interest policy is to protect Healthy Charlotte Alliance's (the Alliance) interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of the Alliance or might result in a possible excess benefit transaction.
- b) This policy is intended to supplement, but not replace, any applicable state and federal laws governing conflicts of interest applicable to nonprofit and charitable organizations.
- c) This policy is also intended to identify "independent" directors.

**Definitions:**

1. **Interested person**--Any director, principal officer, or member of a committee with governing board delegated powers, who has a direct or indirect financial interest, as defined below, is an interested person.
2. **Financial interest**--A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:
  - a. An ownership or investment interest in any entity with which the Alliance has a transaction or arrangement,
  - b. A compensation ownership arrangement with the Alliance or with any entity or individual with the Alliance who has a transaction or arrangement, or
  - c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Alliance is negotiating a transaction or arrangement.
  - d. Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.
  - e. A financial interest is not necessarily a conflict of interest. A person who has a financial interest may have conflict of interest only if the Board or Executive Committee decides that a conflict of interest exists, in accordance with this policy.
3. **Independent Director**—A director shall be considered "independent" for the purposes of this policy if he or she is "independent" as defined in the instructions for the IRS 990 form or, until such definition is available, the director:
  - a. is not, and has not been for a period of at least three years, an employee of the Alliance or any entity in which the Alliance has a financial interest;
  - b. does not directly or indirectly have a significant business relationship with the Alliance, which might affect independence in decision-making;



- c. is not employed as an executive of another corporation where any of the Alliance's executive officers serve on the corporation's compensation committee; and
- d. does not have an immediate family member who is an executive officer of the Alliance or who holds a position that has a significant financial relationship with the Alliance.

## Procedures:

1. **Duty to Disclose**—In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the Board or Executive Committee.
2. **Recusal of Self**—Any director may recuse himself or herself at any time from involvement in any decision or discussion in which the director believes he or she has or may have a conflict of interest, without going through the process for determining whether a conflict of interest exists.
3. **Determining Whether a Conflict of Interest Exists**—After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he/she shall leave the Board or Executive Committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining Board or Executive Committee members shall decide if a conflict of interest exists.
4. **Procedures for Addressing the Conflict of Interest.**
  - a. An interested person may make a presentation at the Board or Executive Committee meeting, but after the presentation, he/she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest.
  - b. The Chairperson of the Board or Executive Committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
  - c. After exercising due diligence, the Board or Executive Committee shall determine whether the Alliance can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
  - d. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the Board or Executive Committee shall determine by a majority vote of the disinterest directors whether the transaction or arrangement is in the Alliance's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.
5. **Violations of the Conflicts of Interest Policy**
  - a. If the Board or Executive Committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest,



it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.

- b. If, after hearing the member's response and after making further investigation as warranted by the circumstances, the Board or Executive Committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective actions.

### **Records of Proceedings:**

The minutes of the Board and all committees with Board delegated powers shall contain:

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

### **Compensation:**

1. A voting member of the Board who receives compensation, directly or indirectly, from the Alliance for services is precluded from voting on matters pertaining to that member's compensation.
2. A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the Alliance for services is precluded from voting on matters pertaining to that member's compensation.
3. No voting member of the Board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the Alliance, either individually or collectively, is prohibited from providing information to any committee regarding compensation.

### **Annual Statements:**

1. Each director, principal officer and member of a committee with Board delegated powers shall annually sign a statement which affirms such person:
  - a. Has received a copy of the conflict of interest policy,
  - b. Has read and understands the policy,
  - c. Has agreed to comply with the policy, and
  - d. Understands the Alliance is charitable and in order to maintain its federal tax exemption, it must engage primarily in activities that accomplish one or more of its tax-exempt purposes.



2. Each voting member of the Board shall annually sign a statement that declares whether such person is an independent director.
3. If at any time during the year, the information in the annual statement changes materially, the director shall disclose such changes and revise the annual disclosure form.
4. The Executive Committee shall regularly and consistently monitor and enforce compliance with this reviewing annual statements and taking such other actions as are necessary for effective oversight.

**Periodic Reviews:**

To ensure the Alliance operates in a manner consistent with charitable purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

1. Whether compensation arrangements and benefits are reasonable, based on competent survey information (if reasonably available), and the result of arm's length bargaining.
2. Whether partnerships, joint ventures, and arrangements with management organizations, if any, conform to the Alliance's written policies, are properly recorded, reflect reasonable investment or payments for goods and services, further charitable purposes and do not result in inurement or impermissible private benefits or in an excess benefit transaction.

**Use of Outside Experts:**

When conducting the periodic reviews as provided for in Article V11, the Alliance may, but needs not, use outside advisors. If outside experts are used, their use shall not relieve the Board of its responsibility for ensuring periodic reviews are conducted.

Conflict of Interest policy adopted, August 2, 2017

This policy is based on the IRS model Conflict of Interest policy, which is an attachment to Form 1023. It adds information needed to allow the Alliance to assess director independence in order to answer question on Form 990.

Title:	Conflict of Interest Policy	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: WHISTLEBLOWER POLICY**

**Policy No. VI**

**General:**

**Healthy Charlotte Alliance's (the Alliance)** code of ethics and conduct require directors and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities. As representatives of the **Alliance**, they must practice honesty and integrity in fulfilling their responsibilities and comply with all applicable laws and regulations.

**Reporting Responsibility:**

It is the responsibility of all directors and employees to comply with the code of ethics and conduct and to report violations or suspected violations in accordance with the Whistleblower Policy.

**No Retaliation:**

No director or employee who in good faith reports a violation of the code of ethics and conduct shall suffer harassment, retaliation or adverse consequence.

**Acting in Good Faith:**

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

**Confidentiality:**

Violations or suspected violations may be submitted on a confidential basis. Reports of violations or suspected violations will be kept confidential to the extent possible.

**Handling of Reported Violations:**

The President of **Healthy Charlotte Alliance** will acknowledge receipt of the reported violation or suspected violation. Reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Adopted: August 2, 2017

Title:	Whistleblower Policy	Date of Issue:	
Approved by:		Review/Revise Date:	



Healthy  
CHARLOTTE ALLIANCE

**TITLE: STATEMENT OF NON-DISCRIMINATION**

**Policy No. VII**

Healthy Charlotte Alliance does not and shall not discriminate on the basis of race, color, religion, gender identity or expression, age, national origin, disability, marital status, sexual orientation, military status, or any other characteristic protected by federal, state and local laws, in any of its activities or operations. These activities include but are not limited to hiring, selection of volunteers, vendors and provision of services. We are committed to providing an inclusive environment for all members, volunteers, contractors, and vendors.

Title:	Statement of Non-Discrimination	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: JOB DESCRIPTIONS/PERFORMANCE EVALUATIONS**

**Policy No. VIII**

**TITLE: Administrative Assistant**

**Reports to:** Executive Director

**Overview:** This position is responsible for database and website management, membership roster maintenance, income statements and deposits, mass mailings and emails, event planning and coordination, board support and other projects as assigned.

**Status:** This position is contractual, hourly, part-time and non-exempt.

**Performance:** Performance is measured by observation, product quality and responsiveness.

### **Roles and Responsibilities:**

#### **Manage Databases and Websites:**

1. Maintain the **Healthy Charlotte Alliance** website including managing the Event Calendar by creating events with online registration and/or payment, posting pictures from events and updating board members, grant application, grantees, awards and other content.
2. Manage pictures on SmugMug.
3. Maintain Constant Contact and Donor Snap databases.
4. Maintain the membership roster on the website and in databases.
5. Prepare monthly and yearly membership spreadsheets including member name, type of membership, method of dues payment and any special notes.
6. Prepare monthly and yearly income received spreadsheets including method of payment, fees and purpose.

#### **Financial Management:**

1. Create and send tax receipt letters for all corporate and individual donations.
2. Make deposits, creating copies of all checks and deposit slips.

#### **Correspondence:**

1. Create and send emails to membership and/or entire database including event and program announcements, bylaw votes, newsletters, sympathy notices, birthday cards, surveys and other correspondence.
2. Create and send mass mailings for membership renewals, Holiday House, Legacy Society, KITS luncheon invitations, Past President's tea and other significant information.
3. Respond to daily emails from membership, board members, grant applicants, and Webmaster among others needing direction or assistance.



**Board Support:**

1. Attend board meetings, annual board retreat and committee meetings.
2. Create board notebooks and prepare handouts.

**Event Planning and Coordination:**

1. Support programs and fund-raisers such as the Holiday House and Healthy Charlotte Alliance Community Classroom.
2. Manage RSVP lists and ticket sales.
3. Manage registration, create nametags as necessary, collect and deposit money.
4. Create seating assignments.
5. Assist during the event and with set up, clean up.

**Qualifications:**

Minimum qualifications include any equivalent combination of experience, education and training which provides the necessary knowledge, skills, and abilities to adequately perform the job.

Adopted: August 2, 2017



**TITLE: EXECUTIVE DIRECTOR**

**Reports to:** Board President

**Overview:** This position is responsible for strategic leadership, fundraising, and advancing the visibility and impact of Healthy Charlotte Alliance in the Charlotte-Mecklenburg Community.

**Status:** This position is contractual, hourly, part-time and non-exempt.

**Performance:** Performance is measured by observation and outcome measures.

**Roles and Responsibilities:**

**Governance:**

1. Implement Alliance bylaws, policies and procedures.
2. Work with board of directors to revise bylaws, policies and procedures and strategic plan when indicated.
3. Communicate with the board of directors so they remain fully informed on all aspects of operations and planning.
4. Prepare reports for the board on issues needing review or action including but not limited to fundraising and membership recruitment activities and outcomes.
5. Plan and participate in board meetings and annual board retreat.
6. Assist board chair in orienting new board members.
7. Refer issues and problems to the appropriate board member for review.

**Fundraising:**

1. Develop and execute a comprehensive fundraising plan to generate charitable giving to cover operating expenses and grow the endowment.
2. Conduct annual giving, planned giving, and corporate giving campaigns.
3. Identify sponsorship opportunities and secure sponsors.
4. Cultivate and retain current and prospective donors and sponsors.
5. Conduct and evaluate fundraising events with board and member support.
6. Manage the acknowledgement of donations.

**Marketing:**

1. Promote and represent Healthy Charlotte Alliance at community events to increase visibility, recruit members and expand donor base.
2. Champion the mission and vision of Healthy Charlotte Alliance at every



opportunity.

3. Establish working relationships with community organizations, grantees and corporate sponsors.
4. Maintain an active presence on all social media platforms.
5. Manage media relations.
6. Assure website material is compelling and current.
7. Prepare the annual report.
8. Create monthly newsletter and promotional materials for Alliance events.
9. Cultivate current members and engage and recruit new members.

**Finance:**

1. Assist treasurer and board president with budget preparation.
2. Practice fiscal responsibility by operating within budget.
3. Communicate budget adjustments to treasurer and board president when indicated.

**Operations:**

1. Maintain official documents and ensure compliance with bylaws, policies and procedures, federal, state and local governing agencies.
2. Recruit, hire, train and supervise staff.
3. Utilizes human resources best practices.
4. Support projects by developing time lines, budgets and tasks to ensure successful outcomes.

**Qualifications:**

1. Minimum of Bachelor's Degree.
2. Minimum of two years in fund development or nonprofit executive director position.
3. Knowledge of donor relationship building.
4. Budgeting experience.
5. Strong written and verbal communication skills.
6. Ability to analyze and prepare reports.
7. Self-motivated, able to work independently and meet deadlines.
8. Connection to the Charlotte philanthropic and business community preferred.

Adopted: February 21, 2018

Title:	Job Descriptions/Performance Evaluations	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: RELATIONSHIP WITH MECKLENBURG COUNTY  
MEDICAL SOCIETY (MCMS)**

**Policy No. IX**

- A. The Executive Director of the MCMS shall be an ex-officio member of the Board of Directors.
- B. The president of the **Alliance** shall be an ex-officio member of the Board of Directors of the MCMS.

Title:	Relationship with Mecklenburg County Medical Society (MCMS)	Date of Issue:	
Approved by:		Review/Revise Date:	



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**TITLE: FINANCIAL POLICIES AND PROCEDURES**

**Policy No. X**

- A. **Fiscal year** is from June 1 to May 31.
- B. **Authorization of signers.**
1. President, Treasurer, President-Elect and other board members whom the Board deems appropriate are authorized to sign checks.
  2. Checks in excess of \$5,000 require two signatures from those authorized to sign checks.
  3. Bank signature cards are kept current.
- C. **Asset Management**
1. Checking accounts maintain balances adequate for paying regular expenses. Excess funds are transferred to the investment account.
  2. Treasurer and Administrative Assistant are responsible for making deposits. Administrative Assistant sends deposit slips and supporting data to the Treasurer.
  3. Treasurer issues checks to pay budgeted and authorized expenses and maintains a summary of checks written.
  4. In the absence of the Treasurer, the President is authorized to deposit and/or disburse funds.
  5. When appropriate or necessary, a Project Treasurer may be appointed by the President to make deposits for a specific project. The Project Treasurer provides the Treasurer with copies of deposit slips and supporting data. Treasurer prepares financial statements including revenue, expenses, profit/loss for the project.
  6. President or designee reviews check stubs monthly to ensure all expenditures are valid.
- D. **Physical Asset Management**
1. Furniture and equipment is procured in the most cost effective manner feasible through purchase, lease or rental.
  2. All procurements are within budgeted limits unless specifically approved by the Finance Committee or Board of Directors.
- E. **Financial Advisors**
1. Finance Committee recommends and the Board approves the financial advisors and investment strategy.
  2. Finance Committee monitors portfolio performance.
- F. **Investment Policy – see addendum A**



## G. **Membership Dues**

1. Dues are collected beginning on June 1 for the fiscal year.
2. Administrative Assistant sends dues notices, makes deposits and provides deposit slips with supporting data to the Treasurer.
3. Treasurer remits NCMS Alliance/AMA Alliance dues. Administrative Assistant maintains supporting documents.

## H. **Donations and Sponsorships**

1. Administrative Assistant sends a letter acknowledging the donation or sponsorship for tax purposes.
2. President or Project Chairman acknowledges in writing all donations or sponsorships over \$500.
3. Corresponding Secretary acknowledges all angel donations and donations made in memory of, or in honor of, an individual. Administrative Assistant notifies the Corresponding Secretary of the donation.

## I. **In-kind Gifts**

1. Board approves acceptance of an in-kind gift offering.
2. Donor delivers a duly executed deed of gift. Expenses associated with the transfer of ownership may be shared between the donor and the **Alliance**.
3. The **Alliance** does not establish the value of gifts. If an independent appraisal is considered necessary, it shall be obtained and paid for by the donor. Internal appraisals made by the **Alliance** are not shared with the donor. The appraiser must present a signed statement that he/she has no interest in the gift and no relationship with the donor that might present the perception of conflict of interest.
4. In-kind gifts are converted to cash at the earliest feasible and appropriate time.

## J. **Expenditures**

1. Finance Committee approves non-budgeted expenditures and expenditures over budget that are under \$500.
2. Finance Committee and Executive Committee approve non-budgeted expenditures and expenditures over budget that are over \$500.
3. Finance Committee and Board of Directors approve any non-budgeted expenditures and expenditures over budget that exceed \$2000.

## K. **Reimbursement to Members**

1. Members who incur reimbursable expenses submit an expense reimbursement form with supporting documentation to the Treasurer within 30 days of the date that the expense was incurred. For expenses incurred in May, expense reimbursement forms are requested by May 31<sup>st</sup>.



2. The **Alliance** does not reimburse for travel or other personal expenses except when approved by the Board before the expense has been incurred.
- L. **Loans:** No loans are contracted on behalf of the **Alliance** and no evidence of indebtedness is issued in its name except as authorized by the Board of Directors.
- M. **Licenses and Permits**
1. Treasurer maintains a solicitation license in North Carolina on behalf of the **Alliance**. Application renewal occurs annually.
  2. Treasurer may need to file for a city/county business license for a specific project.
- N. **Insurance Policy Coverage**
1. The **Alliance** maintains director and officer liability insurance coverage.
  2. All persons having check-writing authority are bonded.
  3. The Board of Directors may seek project liability insurance for a particular fundraising event.
- O. **Taxes and Returns**
1. The **Alliance** maintains a 501(c)(3) status under the IRS Code as certified by the determination letter on file.
  2. The **Alliance** files a Federal tax return Form 990 and sends a copy to the NC Department of Revenue annually. An independent CPA prepares the form during the annual audit or review and the Treasurer is responsible for mailing the form.
  3. NC sales tax paid on goods purchased is refundable. Treasurer or Bookkeeper files the form for refund of state and county sales tax semi-annually.
  4. Treasurer or Bookkeeper issues a Federal tax Form 1099 to any unincorporated private contractor showing amounts paid during the calendar year by January 31 with copies to the IRS and the NC Department of Revenue by February 28.
- P. **Budget Preparation**
1. Treasurer in consultation with the President and President-Elect prepares the operating budget for the ensuing year. Projected expenses and revenues are included.
  2. Treasurer in consultation with the project chairman and President-Elect prepares project budgets for any projects planned for the ensuing year. Project budgets are included in the operating budget.
  3. Finance Committee reviews and approves the operating budget which is then approved by the Board of Directors and membership.



**Q. Grant Disbursements**

1. Finance Committee determines and the Board approves the grant disbursement amount each year. The disbursement amount is calculated by the Treasurer based on the average of the market value of the endowment investment account for the three previous fiscal years. A maximum of 5% of this average may be disbursed annually, unless a greater amount is approved by the membership.
2. Grant disbursement amount is determined prior to the Grants Committee Meeting.
3. Treasurer is authorized to request the transfer of funds from the Endowment to cover grant disbursements not covered by fund-raising efforts for the year.
4. Treasurer prepares grant checks prior to the Annual Meeting in May when grants are disbursed.

**R. Financial Policy Review:** Financial Policies are reviewed and revised as necessary annually by the Finance Committee and presented to the Board for approval.

**S. Financial Reporting**

1. Treasurer and bookkeeper prepare monthly financial statements based on deposits and checks, general ledger reports and membership reports provided by the Administrative Assistant. Financial Statements are presented to the Board.
2. Treasurer maintains copies of checking account and investment statements, deposit and check records, credit card bills and other financial records including a list of accounts with titles and definitions for all ledger accounts.
3. Credit card payments that are made through PayPal are reviewed and the Administrative Assistant reports the source and revenue amount to the Treasurer.

**T. Annual Audit or Review**

1. Financial records of the **Alliance** are audited or reviewed at the end of each fiscal year.
2. Treasurer, with assistance from the Bookkeeper compiles all necessary documents as requested for the annual audit or review and submits them to the independent CPA secured to conduct the annual audit or review.
3. Treasurer maintains copies of minutes of Finance Committee and Board of Director meetings for the annual audit or review.
4. The Treasurer or independent CPA presents the annual audit or review report at the next Board meeting following its completion.



# Healthy

CHARLOTTE ALLIANCE

5. Copies of the annual audit or review are maintained by the Treasurer and posted on the **Alliance** website.

Title:	Financial Policies and Procedures	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: VENDOR RELATIONSHIPS**

**Policy No. XI**

Vendor relationships are reviewed at least every five years to assure competitive pricing and quality service.

Title:	Vendor Relationships	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: CONTRACT INITIATION**

**Policy No. XII**

- A. No contracts are entered into on behalf of the **Alliance** except as authorized by the Board of Directors.
- B. When prudent, a legal authority reviews contracts before they are initiated.

Title:	Contract Initiation	Date of Issue:	
Approved by:		Review/Revise Date:	



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**TITLE: GRANT DISTRIBUTION POLICY AND PROCEDURE**

**Policy No. XIII**

**Policy:**

Grants are awarded to non-profit organizations benefiting the people of Mecklenburg County and addressing the top four priority health issues as determined by the Mecklenburg County Community Health Assessment. The four issues are: mental health, chronic disease, access to care, and violence prevention.

**Procedure:**

- A. Grant applications are completed by a designated date in February.
- B. Organizations receiving a grant the previous year are not eligible for a grant in the current year.
- C. Special consideration may be given to grants that align with the **Alliance's** educational focus for the year.
- D. Legacy organizations founded by the **Alliance**, Teen Health Connection, Hospitality House of Charlotte and MedAssist, may receive a grant annually in a pre-determined amount without needing to complete an application.
- E. Grant applications should include at least: quantitative ways to measure the success of the program and impact on the community e.g. number of residents served, and how the program is unique from other similar programs offered in Mecklenburg County.
- F. Grants Committee reviews grants using grant application criteria and decides which grants to approve and the amount of funding awarded to each.
- G. Interviews with grantees may be requested if deemed necessary.
- H. Applicants must inform the Vice-President of Grants if the project for which the funding has been requested is cancelled. These grants are restricted funds, and cannot be used for any purpose other than the one stated on the application.
- I. Applicants must submit a report on the status of the project by a designated date to the Vice-President of Grants and fulfill obligations promoting the **Alliance** as outlined in the grant approval letter. Any agency failing to submit a status report is not eligible for a grant for the following three years.
- J. Grants decisions are made in March and grants are distributed at the **Healthy Charlotte Alliance** annual meeting in May.



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**TITLE: AWARDS POLICY AND PROCEDURE**

**Policy No. XIV**

- A. Jean Gaskin Award is the highest award the **Alliance** can bestow and is given to honor an **Alliance** member who has demonstrated exceptional vision and outstanding leadership that has positively impacted the community, the image of the organization and significantly influenced the future of the **Alliance**.

**Procedure:**

1. Nominations are submitted to the Awards Chairman outlining the candidate's qualifications.
2. A committee of at least three **Alliance** members considers the nomination and either makes a recommendation to the Board to approve the award or informs the nominator that the award was not approved.
3. Recipient is honored at the annual meeting in May.
4. A grant may be given to the recipient's charity of choice in the recipient's name.

- B. Cannon Award honors an outstanding volunteer in health-related service in the community.

**Procedure:**

1. Chairman, appointed by the President, solicits nominations from the community.
2. Chairman appoints a committee of at least three **Alliance** members to consider the nominations and make a recommendation to the Board.
3. A decision is by a simple majority.
4. The Board approves the award recipient.
5. Chairman notifies those who submitted nominations of the committee's determination regarding the nomination.
6. Nominations not selected remain active candidates for the award for three years.
7. A \$1000 grant is made to the recipient's charity of choice at the annual meeting in May.

- C. Genie Hayes Award honors an **Alliance** member who has demonstrated strong leadership skills and given his/her time and talent to the Alliance over the years.

**Procedure:**

1. Nominations are submitted to the Awards Chairman.
2. A committee of at least three **Alliance** members considers the nominations.
3. A decision is by a simple majority.



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4. Nominations not selected remain active candidates for the award for three years.
  5. The recipient receives an engraved memento at the annual meeting in May.
- D. President's Award is given at the discretion of the President to honor an **Alliance** member. The recipient receives a President's Award Certificate at the annual meeting in May.

Title:	Award Policy and Procedure	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: HEALTHCARE PROJECT SELECTION AND  
EVALUATION PROCESS**

**Policy No. XV**

- A. Approval and Funding of Healthcare Projects.
1. Education and Planning provides strategic vision for the organization and recommends healthcare projects to Finance Committee and to the Board for approval.
  2. Education and Planning researches projects prior to rendering a recommendation. Research includes budget, community impact, and an implementation plan.
  3. Funds may be requested from Finance Committee, if needed, for researching the project.
  4. Projects involving another nonprofit agency may request funding through the Grants process. Funds are distributed directly to the agency.
  5. The **Alliance** Board may request that an **Alliance** member serve on its governing board during the time the project is funded by the **Alliance**.
  6. Project evaluation is completed once the project is fully implemented. Evaluation includes at least:
    - a. Project goal.
    - b. Project impact.
    - c. Financials.
    - d. Successes.
    - e. Opportunities.
    - f. Recommendations.

Title:	Healthcare Project Selection and Evaluation Process	Date of Issue:	
Approved by:		Review/Revise Date:	



**TITLE: POLICY SUBMISSION AND REVISION POLICY AND PROCEDURE**

**Policy No. XVI**

- A. Any **Alliance** member or employee may submit a policy and procedure.
- B. Policies are presented to the Board for approval.
- C. General policies and procedures are reviewed at least every five years.
- D. Financial policies are reviewed annually and revised as necessary by the Finance Committee who then presents them to the Board for approval.

Title:	Policy Submission and Revision Policy and Procedure	Date of Issue:	
Approved by:		Review/Revise Date:	



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**TITLE: EDUCATIONAL PROGRAMS AND FUNDRAISERS**

**Policy No. XVII**

- A. Education and Planning evaluates educational and fundraising projects and recommends whether or not to continue them. This includes but is not limited to the Holiday House and Healthy Charlotte Alliance Classroom.
- B. Educational events, especially the Healthy Charlotte Alliance Classroom are offered to make health information available to the public.
- C. Programs Committee plans programs for members and guests throughout the year. Programs can be educational, social, community service or membership recruitment.

Title:	Educational Programs and Fundraisers	Date of Issue:	
Approved by:		Review/Revise Date:	



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**TITLE: BOARD POSITIONS**

**Policy No. XVIII**

- A. The President shall:
1. Preside at all general membership meetings of the **Alliance**, the Board of Directors, and the Executive Committee.
  2. Serve as an ex-officio member of all committees, with the exception of the Nominating Committee.
  3. Provide an annual report at the annual meeting.
  4. Assist the Vice Presidents as needed in appointing the Chair of the standing committees and special committees as needed.
  5. Approve all invitations, publications, internal and external correspondence, and any other written or oral matter that goes to the public.
  6. Perform such other duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- B. The President-Elect shall:
1. Assist the President in the general conduct of the work of the **Alliance**.
  2. Shall immediately upon election, begin preparing for all aspects of her/his presidency, particularly for any planned health projects, fundraisers or programs that require grants, funding, or advance scheduling.
  3. Be an ex-officio member of all other committees.
  4. Perform such other duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- C. The Immediate Past-President shall:
1. Perform, in the absence of the President, all the duties as defined in the **Alliance** Bylaws and policies.
  2. Perform such other duties as defined in the **Alliance** Bylaws and policies, Organizational Policies and Procedures, and Financial Policies
- D. The Recording Secretary shall:
1. Keep in permanent form the minutes of the meetings of the Board of Directors, Finance Committee and Executive Committee, and the business portion of membership meetings.
  2. Receive, count, and record written, electronic or hand ballots at the membership meetings.
  3. Perform such other duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- E. The Corresponding Secretary shall:
1. Conduct the correspondence of the **Alliance** including notifications of honorariums and memorials and sending the appropriate thank-you notes and acknowledgements.
  2. Assist with **Alliance** mailings.
  3. Keep records of memorials and honorariums.
  4. Perform such other duties as defined in the **Alliance** Bylaws and Organizational Policies and Procedures.



- F. The Treasurer shall:
1. Be responsible for complete and accurate accounting of receipts, disbursements, and investments.
  2. Receive all money, pay bills, and disburse funds as directed by the Board of Directors.
  3. Serve as Chairman of the Finance Committee.
  4. Prepare and present financial reports at Board meetings.
  5. Prepare and present the proposed annual budget for vote by the board and then for a vote by membership.
  6. Work with the bookkeeper and CPA in order to prepare a timely tax return.
  7. Ensure the submission of accounts with assistance from the CPA and bookkeeper for the annual review or audit as necessary.
  8. Perform such other duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and the Financial Policies.
- G. The Vice President of Grants Committee shall:
1. Serve as Chair of the Grants Committee.
  2. Provide an annual report on grants to membership at the annual meeting.
  3. Publish the recipients of grants to **Alliance** membership through **Alliance** publications, to the medical community through the Mecklenburg County Medical Society publications and to the community through various media outlets.
  4. Perform such other duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- H. The Vice President of Programs shall:
1. Plan and implement educational and social programs for members and guests to engage members and recruit new members.
  2. Perform such other duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- I. The Vice President of Financial Development shall:
1. Work with the Chair of each fundraising event to secure sponsors and donors and ensure financial success.
  2. Share responsibility with the President and Treasurer in fulfilling **Alliance** fundraising obligations required for maintaining the **Alliance's** 501(c)3 status.
  3. Perform such other duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- J. The Vice President of Marketing and Communication shall:
1. Coordinate all publicity and marketing for **Alliance** events.
  2. Receive approval of the President for all internal and external communications.
  3. Work with other Vice Presidents, when necessary, to keep the **Alliance** membership and the community informed about Alliance activities and events.



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4. Keep the community aware of **Alliance** projects and events through appropriate media sources.
  5. Incorporate information about the composition and mission of the **Alliance** whenever appropriate.
  6. Work with the President and Board of Directors to develop a social media plan.
  7. Work with appropriate personnel to maintain a current website.
  8. Perform such duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- K. The Vice President of Education and Planning shall:
1. Serve in an advisory capacity to the President and President-Elect.
  2. Serve as Chair of the Education and Planning Committee.
  3. Identify and implement projects that address community health issues.
  4. Plan and execute educational events that address health issues.
  5. Plan and execute fundraising events.
  6. Perform such duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures, and Financial Policies.
- L. The Vice President of Membership and Community Outreach shall:
1. Serve as Chair of the Membership Development Committee charged with recruiting new members and retaining and engaging current members.
  2. Perform such duties as defined in the **Alliance** Bylaws, Organizational Policies and Procedures and Financial Policies.

Title:	Board Positions	Date of Issue:	
Approved by:		Review/Revise Date:	



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**TITLE: COMMITTEES**

**Policy No. XIX**

- A. The Executive Committee shall:
1. Be composed of the President, President-Elect, Recording Secretary, Treasurer, Immediate Past-President and Executive Director.
  2. Perform the duties of the Board of Directors between meetings of the Board; make recommendations to the Board of Directors and act in the event of an emergency.
  3. Serve as the Personnel Committee by being responsible for the recruitment, hiring, supervision, assignment of duties and the firing of all paid personnel.
- B. Nominating Committee shall:
1. Be composed of the Chairman, appointed by the President; immediate Past President, Executive Director and up to four members appointed by the President.
  2. Serve a term concurrent with the Directors, i.e., from June 1 to May 31.
  3. Assess current and anticipated needs related to Board composition, determining knowledge, skills, abilities, and influence needed to accomplish future work of the Board.
  4. Identify potential Board members and explore their interest and availability for Board service.
  5. Nominate individuals to be elected as members of the Board.
  6. Oversee the process of Board orientation.
  7. Take the lead in succession planning, taking steps to recruit, and prepare future Board leadership.
- C. Finance Committee shall:
1. Be composed of the Treasurer, who shall serve as the Chair, the President, President-Elect, Immediate Past President, Vice Presidents of Grants, Financial Development and Education and Planning and the Recording Secretary, Past Treasurer and Executive Director.
  2. Meet at least six times each fiscal year to review the finances of the **Alliance** and act in an advisory capacity to the Board of Directors in all transactions involving **Alliance** funds.
  3. Work closely with the investment advisor to provide oversight of the investments.
  4. Recommend to the Board for their approval the grant disbursement amount.
  5. Assist in the preparation of the annual budget.
  6. Periodically review the Financial Policies and recommend any revisions to the Board.
  7. Review and approve the proposed budget for all new or ongoing fundraising or healthcare projects. The Finance Committee's recommendation will be presented to the Board for its approval.



- D. Bylaws Committee shall:
1. Consist of the President, President-Elect, Executive Director and up to three additional members appointed by the President, one of which shall serve as Chair.
  2. Convene periodically to review the Bylaws and Organizational Policies and Procedures.
  3. Review any Bylaw changes proposed by the Board or any members. Any revisions shall receive Board approval before being presented to the membership for its approval.
- E. Education and Planning Committee shall:
1. Serve as an advisory committee to the President and President-Elect.
  2. Consist of the Vice President of Education and Planning, who shall serve as Chair, President, President-Elect, Immediate Past Vice President of Education and Planning, Treasurer, Executive Director and up to five members-at-large. In consultation with the President, the Chair will appoint the members-at-large.
  3. Evaluate fundraising and educational programs each year.
  4. Recommend new health projects to the Board for approval.
  5. Make recommendations that will contribute to the growth of the **Alliance**.
- F. Grants Committee shall:
1. Consist of the Vice President of Grants, who shall serve as Chair, the President, President-Elect, past Vice President of Grants, Vice Presidents of Fundraising, Executive Director and up to three members at-large appointed by the Chair.
  2. Assist the Vice President of Grants in evaluating grant applications following the guidelines and rules set by this committee and the Board.
  3. Recommend its selection of grant recipients to the Board for approval.

Title:	Committees	Date of Issue:	
		Review/Revise Date:	



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Approved by:			
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**TITLE: MEMBERSHIP DUES**

**Policy No. XX**

- A. Membership dues of \$50 are collected at the beginning of the fiscal year, which is June 1st and go toward the **Alliance's** operating expenses.
- B. Members have the opportunity to become an Angel Donor by making an additional \$100 donation to the **Alliance** that may be in honor of or in memory of an individual(s).
- C. Members have the opportunity to join the NC State Medical Society Alliance for \$50. Spouses of physicians may join the American Medical Society Alliance for \$50.

Title:	Committees	Date of Issue:	
Approved by:		Review/Revise Date:	



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