



AMC Institute

Accreditation Workbook

Sample Policies, Worksheets and Tips for Accreditation and Reaccreditation

Table of Contents

Sample Policies..... 4

Introduction 4

Section 3.5 –Client Contracts: Review Procedures and Requirements 5

Section 3.6, Intellectual Property Rights of Client and AMC..... 6

Section 3.6 –Client Contracts must Address Intellectual Property 7

Section 4 – Servicing the Clients and Service Delivery Procedures..... 7

 Sub-Section 4.1.4 - Service Speed and Accuracy..... 11

 Sub-sections 4.6–Protection of Intellectual Property..... 12

 Sub-Section 4.7 – Policy for External Communications – Client and AMC..... 12

Section 5 – Evaluation of Services 15

 Sub-section 5.2 – Internal Evaluation of Client Service 17

Section 6 – Financial Management and Internal Controls 21

 Sub-section 6.1 Financial Statements 21

 Sub-section 6.2 Financial Control & Reporting..... 22

 Sub-section 6.3 No Co-mingling of Assets 22

 Sub-section 6.4 Privacy of Records 22

 Sub-section 6.5 Commissions, Finder Fees, Etc..... 23

 Sub-section 6.6 Outside Review 23

 Sub-section 6.7 General Liability 23

Section 6.0 Client Financial Management Policies & Procedures 24

 Sub-section 6.3 Policy on Co-mingling of Funds..... 26

 Sub-Section 6.6 Independent Review or Audit of Client Financial Transactions..... 26

Submitted by Melby, Cameron, & Anderson..... 26

 Sub-section 6.7 Need for General Liability and Association Professional Liability Insurance..... 30

 Sub-sections 6.6 and 6.7 ANNUAL AUDIT AND INSURANCE RECOMENDATION 30

Section 8- Employee Recruitment and Selection 31

Section 9 – Employee Training and Professional Development Procedures..... 31

 Sub-section 9.1 Employee Evaluations 31

 Sub-section 9.2 Employee Training and Professional Development..... 32

Section 10 Subcontracting and Purchasing Requirements 33

 Sub-section Section 10.1 Subcontracting and Purchasing Requirements..... 33

Section 11 Record Keeping Requirements/Continuity of Operations 34

 Sub-section 11.1 Record Retention Policy..... 34

 Sub-section 11.3 AMC's shall adopt a business continuity plan that will include at a minimum. 36

 Sub-section 11.3 Business Continuity Plan 38

Section 12. Internal Quality Control Requirements 41

Sub-section 12.1.1 Determine whether performance complies with the AMCs written plans, procedures, and programs;.....	41
Sub-section 12.1.2 Verifies the effectiveness of the AMCs corrective actions.....	41
Sub-section 12.1.3 Audit activities are appropriately planned;	41
Sub-section 12.1.4 Internal auditors are independent of the procedures and people being audited and external auditors are recognized independent entities;	41
Sub-section 12.1.5 Audit results, corrective actions, and corrective action results and consequences are appropriately recorded;	42
Sub-section 12.1.6 Audit conclusions are discussed with the people whose activities and results are being audited, and deficiencies are corrected;	42
Sub-section 12.1.7 Copies of the audit reports are kept on file for future reference in accordance with the records retention policy, but not for less than four years.	42
Sub-section 12.1.2 Corrective Action Form	42
Exhibit 1 Accreditation Checklist	44
Exhibit 2 – Client Internal Audit Form submitted by Association Headquarters.....	49
Exhibit 3 CLIENT TRANSITION CHECKLIST	51
<i>Submitted by Melby, Cameron & Anderson</i>	51
<i>(for the information and property listed below, please supply all relevant materials and delete any that don't apply to this client)</i>	52
Exhibit 4 Separation Agreement.....	56
Exhibit 5 Financial Audit Release Form-.....	57
Exhibit 6 Client Transition In Plan –	58
Exhibit 7 Transition Out	61
Exhibit 8 Evaluation of Employees.....	65
Exhibit 9 Employee Performance Appraisal	68
Exhibit 10- Employee Performance Evaluation Form	71
Exhibit 11 - New Employee Procedure	76
Exhibit 12 New Employee Checklist	77
Exhibit 12– New Employee Progress Report.....	79
Exhibit 13 Professional Development Form.....	81
Tips from the Auditors	82
FAQs.....	82
The Reviewer's Process.....	83

Sample Policies

Introduction

As you start down the path to Accreditation, the road ahead may seem daunting. But, you're not alone. The AMC Institute and its accredited companies are aligned to help guide you through the process. The following samples have been provided by AMCI accredited companies as a reference tool to demonstrate how they are implementing the standards.

As you review the samples, keep in mind that one size does not fit all. Each company has its own nuances, therefore, you will need to implement the standards in a way that best suits your circumstances.

The beauty of the AMCI Accreditation Program is that the Standard establishes requirements that allows each individual AMC to create its own policies and measurables. An AMC's compliance with this Standard will depend on how well your AMC's Team have consistently adopted and implemented their own procedures and policies as they relate to each element in this Standard

As you refer to the samples policies provided and build your own policies and procedures, it is important to have a clear understanding of the words **Performance Service Systems** described in the Standard. The formal definition is copied below. In short, the definition equates to making sure that your policies protect both your AMC and your clients, control costs, require some form of routine client feedback and means to respond to issues; and that your AMC embraces ongoing professional development.

Performance Service Systems are internal processes (described in sections 3 through 12 of this document) that must be developed, documented, and implemented by an AMC. When these systems are in place, an AMC:

- 2.4.1 Ensures that a client's needs are identified and the services to be provided by the AMC are agreed upon by the AMC and the client;
- 2.4.2 Requires regular feedback from client;
- 2.4.3 Provides a prompt response to clients' needs and requests;
- 2.4.4 Establishes a staff personnel training and development program;
- 2.4.5 Fosters an organizational culture embracing professional performance attributes; and
- 2.4.6 Controls costs, improves efficiency, and promotes prompt performance of quality services to the client.

Good luck on your journey toward earning the AMCI Accreditation for your AMC. The trip down this road is well worth the time and effort. There hasn't been a single AMC that achieved this designation who has commented that their AMC was so much more efficient due to the systems required by the program.

Best,

The AMCI Accreditation Task Force

Section 3.5 –Client Contracts: Review Procedures and Requirements

Submitted by: Melby, Cameron & Anderson

Transition Procedures for Terminated Client Contracts

Following termination of a client management contract—whether by MCA decision or the client’s—the following procedures shall be followed to assure a smooth and professional transition, and to transfer property back to the client:

1. Upon announcement of the contract termination, MCA shall identify an internal transition team, consisting of the executive director, primary support staff working on that client, and at least one MCA partner (if the executive director is not already one of the partners). We shall communicate with the client to identify the primary transition contact within the association, and—if new management has been determined—the primary contact(s) there. Working together, we shall establish a list of transition activities and identify who is responsible for each.
2. A mutually agreed-upon transition timetable will be established. It will address timing of closing or transferring all bank/investment accounts, shipment of client materials, notification of members/vendors/other key contacts, final financial report, and plans for training or consultation. Based on the timetable for the transition, these activities shall be performed:
 - A separation agreement shall be prepared and presented to client for signature shortly after either party gives notification of intent to terminate contract. This document shall outline the client’s and MCA’s responsibilities during and following the transition, including the hourly charges for work requested of MCA following the conclusion of the relationship. This is to be signed by the president or other approved officer and returned to MCA.
 - All electronic files belonging to the client will be saved electronically (on CD, external hard drive, or other mutually acceptable format). MCA’s proprietary database software shall not be given to the client, but the membership database will be provided in Excel, a comma-delimited format, or another standard acceptable format. For clients using MemberClicks, the database shall also be available to them on that AMS platform.
 - The Executive Director shall be responsible for updating and compiling inventory of client property which will be presented to client/new management. In the course of packing up files and materials, documents and property that are no longer relevant or needed will be disposed of, with full notification and approval of the client. Boxes packed up for transfer to new client location shall be clearly marked regarding contents and shall correlate with inventory document. Materials shall either be picked up by the client or shipped at client’s expense to whomever they determine to receive them. Executive Director will prepare a detailed inventory of physical and electronic property shipped/transferred and will present this to association’s designated representative for signature.
 - Bank(s) and any other financial institutions shall be informed of the change. If the client chooses to change banks, its designated representative (officer/signator or new management) shall arrange for the necessary signature cards and paperwork to open new accounts. Once completed, funds will be transferred upon receipt of a written request from the client authorizing such transfer. Sufficient funds may be retained in an existing account to cover final management fees, shipping expenses, and other expenses related to the transition.

- Members shall be notified of the transition in a method acceptable to the client and to MCA. Similarly, communication will be sent to key contacts informing them of the change and effective date, as well as providing new contact information (names/titles, address, phone, fax, email).
 - MCA will recommend that an outside audit or review by a CPA be performed on the financial records immediately following the transfer of all financial records and responsibilities. The audit is to be at the expense of the client. If the client declines, it shall send a written release from the Board acknowledging that an audit was recommended, that the Board declined, and that it accepts the financial records as transferred. This document shall be filed with the key transition documents and retained permanently in MCA files.
 - MCA will provide training and consultation to association leaders or new management prior to the conclusion of the existing contract, provided such training and consultation does not significantly exceed hours allocated for that client. Once the contract is completed and the client has transferred out, MCA will complete the final month's financial report at no cost to the client. Should additional consultation or training time be requested by the client, that time will be tracked in 15-minute increments and billed monthly at a mutually agreed-upon rate. Work is to be pre-authorized by the association president or approved designee.
3. A meeting shall be set, including executive director, an MCA partner (if the executive director is not one of the partners), association president and/or other designated representative(s), at which time inventory of materials shall be presented and reviewed. After review by all parties, the release form will be signed and dated by the association president and/or appointed representative, the executive director, and an MCA partner (if the E.D. is not a partner). A copy of the release will be given to all signators; MCA's copy shall be filed along with other permanent transition documents.

Section 3.6, Intellectual Property Rights of Client and AMC

Submitted by: Executive Director, Inc.

3.6 AMCs shall address in their contracts the respective intellectual property rights (e.g. copyright, trademark, patents) of the client and the AMC including:

3.6.1 Materials and software systems developed and customized specifically for the client.

3.6.2 Materials and software systems of the AMC adapted for use with the client.

Ownership of Materials and Information Clause:

All materials and information produced by or for AMC, or entrusted to AMC, for the benefit of Client pursuant to this Agreement are and shall be the sole property of Client. Such materials include without limitation Clients membership and prospect lists, conference registration lists, other mailing lists, publications, copyrights, trademarks, files, financial records, software and similar property or information now existing or acquired during the term of this Agreement. Should the Agreement be terminated, all such materials and information shall be delivered by AMC to Client or to such person or entity as may be designated by Client in writing. (list would be provided here)*

Client and AMC agree that all procedures, systems, forms and computer software programs purchased and used by AMC in providing services to Client hereunder are the property of AMC and may

be further used by AMC at any time for any purposes it requires. (no list provided, implied that anything not listed in clause above is the property of the AMC)*

Note: If a client owns materials or software, it will be noted in the contract in list form. We opted to use this clause for materials and software due to the numerous systems, licenses that we own.

Section 3.6 – Client Contracts must Address Intellectual Property

Submitted by Melby, Cameron & Anderson

Generic for clients who do not have Trademarks, etc.

INTELLECTUAL PROPERTY: Work developed for [CLIENT] by (AMC Name) shall belong to [CLIENT]. With regard to databases, [CLIENT] shall own and have full rights to all content. However, the software on which it is stored may belong to (AMC NAME). Should [CLIENT] and (AMC NAME) sever their management contract, (AMC NAME) shall deliver the requested data in a standard transfer format, such as Excel.

Complex for clients who have Trademarks, etc.

TRADEMARK LICENSE: INTELLECTUAL PROPERTY

[CLIENT] hereby grants to (AMC NAME) a worldwide, non-exclusive, royalty-free, limited, non-transferable and revocable license (the “Trademark License”) to use the [CLIENT] name, logo, brand identifications, trade names, service marks or trademarks and any other marks related to the Services or otherwise utilized in connection with this Agreement (collectively, the “Marks”), subject to the following conditions: (i) all uses of the Marks hereunder shall be limited to the provision of the services and fulfillment of the commitments by (AMC NAME) as contemplated by this Agreement, including the provision of the Services; (ii) (AMC NAME) agrees not to adopt, use or apply for registration of the Marks (or any Mark confusingly similar to the Marks) anywhere in the world and (iii) all uses of the Marks shall inure to the benefit of [CLIENT]. It is expressly acknowledged and agreed that except for the foregoing limited, non-exclusive, and non-transferable license and right to use the Marks, [CLIENT] does not transfer or convey to (AMC NAME) any ownership, property rights or any other interest, tangible or intangible, in the Marks, and nothing herein shall be construed to restrict, impair or adversely affect [CLIENT]’s rights therein. (AMC NAME) shall not do any act or thing which might injure the reputation of [CLIENT] or adversely affect the Marks. (AMC NAME) will give prompt written notice to [CLIENT] of any infringement of any Marks or unfair competition or trade disparagement which comes to its attention and will render to [CLIENT] entire at [CLIENT]’s expense, such assistance as may be requested for the purpose of restraining such infringement, unfair competition or trade disparagement.

[CLIENT] shall hold the copyright to all materials produced by and for (AMC NAME) for the benefit of [CLIENT] pursuant to this Agreement. Such materials shall (i) in those instances deemed appropriate by [CLIENT], bear a copyright notice naming [CLIENT] as the holder of the copyright, and (ii) if directed by [CLIENT] in writing, be deposited with the federal copyright office at [CLIENT]’s expense. Materials produced hereunder by or for (AMC NAME) and its employees, including leased employees, or independent contractors on behalf of [CLIENT] shall be considered “work for hire” under federal copyright laws, or, if such is precluded by law, the rights to such materials shall be assigned permanently to [CLIENT]. (AMC NAME) represents and warrants that, prior to their development of any materials for [CLIENT], each of (AMC NAME)’s independent contractors and employees, including leased employees, has agreed to the foregoing.

Section 4 – Servicing the Clients and Service Delivery Procedures

<COMPANY NAME> has developed procedures for servicing our clients to ensure they are served by knowledgeable <COMPANY NAME> personnel that are available and accessible.

The Client Service Agreement

The client service agreement and the annual work plan define the terms and conditions of the contract and the scope of services for each renewable term. The documents also define the client's responsibilities to <COMPANY NAME>.

At any time during the annual work plan period <COMPANY NAME> can provide amended services to clients. Historically, the process includes collaborative goal setting between <COMPANY NAME> and the client. Drafting the amendment then occurs with input from some or all of the following staff: Account Executive, <COMPANY NAME> President & COO, CEO, Senior VP of Finance and Operations, VP of Association Management, and shared service teams providing staffing allocation estimates. The final amendment development includes budgeting, establishing management fees, and scoping the agreed upon terms and conditions of the contract. Note that previous amendments can be reviewed during the workplan renewal process for possible inclusion in the annual workplan, but this is not always the case. In some instances, amendments may be contracted until fulfillment of the scope. There is no limit as to the number of amendments that can be presented, but bundling services into a single amendment should be considered.

Summary of Staff Competencies and Knowledge

<COMPANY NAME> maintains information regarding staff areas of expertise to assist the Account Executive, <COMPANY NAME> President & COO, CEO, Senior VP of Finance and Operations and VP of Association Management when assigning individual staff to service client contracts. The Executive Team (ET) maintains a number of reports that summarize employee information, one of which is the summary of <COMPANY NAME> personnel qualifications. This report provides an overview of each individual employee's education, professional certifications, memberships, experience, as well as their current <COMPANY NAME> position and job responsibilities.

Service Accessibility and Availability

<COMPANY NAME> provides its clients with timely service in person and via a variety of electronic means. Telephones are answered between 8 a.m. and 5 p.m. local time Monday through Friday. Voice mail, which can be checked remotely by <COMPANY NAME> staff, is available after hours and on weekends and holidays. Faxes are received and are routed electronically to the intended recipient. <COMPANY NAME> staff can also be contacted via direct email addresses, and employees can access and respond to email messages remotely via the web. Employees can access services and files through a secure virtual private network connection via <COMPANY NAME> computers/laptops. Additionally, <COMPANY NAME> directors are provided a mobile phone with email capability or given the choice to use the <COMPANY NAME> Bring Your Own Device (BYOD) Policy with reimbursement. Mobile services are used to aid in communication during times out of the office and away from a computer. Altogether, <COMPANY NAME> staff can reliably maintain regular and emergency contact with clients at any time and from any place with telephone and/or internet access.

Service Speed and Accuracy

<COMPANY NAME> personnel respond to numerous planned and unplanned phone calls and emails daily. Phone calls can arrive at the <COMPANY NAME> switchboard or directly to a specific employee. Emails can arrive directly in an individual's in-box or be routed from a general email inquiry over the internet. Phone calls, emails and in-bound faxes are routed to the proper person to address the specific inquiry. Account Executives and other association support staff respond to association board members, general members and others who have needs related to the association's projects or issues. <COMPANY NAME>'s shared services staff can address questions related to a member's records, purchase of a publication, registration for a conference, or other general service needs. Our clients and their members, as well as potential clients, receive immediate attention while random calls from the public or solicitors are responded to as convenient. Accuracy and speed are monitored by <COMPANY NAME>'s Account Executives,

<COMPANY NAME> President & COO, CEO and VP of Association Management.

The services specified in the annual workplan/client service agreement are scheduled and delivered based on the needs of the client committees, task forces, meeting deadlines, and other criteria defined by the client. These timelines are developed through regular discussions with the client in face-to-face meetings and conference calls. The Account Executive, <COMPANY NAME> President & COO, CEO, and VP of Association Management monitor the delivery of workplan services (schedule of services for a la carte agreements) to ensure they are delivered accurately and timely. Client board members and committee chairs also monitor the <COMPANY NAME> staff's responsiveness, timeliness and accuracy and contact the Account Executive, <COMPANY NAME> President & COO, CEO or VP of Association Management if there is any concern.

Expanded Service Delivery

<COMPANY NAME> readily accepts increased and expanded services to better meet our clients' needs. Through <COMPANY NAME> shared services departments and account team staff, support is provided to ensure that existing services are delivered at the expected level of speed, accuracy and quality, and are not compromised by the addition of new services or other <COMPANY NAME> clients. The Account Executive, <COMPANY NAME> President & COO, CEO and VP of Association Management monitor the annual workplans and timelines on a regular basis and conduct regular meetings with assigned team members.

It is a requirement of all <COMPANY NAME> employees to assist clients in identifying additional or expanded services that will improve the benefits to the clients' members. Once these services have been identified, the Account Executive, <COMPANY NAME> President & COO, CEO and VP of Association Management prepare recommendations and proposals, including pricing, for the client leadership.

The Client is the Focal Point of Our Policies

<COMPANY NAME> is a full-service association management firm dedicated to improving the effectiveness of associations, their leaders and members. By implementing policies and procedures we reinforce our commitment to exceeding client expectations and to making all their activities a success. <COMPANY NAME> has a vision, mission, goals, values and culture that emphasize the importance of providing a quality service for our clients. Each employee's job description also emphasizes the importance of putting the customer first.

Client Satisfaction

<COMPANY NAME> employees want to reinforce and enhance our efforts to please our client associations, for we understand that we must earn their business and trust every day. The association partnership assessment survey is one way to enable our client partners to provide an annual assessment of our services and relationship. The responses provide <COMPANY NAME> and the client boards an opportunity to discuss specific issues where communication and services can be improved or enhanced for the benefit of the client. The association partnership assessment survey is conducted annually with each full-service client board. Client associations are encouraged to provide feedback to the <COMPANY NAME> President & COO, CEO or VP of Association Management at any time throughout the year if there is any concern that needs are not being met.

Internal Communication Systems and Procedures

It is the responsibility of the shared services department staff and the account team staff to ensure that contracted client services (scope, deadlines, and assigned parties) are clearly communicated internally. The <COMPANY NAME> President & COO, CEO or VP of Association Management meets regularly with the Account Executives and shared services department directors to review timelines,

scopes, deadlines, staffing allocations and other client service issues. Each account team or shared services department team meets as needed, some weekly and some more/less frequently. All <COMPANY NAME> employees meet periodically for a company staff meeting to communicate important client and company information.

<COMPANY NAME> also uses internal email, video conferencing, and chat options for fast and convenient communication. We utilize electronic calendars and schedule meetings and conference calls through this technology. The annual work plans, timelines and <COMPANY NAME> staff allocation spreadsheets allow the company to maintain and monitor the success of internal communication on the basis of quality performance of client services. We also utilize <COMPANY NAME> client operating and policy manuals to ensure communication systems are utilized and procedures are followed.

External Communications and Collaboration

The workplan/schedule of services creates structure and expectations for the staff to use as a guide for communicating with the client. In addition to the daily use of standard communication systems such as email, listservs, telephone conversations, and regular correspondence, the staff also communicates with the client on a more formal level through conference attendance, activity reports, monthly financial statements, strategic planning meetings and regular group conference calls with the client leadership. Additionally, some <COMPANY NAME> clients now utilize various social media technologies to communicate and collaborate externally.

Service and Service Delivery Performance Measures

Company service and service delivery is measured both internally and externally. It includes measures of timely delivery and development of goals and objectives. Reporting tasks completed and tracking time spent on client projects allows <COMPANY NAME> to monitor their progress and ensure that service and service delivery are effectively meeting the client's needs and the company's contractual obligations.

Performance Improvement Methods

<COMPANY NAME> consistently serves the client with speed and accuracy to ensure customer satisfaction. Service and service delivery is carefully monitored to assist <COMPANY NAME> in identifying areas of strengths and weaknesses. To improve any areas of weakness and expand on areas of strength, ongoing performance improvement methods have been developed. These include internal staff meetings, employee and service delivery evaluations, professional memberships and both internal and external employee training.

Implementing Staff Responsibilities and Authority

Using the client service agreement and workplan/schedule of services for each client, the Account Executive and President & COO (with support of the VP of Association Management and Senior VP of Finance and Operations) assign staff responsibilities. The <COMPANY NAME> staff allocation spreadsheet is used to document specific staff responsible for each task in the annual workplan/schedule of services.

Procedures to Correct or Prevent Failures to Perform

The Account Executives are responsible for client satisfaction and are in regular contact with the client boards and leaders to obtain feedback. The <COMPANY NAME> President & COO, CEO or VP of Association Management contacts the client presidents periodically throughout the year by phone and at least once face-to-face to solicit feedback on what is going well and what needs improvement. The <COMPANY NAME> Account Executives monitor the performance of client service teams daily and take appropriate action to provide training, coaching, discipline or other remedies to correct or prevent performance problems. Account Executives and shared service department directors work collaboratively to ensure the assigned client service team members understand assignments and expectations to meet performance standards.

Sub-Section 4.1.4 - Service Speed and Accuracy-

submitted by Melby, Cameron & Anderson

MCA Customer Service Standards

Responsiveness is one of our key values, and we pride ourselves on it:

Phone calls are to be picked up within 3 rings.

If a call goes into your voicemail, be sure to retrieve the message at your earliest opportunity.

We also respond to work colleagues who ask for our help, and volunteer when we can to assist with “Mongol-horde projects,” e.g., large mailings, packet stuffing, etc.

All inquiries shall be responded to within 24 hours, or by the next business day, preferably on the same day received. For inquiries that are urgent to the sender, do everything possible to respond right away. This is how we become heroes in our members’ eyes. If someone calls or e-mails you with a question that requires research or information that will take you more than 24 hours to get, respond as soon as possible to that person (by phone if they called, by e-mail if they e-mailed) letting them know that you received their question, are looking into it, and will get back to them by a certain date/time. Always follow through on that commitment—preferably at a time earlier than promised. If you are unable to, be sure to follow-up to let them know more research is required.

Whenever possible, our goal is to answer a member’s or caller’s question at the first contact. We want to avoid shuttling people off to other staffers. When you cannot answer the question or provide the requested information, say “[staff person’s name] is better able to answer your question than I am; may I transfer you to [him/her]?”

Never put a caller into voicemail without checking to see if that is acceptable to them. If they ask to speak with someone and that person is not at their desk, offer to page if the person is somewhere in the office, or ask if they would like to leave a message in voicemail. Be sure you are familiar with how to use the voicemail system.

When you take a call and the caller asks to speak to someone else, don’t say, “Who’s calling?” Instead, say “May I tell [him/her] who is calling?” The former sounds like we’re screening calls; the latter sounds friendly and helpful.

Every time a member or potential member calls our office, we have an opportunity to make their day, and to show them that we are strong advocates for them and for the association. If you’re having a bad day, if you’re really busy, or distracted, they should not know or care. We’re there to serve them. Smile when talking to them—they’ll hear your smile, and you’ll start to feel better as soon as you smile. Our callers should never feel that they are interrupting, or that you are inconvenienced by their call. A bad attitude reflects poorly on you, on MCA, and on our client organization.

Away from office messages: if you are going to be out of the office for an extended time and will not be able to check your voicemail or e-mail frequently, set up your “away” phone and/or e-mail messages. Let people who are trying to reach you know when you will be available and whom they can contact for immediate assistance.

E-mail etiquette: Don’t hit send before reading over your message and catching any typos or misspellings. As you’re reading it over, put yourself in the recipient’s shoes and think about how it sounds—tone, professionalism, friendliness, accuracy.... If you have any concerns about how the recipient may interpret your message, or about how clearly you are communicating, ask a third party to

read it before sending. Be sure to open your messages with an appropriate salutation (Hi, Tom, Dear Dr. Robinson, etc.), and to close in a friendly and professional manner (Thank you, Fred, or Best Regards, Lynn, etc.) Be sure to use an automatic signature message that includes your complete contact information (and be sure to use the right one for the client!). Don't send messages in ALL CAPS. It's perceived as yelling. Remember that your e-mails convey an image of who you are, and if your message is carelessly written and has typos, you will be perceived as careless.

Keep records of your communications: MCA recommends that all staff keep a phone log next to your phone to track name/time/date/subject matter of your conversations; also track any commitments you make to the caller. These notes will be important when you need to refer back to a conversation (and you frequently will!). Use whatever method of tracking that works for you, but make sure it's well-documented and easy-to-find when the need arises.

Responding to membership applications: We recognize that different clients have different policies and procedures for reviewing and or processing new member applications. We also know that a prospective member wants to hear from the association they are interested in joining as soon as possible. Therefore, for clients where we (MCA staff) are solely responsible for accepting and processing membership, we would like to see that membership processed within 24 hours, and a welcome letter/packet sent immediately. For associations where a review committee or volunteer must approve the membership, we will send the applicant a friendly and welcoming e-mail within 24 hours acknowledging receipt of the application, thanking the prospective member for their interest, explaining the process for review and the estimated timeline before they will hear the determination, and inviting their questions or other communication in the interim.

Sub-sections 4.6–Protection of Intellectual Property

Sub-Section 4.7 – Policy for External Communications – Client and AMC

Submitted by: The Association Source, LLC

4.6 AMCs shall establish policies and procedures for advising existing clients in the protection of their intellectual property (e.g., copyright, trademark, patents).

We include the following language in all client contracts.

ASSOCIATION shall hold the copyright to all materials produced by or for AMC for the benefit of ASSOCIATION pursuant to this Agreement. Such materials shall (a) in those instances deemed appropriate by ASSOCIATION and TAS, bear a copyright notice naming ASSOCIATION as the holder of the copyright, and (b) if directed by ASSOCIATION in writing, be deposited with the federal copyright office at ASSOCIATION's expense. Materials produced hereunder by or for AMC and its employees, including leased employees, or independent contractors on behalf of ASSOCIATION shall be considered "work for hire" under federal copyright laws, or, if such is precluded by law, the rights to such materials shall be assigned permanently to ASSOCIATION. AMC represents and warrants that, prior to their development of any materials for ASSOCIATION, each of AMC's independent contractors and employees, including leased employees, has agreed to the foregoing.

As outlined in our General Client Policies, we will conduct an audit of the association when we onboard a new client to determine if there are any existing or potential for copyrighted or trade/servicemarked works.

We further ensure that there are copyright agreements/releases in place for articles published by the association online or in print. For webinars that are created by a third party, we require written permission to record and publish the session and its accompanying materials.

We also invest in well-written non-disclosure agreements (NDAs) on behalf of our clients as well as internally with all staff upon acceptance of employment.

For clients that have a unique and identifiable name, logo, etc., we encourage them to seek trademark or servicemark protection.

4.7 AMCs shall evaluate and develop internal policy and client policies for external communications, including but not limited to press releases, newsletters, social media, etc.

Our External Communications Policy outlines the policies of AMC regarding how AMC representatives may communicate with external audiences. The same policy applies to AMC clients, unless the client has its own External Communications Policy.

It is the AMC's policy that all its communications with external audiences comply with applicable law. Only an Authorized Spokesperson may engage in discussions about the AMC or its clients with Third Parties. No other individual is authorized to speak on behalf of the AMC. Any other person who is contacted by an external party must refer that party to an Authorized Spokesperson.

PRESS RELEASES/NEWSLETTERS/SIMILAR

The AMC may issue press releases, newsletters, or the like from time to time. Before distribution is allowed, they must be reviewed, approved, and issued under the supervision of an Authorized Spokesperson.

"Authorized Spokesperson" means the AMC's President or the equivalent for an association client.

ELECTRONIC MAIL

1. Electronic mail (e-mail) is a quick and readily available tool for communication. AMC provides this communication tool to its staff in order to enhance productivity. This policy refers to all e-mail software installed on AMC computers and messages sent via those computers.
2. E-mail may be created more informally than a paper memorandum and may be treated as if it were face-to-face communication as far as grammar and composition.
3. All messages that are created, received, transferred to or from, or maintained on any AMC computer are the property of AMC.
4. All existing laws and AMC policies apply to conduct with e-mail; especially those that deal with property protection, privacy, misuse of AMC resources, harassment, data security, and confidentiality.
5. AMC will engage in periodic monitoring of e-mail messages created or received by employees to ensure compliance with this e-mail policy. This section of the Employee Policy Manual shall serve as notice to all employees that periodic monitoring has been implemented.
6. E-mail provides a quick and easy way of communicating with friends and families. Incidental and occasional personal use of e-mail is permitted. Appropriate personal use does not: impede the conduct of AMC business; interfere with the user's work performance or the performance of any other users; include use of a commercial, political, or religious nature, or result in personal financial gain for the user.
7. All E-mail signatures will be structured in the following uniform format approved by AMC Management. E-mail font and size will be Arial or Calibri 10 or 11pt. Use of background colors other than white are prohibited.

For AMC e-mail:

First Name Last Name

Title with AMC Street Address City, State Zip Phone

Fax Email Web Site

AMC Tag Line

AMCI Accreditation Logo

For client email:

First Name Last Name Title with Association

Name of Association Title and

Name of AMC Street Address

City, State Zip

Phone Fax

name@domain.com/org www.domain.com/org

AMCI Accreditation Logo

8. Most e-mail records are subject to a records retention disposition schedule. If the e-mail is not a public record or an official record, it may be disposed of without consideration for retention requirements.
9. E-mail users should be cognizant of the false sense of privacy and confidentiality suggested by e-mail technology. In fact, more than other communications media, e-mail facilitates the forwarding, copying, and manipulation of messages beyond the creator's control.
10. Most staff e-mail addresses are listed on clients' websites which makes it easy for people to communicate through e-mail. These persons expect responses to their e-mail and every effort should be made to promptly answer all legitimate queries. It is the responsibility of each staff member to administer his or her individual mailbox. This includes checking e-mail several times daily; responding to legitimate e-mail promptly; and learning how to effectively use the software of the current e-mail system.
11. Use of the Internet and E-mail system is a privilege. Each employee is expected to ensure that the information being entered or sent is not offensive, frivolous or inappropriate. Each employee is expected to cooperate fully in the investigation of any complaint or alleged violation of this policy.

Examples of Prohibited Activity:

- Attempting to gain unauthorized access to any computer system or network.
- Deliberate attempt to disrupt the computer system performance or destroy data by spreading or introducing computer "viruses."
- Use of the system to engage in any illegal act such as drug sales, lotteries, betting pools or criminal activities. Users shall not use the Internet to threaten another person's safety or to access material that is profane, obscene, advocates illegal acts of violence, or for other inappropriate purposes.
- Destruction of or damage to any equipment, software or data belonging to TAS or its clients.

Examples of Inappropriate Internet/E-mail Language/Behavior:

- Use of inappropriate language (i.e., use of obscenities, profanity, threats, racist or sexist remarks) which applies to public messages, private messages and material posted on web pages.
- Knowingly or recklessly posting false or defamatory information about a person or organization.

- Using the system for political lobbying, personal financial gain or fraud.
- Establishing web sites unless directed by AMC.
- Accessing or downloading resources of any kind for which there is a fee; downloading information or files unless information has previously been scanned with virus detection software; downloading files that are too large and will tie up or disrupt the system; downloading or accessing information resources which are not for a clear company purpose.

SOCIAL MEDIA

Unless specifically authorized by the company to do so as part of an employee's position, employees are not permitted to blog or use other forms of social media or technology on the Internet during working hours or at any time on company computers or other company-supplied devices. These actions can include but are not limited to, video or wiki postings, chat room conversations, and posting on personal blogs or similar forms of online journals not affiliated with AMC.

Employees cannot use the Internet to harass, threaten, discriminate against, or disparage other employees or anyone associated with AMC. Negative statements about AMC, its products or services, its team members, its clients, or any other related entity may lead to disciplinary action up to, and including, terminations of employment. In addition, appropriate legal action may be taken if warranted.

Employees who identify themselves as AMC employees must state that the views expressed are their own and not those of the company or of any person or organization affiliated with the company.

Employees may not post the name, trademark, logo, or any other privileged information associated with AMC or any business connected to AMC.

Employees may not post photographs or videos of clients, vendors, co-workers, suppliers, members, or people engaged in company business or events without express written consent and authorization from AMC.

Employees may not link to AMC's internal or external website without obtaining permission.

AMC reserves the right to use content management tools to monitor, review, and block content on company blogs and website pages that violates AMC rules and guidelines.

Section 5 – Evaluation of Services

AMC Evaluation

Please take a few minutes to complete this evaluation of our AMC. Your constructive comments will help improve the way we work together (volunteer leaders and staff) and the way we support the organization. Once complete, please return to

For each statement below, check the box that best indicates your level of agreement.

Statement		Strongly Agree	Agree	Disagree	Strongly Disagree	N. A.
1	We are very satisfied with the way our association is managed.					
2	Our Executive Director serves us very well.					
3	AMC's other staff provides excellent support.					
4	The association management staff responds to my requests in a timely manner.					
5	Our finances are well managed.					
6	The finance and accounting staff provide excellent service.					
7	Our Executive Director is thoroughly prepared for Board Meetings.					
8	Staff provides us with timely and proper documentation for Board Meetings.					
9	Staff provides excellent support for member programs and events.					
10	The staff strives to understand our members' needs and responds in a timely fashion.					
11	The staff strives to understand our industry.					
12	The staff helps us understand, develop and execute our leadership role in the association by creating documents, procedures and providing information that enable volunteers to do their job effectively.					
13	The staff helps to develop and execute new programs & ideas.					
14	Membership support services are handled well by the staff.					
15	Our organization's communications (web site, brochures, newsletters etc.) are managed very well by AMC.					
16	The staff facilitates communication within the organization very well. <i>(example: putting members, board members and committee chairs in touch with each other.)</i>					
17	The staff facilitates programs and projects effectively keeping them on track.					

18	The staff provides a high level of support to the leadership, creating documents, procedures, and providing information that enable volunteers to do their job effectively.					
19	We receive excellent value from AMC.					

Please answer the following questions.

20. In what areas do you think AMC excels?

21. What areas do you think AMC needs to improve?

22. What services would you like to provide members that are not currently being provided?

23. Of the services currently being provided to the membership, are there any that you would like to eliminate?

24. What do you see as the most significant opportunities for members in the next few years?

25. What do you see as the most significant challenges facing the association in the next five years?

29. What words of advice would you give to AMC?

30. Please put any additional comments you would like to make here:

Sub-section 5.2 – Internal Evaluation of Client Service

Submitted by Melby, Cameron & Anderson

The following table is to be completed by the executive director with input from support staff. It is recommended that it be conducted internally at the same time that the external evaluation is undertaken by the association board. It is not necessary to share the internal evaluation with the board, but it should be given to and reviewed with the supervising MCA partner.

Client: _____ **Date:** _____

Meeting/Conference Support	Excellent	Very Good	Good	Needs Improvement	N/A or Don't Know
Site selection & contract negotiation serves association interests	<input type="checkbox"/>				
Meeting notices clear, attractive, and accurate	<input type="checkbox"/>				
Timely distribution of meeting notices	<input type="checkbox"/>				
Other deadlines within our control met on time	<input type="checkbox"/>				
Meeting pre-registration process	<input type="checkbox"/>				
On-site registration process, procedures	<input type="checkbox"/>				
Guarantees given timely and accurately	<input type="checkbox"/>				
Budgeting accurate and expenses controlled appropriately	<input type="checkbox"/>				
Responsiveness to questions about meetings	<input type="checkbox"/>				
Timely and accurate wrap-up and follow-up	<input type="checkbox"/>				
Tradeshow/exhibits are managed effectively; vendors are happy	<input type="checkbox"/>				

Comments & Suggestions:

Membership Service, Support and Record-keeping	Excellent	Very Good	Good	Needs Improvement	N/A or Don't Know

Database accurate and up-to-date; updates posted immediately	<input type="checkbox"/>				
Most phone calls answered rather than sent to voicemail	<input type="checkbox"/>				
Member questions and requests responded to courteously and timely	<input type="checkbox"/>				
All staff serving client able to answer basic questions from members	<input type="checkbox"/>				
Staff always courteous and friendly; use member's name when possible	<input type="checkbox"/>				
Support for membership recruitment and retention efforts	<input type="checkbox"/>				
Relationship with members is both collegial and professional	<input type="checkbox"/>				

Comments & Suggestions:

Website & Publications	Excellent	Very Good	Good	Needs Improvement	N/A or Don't Know
Publications are attractive, and error-free; reflect association image	<input type="checkbox"/>				
Publications printed and mailed in accordance with stated deadlines	<input type="checkbox"/>				
Timely and accurate updates to website	<input type="checkbox"/>				
Timely and accurate posting of shared documents	<input type="checkbox"/>				
Members can access members-only pages easily, and are helped as needed	<input type="checkbox"/>				

Website is attractive and user-friendly (to degree within our control)	<input type="checkbox"/>				

Comments & Suggestions:

Support to Board/Committees	Excellent	Very Good	Good	Needs Improvement	N/A or Don't Know
Agendas and meeting documents are thorough and sent prior to meeting	<input type="checkbox"/>				
Minutes are accurate and sent out shortly after meeting	<input type="checkbox"/>				
Board/committees given proper and professional support and advice	<input type="checkbox"/>				
Appropriate follow-up to assure that activities move forward	<input type="checkbox"/>				
Effective board orientation sessions are conducted annually	<input type="checkbox"/>				
Effective planning retreats are conducted follow-through assured	<input type="checkbox"/>				
Responsiveness to questions about meetings	<input type="checkbox"/>				
Timely and accurate wrap-up and follow-up	<input type="checkbox"/>				
Provides support and advise in volunteer recruitment and leadership development	<input type="checkbox"/>				

Comments & Suggestions:

Financial Management	Excellent	Very Good	Good	Needs Improvement	N/A or Don't Know
Financial reports are accurate and timely					

	<input type="checkbox"/>				
Executive Director understands and can answer questions about financials	<input type="checkbox"/>				
Executive Director provides financial forecasts, advice and budget input	<input type="checkbox"/>				
Association funds are handled in accordance with assn/MCA policy	<input type="checkbox"/>				
Expenses and monitored and controlled effectively	<input type="checkbox"/>				
New revenue streams/opportunities are explored and reported to Board	<input type="checkbox"/>				

Comments & Suggestions:

Miscellaneous	Excellent	Very Good	Good	Needs Improvement	N/A or Don't Know
Keeps abreast of government affairs issues and activities	<input type="checkbox"/>				
Provides direction and counsel to association lobbyist	<input type="checkbox"/>				
Maintains relationships with collegial and related organizations	<input type="checkbox"/>				
	<input type="checkbox"/>				

Comments & Suggestions:

Section 6 – Financial Management and Internal Controls

submitted by LoBue & Majdalany Management Group

Sub-section 6.1 Financial Statements

It is L&M's policy to record financial transactions in an accrual method consistent with generally accepted accounting principles (GAAP) as determined by the American Institute of Certified Public

Accountants. This applies both to L&M and to the clients whose financial records L&M manages directly. This is reflected in the financial reports that L&M presents to clients' board of directors, or any audience external to the firm. These reports reflect dues revenues on an accrual basis to the period of the report, even if the report or statements are issued monthly.

Sub-section 6.2 Financial Control & Reporting

L&M books all financial transactions in a double entry accounting software program on a timely and regular basis as the receipts and payables are received. The transactions are booked:

- according to the firm's standard chart of accounts and job (or project) codes that have been established;
- codes shall be used to capture reimbursable expenses from clients;
- all transactions shall be supported by appropriate paper or electronic trail filed for easy retrieval; and
- all accounts shall be reconciled on a monthly basis and reviewed with the CFO.
-

Sub-section 6.3 No Co-mingling of Assets

All client financial assets are maintained in accounts under their own name and registry. Under no circumstances will a client's assets be co-mingled with those of L&M or another client.

Sub-section 6.4 Privacy of Records

The records and property of each client are retained and stored in such a manner as to be separate and apart from the records and property of L&M or another client. The primary test of this policy is that it is easy to gather a client's records and property in a timely, accurate, and complete manner.

The firm's standard agreement with clients contains a confidentiality clause substantially similar to the following:

"Each party may disclose to the other information concerning its inventions, confidential know-how and trade secrets, including, but not limited to, plans for future products or services, business contacts, financial information and the contents of this Agreement. Such information shall remain the sole property of the disclosing party, and, except as provided herein, the receiving party shall have no interest or rights thereto. Each party agrees that it shall hold the information in confidence, and further agrees that it shall not make any disclosure of the other party's information (including methods and concepts utilized therein) to anyone, except to its employees or affiliates to whom such disclosure is necessary to the use for which rights are granted hereunder. In addition, each party shall take all other steps to protect the other's information as it would take to protect its own information.

"The obligations of L&M and the <client name> and their respective employees and members under this section shall survive and continue for a period of three (3) years after any termination of rights under this Agreement; however, such obligations shall not extend to any information which:

- (a) is now, or which hereafter, through no act or failure to act on the part of receiving party, becomes generally known or available;
- (b) is knowingly furnished to others by the disclosing party without restriction on disclosures; or

(c) is received from a third party not under any obligation to treat such information as confidential, and under circumstances where the receiving party has no reason to suspect that such information may have been acquired by such third party through improper means.”

Each L&M employee is required to be familiar with this policy and provide no confidential information about a client to a non-employee without prior approval of any one of the following: that client organization’s executive director, L&M’s COO, L&M’s CEO, or an officer of the client organization.

Sub-section 6.5 Commissions, Finder Fees, Etc.

As a standard practice, L&M does not accept commissions, finders’ fees or any other sort of remuneration from service providers (e.g., printers, public relations firms, trade show promoters, Internet Service Providers, etc.) to its retained management clients. Any and all terms affecting the price L&M’s retained clients pay for third-party services are passed along directly to the client such as rebates, discounts, commissions, etc.

Should this policy and practice ever change, L&M would fully disclose all income received from commissions, finders’ fees, and other sources directly attributable or related to such clients.

Sub-section 6.6 Outside Review

At least annually L&M advises its retained clients of the need for an outside independent review or audit of all financial transactions and records by a qualified third party (CPA) approved and budgeted for by each client.

Sub-section 6.7 General Liability

At least annually L&M advises its retained clients of the need for General Liability and Association Professional Liability Insurance (APLI) Policies

Section 6.0 Client Financial Management Policies & Procedures

Submitted by Melby, Cameron & Anderson

Policy Statement: The following policies and procedures have been established by Melby, Cameron & Anderson (MCA) to establish consistent and responsible management of client financial affairs, to protect the assets of our clients, and to help assure the ongoing financial viability of the organizations we manage. These are the practices that will be followed by all personnel, *except* where a client has adopted different—but equally valid and responsible—financial practices *in writing*.

A. General Financial Policies

- All financial records and related fiscal documents shall be maintained on accounting programs that conform to [AICPA's designee] the Federal Accounting Standards Advisory Board's (FASAB) generally accepted accounting principles (GAAP). These files shall be available for review, at any time, at the request of an association's board.
- Each association's executive director shall provide financial reports to the Treasurer, detailing all budget expenditures for that month, and the current status of all accounts. These shall be provided monthly, unless otherwise requested—at a minimum, quarterly.

B. Handling of Funds

MCA utilizes commonly-accepted financial controls to help assure client funds are handled in a responsible way:

- Any checks received are immediately routed to and endorsed by the assistant director.
- The assistant makes the deposit and routes the information to the bookkeeper. Deposits are made at least weekly and more frequently during times of high volume. Deposit reports are submitted to the bookkeeper within one week of deposit.
- The bookkeeper enters the income into the appropriate cost center for reporting, using the cost center codes provided by the deposit report.
- Bank statements accessed electronically will be downloaded by the 10th of the month and reviewed by the Executive Director before passing to the bookkeeper; those that come in the mail are routed to the Executive Director first for review.
- The Executive Director routes the bank statements to the bookkeeper for reconciliation. Reconciliation is completed within two weeks of receipt.
- Cash payment is discouraged, but when it is necessary, two persons will be asked (if possible) to count it at the time of receipt and sign off upon the amount received.
- Credit card payments not made online are deposited electronically by the assistant and the deposit report is routed to the bookkeeper who verifies that the correct deposit was made in the checking account by the credit card service agency. Online credit card transaction notifications are sent to assistants by online processing entity, compiled, and routed to bookkeeper.

C. Payment of Invoices

MCA executive directors work with their clients' elected Treasurer or approved designee to assure the disbursement of funds is conducted with appropriate review and oversight:

- The Executive Director reviews the invoice for accuracy, indicates on the invoice which cost center/expense category is to be charged, approves it for payment and routes it to the bookkeeper.
- The bookkeeper creates and issues a check for signature by the Executive Director or other authorized signer on the account.

- The Executive Director signs the check and sees that it is mailed.
- A voucher is attached to the invoice by the bookkeeper, sent for review and approval by the Treasurer, and placed in the appropriate association's financial files for future review or audit. Until an association's authorized officer (generally the Treasurer or the President) approves the expense voucher—prospectively or retrospectively—MCA accepts responsibility for the payment decision, and, if disapproved, will be responsible for the funds disbursed.

D. Financial Reports

Unless otherwise requested by a client organization, MCA generates monthly financial reports for administrative and board review:

- The system utilizes an accrual accounting system, unless the association has declined our recommendation for accrual accounting (such declination must be documented in minutes and financial files).
- Monthly reports are generated and distributed prior to board and/or executive committee meetings, or, if no meeting is scheduled, there shall be an approved date by which the financial reports will be completed and available.
- Wherever possible, financial reports will be distributed to board members for review in advance of the meeting. At board meetings, the board reviews the reports, discusses their content, and places them on file.

E. Tax Reports

At fiscal year-end, an independent accountant hired by the association board, will prepare the association's annual tax forms (990, 990T, and others as needed) for the Internal Revenue Service.

MCA's bookkeeper will prepare and file any necessary Washington State Department of Revenue financial reports in a timely fashion subject to review.

F. Annual Review of Financial Records

It is MCA's recommendation that client associations conduct an annual CPA audit or review of financial records in accordance with best practices. We also recognize that for many of our clients, the costs of conducting an annual certified audit may be determined to be too costly. For these clients, we recommend an annual review of records by qualified volunteers. The purpose of an annual review of financial records is to assure the finances of the association are being handled in a responsible manner, reported correctly, and the resources of the members are being protected. Wherever possible, within 90 days of the fiscal year-end, a committee shall be appointed by the Board and composed of no fewer than two members—including at least one signator and one non-signator—shall meet at the MCA offices to conduct a review of the financial records of the past year. The process shall include random review of cancelled checks, paid invoices, financial reports, income records, bank statements, financial control procedures, and other transactions. The executive director and bookkeeper, if possible, shall be available for questions or clarification during the review. The review group shall provide a letter of findings and recommendations to the Board of Directors and that letter shall be placed on file with the financial records of the organization. Refer to MCA's Internal Audit Procedures document for detailed audit committee instructions.

G. MCA's Policy on Co-mingling of Funds

Every reasonable effort will be made to protect the integrity of client funds entrusted to our management. Under no circumstances will funds of client organizations be co-mingled with those of Melby, Cameron & Anderson nor with any other client organization(s).

H. MCA's Privacy and Confidentiality Policy

All client records shall be deemed as private unless otherwise designated by the client's policies and procedures or unless prescribed by law. This includes all financial records, association database(s), individual membership files, meeting minutes, election records, legal proceedings, contracts, and such other records as designated by the client in accordance with applicable law. Reasonable care shall be made to protect them. The company will manage such records according to the client's records retention policy and use care to assure purged files are properly disposed of or shredded.

A successful relationship between the client and the company depends upon mutual trust. Melby, Cameron & Anderson and its employees shall treat all client financial information as confidential and shall treat proprietary information about its individual members as confidential, as well. In addition, the company and its employees will exercise discretion in the discussion of meetings, governance activities, marketing plans, personal conversations, and other sensitive matters relating to the client.

I. MCA Policy on Commissions

MCA does not accept commissions, finder's fees, or other payments from service providers. Should there ever arise an appropriate exception to this policy, we would immediately and fully disclose the information to the client involved in the transaction. More likely, should such an offer be made, we would accept the remuneration on behalf of the client and see that the gift was provided to that client rather than to MCA.

Client "pass-through" charges (e.g., postage, supplies) are not marked up, with the exception of outside printing. Because of the volume discounts earned with some printers, and the internal effort to provide trouble-free print-ready files and documents, we have a sliding scale mark-up for most of our clients. It is delineated in all client contracts, as well as in management proposals. It reads as follows:

Outside Printing Production Schedule: Outsourced printing and related production services will be reimbursed and are subject to the following additional fee schedule:

0-\$50 (30%) - \$50-\$100 (25%) - \$100-\$200 (20%) - \$200-\$500 (15%) - Over \$500 (10%)

Sub-section 6.3 Policy on Co-mingling of Funds

Submitted by Melby, Cameron, & Anderson

Every reasonable effort will be made to protect the integrity of client funds entrusted to our management. Under no circumstances will funds of client organizations be co-mingled with those of Melby, Cameron & Anderson nor with any other client organization(s).

Sub-Section 6.6 Independent Review or Audit of Client Financial Transactions

Submitted by Melby, Cameron, & Anderson

Client Internal Audit Committee Procedures

Period Audited: _____, 20____ through _____, 20____

The following is a list of procedures that the Internal Audit Committee should perform. As each function is performed, a check should be placed out beside the function.

Any exceptions to the items should be shown at the end of the report in the areas provided for each numbered function.

- ___ 1. Conduct spot checks to verify that properly approved check requests/expense vouchers/ invoices exist for checks written, that receipts are attached as required, and that receipt totals match amount on check requests/vouchers/invoices.
- ___ 2. Using the check requests/expense vouchers/invoices, conduct spot checks to verify that check amounts and items have been entered in and agree with entries in the check register or computer spreadsheet report.
- ___ 3. Verify that any bank errors are addressed immediately and corrections reflected on next bank statement.
- ___ 4. Verify that checks have proper authorized signatures.
- ___ 5. Verify that bank account balance on month end financial reports (normally shown on the Statement of Financial Position) agrees with month-end balances on check register, computer spreadsheet report and bank reconciliations.
- ___ 6. Verify that monthly financial reports (Statement of Financial Activity and Statement of Financial Position) were prepared.
- ___ 7. Verify that bank reconciliations have been performed. Verify each reconciliation and that the items have cleared by comparing canceled checks to check register or computer generated check register/spreadsheet report.
- ___ 8. Determine that checks were written in sequential number order corresponding with date written.
- ___ 9. Compare amount of funds deposited as indicated on the bank statements with check register/computer spreadsheet report, written deposit slip and month-end financial report.
- ___ 10. Verify that interest income, bank charges, and returned checks were accounted for on check register and monthly financial reports.
- ___ 11. Returned checks were addressed on a timely basis.

Exceptions Noted by the Internal Audit Committee listed in the same sequence as the preceding numbers above.

EXCEPTIONS

#1. Missing expense vouchers/receipts for check numbers: _____

#2 Amounts don't agree on check numbers: _____

#3. Errors made by bank on check numbers: _____

#4. Unapproved signatures on check numbers: _____

#5. Balances on financial reports don't match check register for months of:

#6. Monthly financial reports missing for months of: _____

#7. Bank Reconciliations don't balance or missing reconciliations for months of: _____

#8. Checks written out of sequential number in correlation to date order: _

#9. All funds accounted for except for months of: _____

#10. Interest income, bank charges, and/or returned checks not accounted for on monthly treasurer's report for months of: _____

#11. Returned checks not addressed in a time basis for months of: _____

Other Exceptions found:

1. _____

2. _____

3. _____

4. _____

Recommendations of the Internal Audit Committee:

1. _____
2. _____
3. _____
4. _____

INTERNAL AUDIT COMMITTEE MEMBERS:

Chairman

Member

Member

Member

Date

INTERNAL AUDIT COMMITTEE REPORT

Period Audited: _____, 20__ through _____, 20__

The Internal Audit Committee of _____ has reviewed the financial records submitted and based on the Committee's review of those records presents the following report.

_____ A list of missing documents has been submitted to the current Treasurer and Executive Director. Until the missing documents are received, the Internal Audit Committee is unable to present a complete Internal Audit Report.

OR

_____ All financial records for the referenced internal audit period were received and the internal audit procedures as required were performed

Any exceptions listed on the Internal Audit Committee Procedures should be addressed and explanations submitted to the Internal Audit Committee and Board.

Recommendations made by the Internal Audit Committee should be reviewed and incorporated into the financial procedures.

Based on the documents presented and reviewed, the Internal Audit Committee believes that the financial records of _____ for the internal audit period noted at the top of this report are in good condition and accurately reflect the financial status of the organization.

INTERNAL AUDIT COMMITTEE MEMBERS:

_____	_____
Chairman	Member
_____	_____
Member	Member
_____	Date

Sub-section 6.7 Need for General Liability and Association Professional Liability Insurance

Submitted by Kellen

Business insurance is a key component in business risk strategy. Its importance, in the aftermath of September 11, has grown exponentially. Best practices are established by senior management to minimize insurance risks for our clients.

The following section discusses types of insurance coverage that Kellen recommends that its association management clients purchase. This includes General Liability and Association Professional Liability (APLI) policies. Consistent with AMCI Best Practices, if the association client chooses not to purchase these policies, this fact should be documented in writing as part of Board of Directors meeting minutes or a memorandum to the association’s files from the association leadership.

Sub-sections 6.6 and 6.7 ANNUAL AUDIT AND INSURANCE RECOMENDATION

submitted by Fernley & Fernley

As an ANSI Accredited Association Management Company (AMC), Fernley & Fernley is required to make the following recommendations to the Board of Directors on an annual basis:

1. F&F recommends that each client engage the services of a 3rd party CPA to perform an annual audit or an annual review of the association’s financial records. We believe that it is the Board’s fiduciary responsibility to approve this action and to allocate sufficient funds in the association’s annual budget to cover the expense.
2. F&F recommends that each client purchase an appropriate level of insurance to safeguard association possessions, property, functions, and finances, as well as its volunteer leaders. Fernley & Fernley clients are contractually required to have in place a minimum of two separate policies (D&O and Business Office Pack), however, those clients holding large annual conferences should consider securing additional coverage (convention cancellation) specifically to minimize risks associated with such events.

By formal action of the Board of Directors of (NAME OF ASSN) at a meeting held on (MEETING DATE), in (CITY, STATE), we approve the following actions;

1. Year-end Audit/Review:

_____ Independent audit or review Requested -or- _____ Declined

2. Insurance:

_____ D&O Insurance Requested

_____ Business Office Package Insurance Requested

_____ Event Cancellation Insurance Requested -or- _____ Declined

The official Minutes of this Board Meeting will attest to the Board’s decision with regards to this matter. The association acknowledges that they have been informed of the value and potential consequences associated with their decision.

Section 8- Employee Recruitment and Selection

- 8.1. AMC shall adopt a procedure for creating, reviewing and updating employee job descriptions and shall adopt procedures for interviewing and assessing candidates for positions within the AMC.

TMS maintains basic job descriptions and periodically updates same as the need requires. As a small AMC, TMS employees wear many hats and the job descriptions often fluctuate given client needs. See Employee Manual, Section 2, Paragraph 1.

TMS has not sought or engaged any new employees for several years. However, TMS does require an in-person interview with senior management and a review and check of references and education qualifications. If a position will require the handling of client funds, TMS may elect to require a background check.

- 8.2. AMC’s shall adopt a procedure for exit interviews and personal assessments from departing employees.

TMS will require any departing employee to participate in an exit interview with a senior staff member at which time the return of all company or client property will be required and reviewed. For more details on the policy, see Employee Manual Section One, Part 2, Paragraph 1.2.5.4. (Page 16).

Section 9 – Employee Training and Professional Development Procedures

Sub-section 9.1 Employee Evaluations

Submitted by Talley Management

Procedure for Annual Review

Performance evaluations are conducted annually for all TMG staff. The evaluation process addresses both expectations as TMG team members and specific responsibilities of their position with the client(s) they work with.

Performance reviews are conducted at the beginning of the calendar year and are completed by the end of February. This review starts with the Self-Evaluation Form. This form is to be filled out by the employee and submitted to the Chief of Staff. A blank copy of this evaluation form has been included as Exhibit 9.1a. A formal review will then be scheduled to discuss areas of improvement or discrepancy, to further assess the employee’s performance, and to set goals for the upcoming year. If necessary, performance reviews may be conducted more frequently at the discretion of the senior staff.

Sub-section 9.2 Employee Training and Professional Development

Submitted by Talley Management

TMG has an orientation and training program in place for all new employees. It addresses the following which can be found in the TMG Employee Manual:

- Company history
- Overview of association management and AMC structure
- Company policies
- Company mission, values, service principles
- Introduction to staff and clients
- New Employee Procedure and Checklist (Exhibit 9.2a and 9.2b)

In addition to ongoing evaluation of new employee progress, we also conduct a formal 30-day and 90-day evaluation for all permanent and temp-to-perm employees (Exhibit 9.2c).

With regard to training and ongoing professional development of all our employees, TMG is committed to providing continuing education and training for all our staff, at every level. This is accomplished via a variety of educational opportunities:

EXTERNAL

Full-time regular employees are eligible for reimbursement for education costs (and associated travel) up to \$750.00 annually that are approved by TMG senior management. This limit can be increased with prior approval from the President. For employees in a certificate program, like CAE or CMP, we will develop a multi-year budget. It is the employee's responsibility to seek out the courses and other training mediums that will enhance his or her career development and are in line with the TMG's mission. Professional development can be obtained through attendance at seminars, educational courses and degree programs that, once acquired, will assist the employee in performing his or her essential job functions and increase the employee's contribution to the organization. Employees are required to fill out a Professional Development Form (Exhibit 9.2d) to obtain prior approval for reimbursement for all courses. See the Training and Professional Development Policy in the TMG Employee Manual for more details.

INTERNAL

We also conduct internal staff training programs. These are classes for all staff in which they learn a variety of association management topics. Topics include training on this standard, mission, vision, values, teamwork, and communication.

TMG holds regular staff meetings (Exhibit 9.2e) during which we share information about client activities and issues, as well as keep everyone updated on operational issues and actions. We share monitoring and benchmarking data with staff as appropriate and problem-solve as needed. Coaching, mentoring, and a climate of information sharing are all important elements of TMG's training practices and philosophy. TMG has an open door policy (See TMG Employee Manual for details).

TMG also maintains a library of books and training materials on a variety of technical, management, interpersonal and association management topics. All employees have access to and are encouraged to use and explore these materials.

Section 10 Subcontracting and Purchasing Requirements

Sub-section Section 10.1 Subcontracting and Purchasing Requirements

Submitted by Melby, Cameron, & Anderson

For new products or services costing more than \$3000, it is our policy to seek competitive bids to assure that due diligence has been exercised on behalf of the company or one of our client associations. Bids may certainly be sought for expenditures expecting to be less than \$3000, but they are not required.

MCA's policy is to weigh such factors as cost, quality, and reliability in purchasing and securing outsourced or subcontracted services—for both our company and our clients. When purchasing, we evaluate:

- Vendor's current and past experience providing the product/service we seek
- Vendor's history with MCA or other MCA clients
- Vendor's pricing and price structures
- Vendor's references
- Quality/value of product or service from particular vendor

It is recommended that three bids be sought for new purchases in excess of \$3000, but we recognize that there may be times when more than three are desirable, or fewer than three in very specialized purchase areas.

We will not routinely put out for bid “relationship” services of long-standing or for which we have cost, quality, and reliability with which we are satisfied. These may include CPAs, attorneys, facilities, banking services, and so forth. To routinely submit these relationships to an RFP process is akin to associations putting our management contract out to bid, not for any dissatisfaction, but simply because it is “required every three years.” We discourage that practice and would find it hypocritical to engage in it ourselves. Having said that, we will not hesitate to seek competitive bids for any of these types of services if we are dissatisfied with the service or service provider, or feel significantly better value of equal or superior quality could be achieved elsewhere. Additionally, MCA will periodically review and compare prices of “relationship” services to assure that we are getting competitive prices from our vendor partners.

With regard to independent contractors/purchases that are engaged directly by MCA client organizations, we may not always have the authority or influence to determine how such contractors are secured. Where possible, we will encourage them to follow MCA policies and practices, recognizing that they will not always do so. Examples of such contractors might include PR firms, tradeshow decorators, independent consultants, and attorneys.

MCA has a variety of generic purchasing forms which can be customized to create an RFP for any client or any product or services. Refer to samples in MCA Policy/Procedure Notebook and on the F drive under: F:MCA/Templates/Purchasing. The forms may include the following elements:

- Definition and description of the desired product or service and what will constitute satisfaction. For MCA client purchases, whenever possible, this should be reviewed and/or signed off on by an authorized representative of the client organization.
- Pertinent background information about the purchasing organization (MCA or client).
- The description and conditions of satisfaction, along with any other relevant information, such as deadlines, delivery, contact information.
- Vendors are requested to submit their fee/price proposal in writing by a designated date, also describing any other pertinent terms and conditions, commitment to a delivery date, and references if we are unfamiliar with the company/service.

Selection will be based on our evaluation of which bidder can meet our conditions of satisfaction, weighing price, value, quality, and deadline constraints.

The executive director of the purchasing organization (MCA client association) must approve the acceptability of a product or service prior to payment (or final payment in situations where partial payment is due in advance). For products or services purchased for MCA, one of the MCA partners must approve before payment.

We recognize that there may be some products, such as promotional products or certain printing vendors, where full payment is required with order submission. In these cases, we should have prior knowledge of the vendor’s quality and reliability, and have established a relationship where we know any dissatisfaction will be remedied.

Subcontractors are evaluated prior to initial engagement using the criteria noted above—cost, value, quality, reliability—plus, before engaging a vendor or subcontractor for the first time, we will ask for and check references where available and appropriate. In the case of products, such as printing, we request samples that would demonstrate quality of the work.

With regard to contracting for meeting facilities, it is our practice to do in-person site inspections of properties we are unfamiliar with wherever possible, seek references, and/or work with an expert in venue selection.

Section 11 Record Keeping Requirements/Continuity of Operations

Sub-section 11.1 Record Retention Policy

Type of Document	Retention Period	Disposal Method
1. Accounting Records		
• Accounts Payable and Receivable	Seven (7) years	Shred
• Audit Reports	Indefinite	
• Chart of Accounts	Indefinite	
• Depreciation Schedules	Indefinite	
• Expense Records	Seven (7) years	Shred
• Annual Financial Records	Indefinite	
• Fixed Asset Purchases	Indefinite	
• General Ledger	Indefinite	

• Inventory Records	Seven (7) years	Shred
• Loan Payment Schedule	Seven (7) years	Shred
• Purchase Orders (1 copy)	Seven (7) years	Shred
• Sales Records	Seven (7) years	Shred
• Tax Returns	Indefinite	
• Bank Reconciliations	Two (2) Years	Shred
• Bank Statements	Seven (7) years	Shred
• Cancelled or Substitute Checks	Seven (7) years	Shred
• Electronic Payment Records	Seven (7) years	Shred
2. Articles of incorporation, deeds, title documents, bylaws and related correspondence	Indefinite	
3. Business conditions reports (periodic)	Two (2) years	Shred
4. Hotel contracts	Two (2) years after the meeting	Shred
5. Contracts with consultants and clients	Six years after completion	Shred
6. Copyrights, trademark registrations, patents, advertising materials, logos	Indefinite	
7. Correspondence (general)	Thirteen (13) months (except historical - then indefinite)	Shred/Delete
8. Inquiries, literature requests, change of address	Six (6) months	Shred/Delete
9. Insurance policies and contracts	Indefinite	
10. Literature, pamphlets, speeches, brochures and other material	Discretionary, but minimum of 13 months (use good judgment)	Shred/Delete
11. Membership Applications	Indefinite	
12. Meeting registration forms, sponsorship forms, advertising forms, etc.	Eighteen (18) months	Shred/Delete
13. Membership correspondence	Two (2) years all documents	Shred
14. Minutes of board of directors meetings	Indefinite	
15. Minutes of committee meetings	Six(6) years	Shred/Delete
16. Applications for employment	Three (3) years	Shred
17. Employee files	Seven (7) years after completion	Shred
18. Payroll	Seven (7) years	Shred
19. Surveys (where membership is polled)	Three (3) years after next similar survey	Shred/Delete
20. Surveys (the individual responses received under foregoing surveys and polls)	Three months where membership responses are collated	Shred/Delete

21. Contracts with Management Company	Indefinite	
22. Documents relating to threatened, potential or actual claim or litigation.	Indefinite	

Sub-section 11.3 AMC's shall adopt a business continuity plan that will include at a minimum.

- 11.3.1 Procedures for the management of electronic back-up of software and electronic records;
- 11.3.2 Communications to inform staff, members, vendors, etc. about recovery plan
- 11.3.3 Building evacuation plan;
- 11.3.4 Options for temporary facility in the event current office(s) is (are) not available.

Refer to AMC's Business Continuity Plan, which is a part of the AMC's Employee Policy Manual.

BUSINESS CONTINUITY PLAN

The following business continuity plan in a crisis to enable critical services to be continually delivered to client.

Identifying Common Threats

Working in <State> involves an inherent threat <risk type>. These can cause power outages, cable Internet outages, wind damage, and flooding. Since all AMC files are stored away from the office on server farms, company and client files should not be affected. What will be most critically affected will be the ability to answer telephone calls and receive/send e-mails.

Power Outage - Short-term power outages are mitigated by battery back-ups on all computers and phones. Longer-term power outages will require a generator back-up.

Flooding - Sandbags should be used by the front door to keep flooding to a minimum. If water rises past the front door and into the office, work and equipment should be moved to another building on higher ground until flooding subsides.

Fire - The AMC maintains an inspected fire extinguisher next to the front door of the office, as well as emergency lighting throughout.

Response

The President will serve as the Commander, overseeing the following during the recovery process. Teammates will communicate via cell phone.

AMC President

1. Client Notification: The AMC President will contact each client's president to alert him/her to the crisis. As quickly as possible, AMC will make arrangements for notices to be e-mailed to membership and posted on each client's web site that notifies members that there may be a temporary disruption of services, and that they will be continued to be updated via the web site.

<Insert Client Contact Information>

2. Situation Assessment: AMC President will assess the crisis to determine if current facilities are habitable or if they need to be moved to an alternate location. The first choice for alternate location is AMC's house, which can be considered a warm site since it electronically equipped and can be fully operable within hours. Second choice would be the Regus Executive Suites in

<City>. This would, of course, be based on availability. Third choice would be to travel to the nearest city that has power and Internet and set up a virtual office.

3. Insurance: AMC President will ensure necessary insurances are in place and work with the insurance company post-disaster.

AMC Vice President

1. Alternate Power Source: Immediately upon a power outage, back-up batteries will kick in. During that time, AMC Vice President will assess the situation and determine the quickest route to implementing further alternate power.
2. Alternate Communication Source: AMC Vice President will be responsible for working with our telephone provider to get calls auto forwarded to his cell phone, which can remained charged via his computer battery back-up.

<Insert Telephone Provider Contact Information Here>

This plan will be evaluated and adjusted as needed annually, along with the rest of the Employee Policies and Procedures Manual.

Sub-section 11.3 Business Continuity Plan

Submitted by Melby, Cameron, and Anderson

Recovery Team: All staff, lead by MCA Partners

Sunset Building

MCA will work with Bev Flugstad (206.550.1724) to assess extent of damage to our office and the timetable for being able to resume work there. Staff will work from home, computer remote access in or using Virtual Private Network (VPN) until our offices are usable or an alternate site is established. If office is unavailable to us for an extended time, one or more of the Partners' homes will be designated as temporary office for bringing some or all staff together as needed. Partner home office will be selected on basis of ease of accessing during particular event or emergency and proximity to staff who need to meet.

Communication

We will communicate to staff using email, text, and phone. Refer to box below for phone tree noting who is assigned to call whom. All staff are requested to keep a copy of the employee contact list at their homes.

Phone Tree

Partners will communicate with one another, calls initiated by whichever Partner first becomes aware of emergency situation.

Further communications to be handled as follows:

- ⇒ Anderson to call members of her team and Graphics. Dept. Manager
- ⇒ Murphy-Love to call members of her team and Bookkeeper
- ⇒ Cameron to call non-partner execs, and direct each of them to call their team members

(there will be some overlap due to certain staff working with multiple supervisors—this will be worked out by Dana, Patty and Donna)

Executive Directors are responsible for notifying client leadership in each of their groups at the earliest opportunity. They will establish with their presidents a mutually acceptable plan for staying connected (phone, email, text, frequency, etc.). Our goal is to establish business-as-usual via email and phone communication as soon as possible—within 24 to 36 hours.

Partners will discuss and share responsibility for contacting any vendors or business partners who may need to be notified of our situation (e.g., Pacific Continental Bank, printers, post office, ADP....)

Any announcements, interruptions, or changes in contact information will be added to the homepage of each client website. This will be coordinated by the executive directors with the staff persons who ordinarily update the websites. Rodney Dunham (or designee) will make any necessary updates to the MCA Website.

Constant Contact can be used to communicate any emergency information or disruption notices to our key contacts. Dana Murphy-Love will send this in coordination with other Partners.

Insurance Contact:

Our Business Owners/General Liability Policy is through Travelers, 1.888.661.3938. Policy #: 0043P396. Donna Cameron will contact Travelers as soon as feasible. Should there be any reason to contact our Professional Liability carrier, that is through Marsh; policy # 97N-0500016; 312.627.6348 (Elizabeth Robinson)

Phone System

Our phone system is through First Call Communications (Troy, 1.800.275.1283 or 360.668.5500. We need to verify if they have the ability to re-route calls to staff's cell phones or home phones or to a temporary office if the need should arise. Patty Anderson will contact First Call and will also post a new answering message to the MCA line and all client lines, citing relevant information about any disruption.

Postage Machine

Leased through Nexxpost. If damaged, covered and replaced through our office liability policy. Contact information: Nexxpost, Rod Lambe, 206-764-9000, Rod.loambe@nexxpost.com

Mail

An MCA partner will arrange for someone to pick up our mail daily and coordinate with staff for distribution. Fed Ex and UPS will be notified of temporary alternate delivery address (using the Partner home address selected as temporary alternate office site),

Technology Overview

This plan covers steps necessary to recreate the current technology backbone of MCA. It should be used in event of catastrophic damage such as complete destruction of MCA facilities. In the event of smaller emergencies, only certain parts of this plan will be needed.

Overview: Restoration Outline **Note: SisAdmin's telephone # is 425.482.1919**

MCA will be using the following process:

1. Contact stakeholders (MCA staff, insurance company, IT, phone, and support companies)
2. Order backbone equipment (network equipment, servers, etc.) Dell Computers has developed a program for immediate build of new systems within 48 hours, SisAdmin transfers profiles, and setup in the new facilities utilizing offsite backups
3. Order user equipment (phones, laptops, printers, etc), SisAdmin transfers profiles, and setup in the new facilities
 - a. SisAdmin will restore the MCA network on newly acquired server systems and re-point DNS if necessary
 - b. MCA staff will access systems directly from new servers with no change in processes

Overview: Assumptions

We assume that:

1. Purchase of user equipment will depend on how quickly MCA will find a replacement office
2. Power users have their own personal computers

First Steps

The first steps are broken up into notifying everyone of the situation and getting temporary systems up and running on temporary network. At the same time, we should be looking for a replacement location with suitable T1 (or better) Internet connection. As we get close to securing our new office space, we should begin buying replacement equipment, starting with the backbone and followed by user equipment.

Notifications

The most immediate action is to contact MCA staff, insurance company, Temporary (IT support if necessary), Dell Computers (hardware/software supplier), and XO Communications (phone)

1. **MCA Staff:** it's critical that the staff contact list is always accurate and updated when there are changes.
2. **Insurance Company:** it's critical to know how soon the claim can be filed and when we can expect the funds to be in our accounts. This is necessary to prioritize how much equipment to order and when.
 - a. Contact: Travelers, 1.888.661.3938. Policy #: 0043P396
3. **Dell Computers:** Dell Computers will be notified to expect large high priority orders, to ensure availability.
 - a. Contact: Trina Taylor, (512) 724-1347, Trina.Taylor@Dell.com
4. **First Call Communications:** First Call Communications will begin order of new phone system
 - a. Contact: Troy Strumbetta, (800) 275-1283/360.668.5500
5. **SisAdmin:** 425.482.1919, Field Service Engineer Connor Houtari's # is 206.678.2234

To recreate our network, SisAdmin will restore the following from backup (in order of priority):

1. Internal DNS
2. Exchange Server
3. Web Server
4. SQL Server
5. Network drives

Order Replacement Equipment

SisAdmin has a record of all our computer equipment on file for replacement purposes. Hardware would need to be purchased only as we get ready to move into our new offices. Estimated 5-8 days to set up all the machines. The replacement equipment is split into two groups: backbone and user.

Backbone: this equipment is needed to recreate the backbone of MCA's network and consists of: firewall, router, switches, servers, etc. This is the most critical equipment to purchase and takes the longest to set up.

User: this equipment consists of user-utilized assets such as desktops, laptops, monitors, etc. Purchase of this equipment isn't as critical, especially if the office space and backbone hardware are not set up.

Note: phone equipment is listed in its own section and is considered user equipment.

Since the backbone will take longest to set up (migration of domains, email accounts, databases, data, etc) Staff's primary focus will be to get MCA network back online at their location. Purchasing and setting up end user machines will be secondary.

Order Replacement Equipment: Setup Backbone

Servers: we can group several functions such as Network Drives and Web on the same server.

Miscellaneous Network

PCs, laptops, monitors, etc. – refer to SisAdmin inventory.

Section 12. Internal Quality Control Requirements

Submitted by Association Headquarters, Inc.

AMCs shall adopt internal audit procedures that:

Sub-section 12.1.1 Determine whether performance complies with the AMCs written plans, procedures, and programs;

AH conducts quarterly internal client team audits that review and compare the team's performance against the AMCi Accreditation Standards. AH examines two (2) randomly selected client teams per quarter, resulting in the review of up to eight (8) client teams per year.

Additionally, AH's Chief Executive Relationship Officer (CERO) oversees an ongoing Client Service Evaluation process that surveys all of AH's clients individually about their satisfaction with the delivery of services across most available service areas.

Sub-section 12.1.2 Verifies the effectiveness of the AMCs corrective actions.

As part of AH's ongoing internal audit process, any deficiencies found during the audit are documented on the Accreditation Audit Checklist. Once deficiencies are remediated, audit checklists are updated to reflect compliance, and there is no further need for a corrective action plan..

The client ED and his/her supervisor develop a corrective action plan to address all deficiencies. The ED submits the corrective action plan to the CERO for approval, and filing with original survey results. Once approved by CERO, the ED works to implement the corrective actions under the guidance of his/her supervisor. The CERO follows up with the ED and his/her supervisor at regular intervals to gauge the progress of the corrective actions until they are satisfactorily addressed.

Sub-section 12.1.3 Audit activities are appropriately planned;

AH's quarterly internal client team audits are scheduled, planned and executed. Upon selection, the client Executive

Director (ED) receives information necessary to prepare for the audit.

The audit meeting is scheduled (with at least 2-weeks notice), with the ED to review the internal audit procedures and conduct the audit interview, using the AH Accreditation Audit Checklist. During the review, an observational analysis is conducted to gather any information not obtained during the audit interview.

The Internal Audit Checklist with notes identifying any deficiencies; is provided to the ED, his/her supervisor, and the CERO for review. In cases where no deficiencies are found or upon satisfactory completion of the audit or corrective action plan, the final checklist can be saved to this page of the intranet.

Sub-section 12.1.4 Internal auditors are independent of the procedures and people being audited and external auditors are recognized independent entities;

The internal auditors do not have any supervisory, management or operational responsibility for the EDs who manage client service delivery and provide the information required during the audit.

Sub-section 12.1.5 Audit results, corrective actions, and corrective action results and consequences are appropriately recorded;

AH records results, corrective actions, and corrective action results on the Accreditation Audit Checklist used for every client team audit.

Sub-section 12.1.6 Audit conclusions are discussed with the people whose activities and results are being audited, and deficiencies are corrected;

See process outlined under 12.1.2

Sub-section 12.1.7 Copies of the audit reports are kept on file for future reference in accordance with the records retention policy, but not for less than four years.

AH keeps copies of completed Accreditation Audit Checklists in accordance with this standard.

Sub-section 12.1.2 Corrective Action Form

This form is to be used when we identify an area where we have fallen or are in danger of falling out of compliance with Company and/or Client Association standards. It is meant not to punish staff or point fingers, but to identify problems or potential problems and assure that there is timely follow-through on rectifying them. A copy of the form is to be given to the MCA President upon initiation on the corrective action and upon conclusion.

Corrective action initiation date: _____

Team members involved in corrective action: _____

Description of situation or lapse: _____

Plan of corrective action: _____

Date by which corrective action is to be completed: _____

Follow-up summary and notes: _____

A copy of this form is to be given to the Donna Cameron at the initiation of the corrective action process and at its conclusion.

Exhibit 1 Accreditation Checklist

AMC Institute Accreditation Standard Sections		Y/N	Location
3.	Client Contracts: Review Procedure and Requirements		
3.1	Written agreements with clients.		
3.2	Client contract review procedures including written service commitments		
3.3	Internal procedures to coordinate periodic review of client contracts and amendments		
3.4	Procedures specifying how client contracts are amended and communicated		
3.5	Transition procedures that include at minimum:		
3.5.1	Timetable for closing/transferring accounts, return of materials, notification to members		
3.5.2	List defining responsibilities of current AMC, volunteer leaders, and new management		
3.5.3	Establish procedures and fees/charges for agreed services that may be rendered following termination		
3.5.4	Methodology used for timely notification to all vendors		
3.5.5	Independent verification (audit or agreed upon procedures)by an outside independent CPA immediately prior to or immediately after transfer of financial responsibilities; or if no audit or asset and liability verification is authorized by the board, a written release from client board that they will accept financial records as transferred will be obtained.		
3.6	Address in contracts the respective intellectual property rights(e.g. copyright, trademark, patents) of the client and the AMC including:		
3.6.1	Materials and software systems developed and customized specifically for the client		
3.6.2	Materials and software systems of the AMC adapted for use with the client.		
4.	Servicing Client and Service Delivery Procedures		
4.1	Service policies and service delivery systems include:		
4.1.1	Quantity and types of service		
4.1.2	Competence and knowledge of staff		
4.1.3	Service accessibility and availability		
4.1.4	Service speed and accuracy		
4.1.5	Ability to increase and expand services		
4.1.6	Ensure client is focal point of policy		
4.1.7	Importance of customer satisfaction		
4.1.8	Internal communication policy		
4.1.9	Measure performance of service and delivery : Surveys/ED review done last quarter of calendar year and these results are used when negotiating contracts and/or contract changes.		

- 4.1.1 Methods to improve performance
- 0
- 4.2 Responsibilities owed to client; staff assigned for implementation
- 4.3 Use Scope of Services, staff with authority & staff to implement
- 4.3 System of internal communication including briefings, meetings, memos, email, reports, and telephone conversations with staff on client team
- 4.4 System of communication with clients including staff communication and interaction, reaction to client expectations and comments and info about AMC
- 4.5 Procedures to correct or prevent failures to perform Correct: using surveys and ED review; prevent: experience in working with clients especially with those that have been poorly served.
- 4.6 Establish policies and procedures for advising existing clients in the protection of their intellectual property (e.g. copyright, trademark, patents.)
- 4.7 Evaluate and develop an internal policy and client policies for external communications, including but not limited to press releases, newsletters, social media, etc.
- 5. Evaluation of Services**
- 5.1 Adopt methods for clients to use to evaluate the performance of AMC Services, including methods for measuring client satisfaction, to be conducted at least annually.
Performance review procedure and tools
How often are performance reviews conducted?
- 5.2 Internal measuring system to evaluate service performance
Monitoring service performance
Responsible personnel
Who recommends/approves service improvements?
- 6. Financial Management & Internal Controls**
- 6.1 Establish procedures for most recent year-end financial statements for each client to present fairly the financial position and changes in net assets and cash flows at year-end are in conformity with GAAP, unless otherwise authorized in writing by the client.
- 6.2 Procedures to ensure financial control and reporting systems, which conform to GAAP are in place and utilized, unless otherwise authorized in writing by the client.
May include copies of Financial statements, general ledger, chart of accounts, budget, check registers, check signing policy, internal controls procedure
- 6.3 Written policy prohibiting co-mingling of client assets with AMC or other client's assets
- 6.4 Adopt written policies and procedures to protect privacy of client's proceedings, records, data
- 6.5 Adopt Policies to ensure disclosure to clients of all income from commissions, finder's fees and other sources related to client

- 6.6 Propose to Client Boards the need for an outside independent review by CPA of all financial transactions and records. The recommendation shall be in writing.
- 6.7 Propose to client boards the need for General liability and APLI policies (if declined include a release in writing)
- 7. Insurance coverage**
- 7.1 Minimum coverage:
- 7.1.1 Commercial general liability
- 7.1.2 Property \$1,000,000
- 7.1.3 Valuable papers Full value of property
- 7.1.4 Employee dishonesty Full value of reconstruct
- 7.1.5 Money and securities AMC and client property and funds
- 7.1.6 Computer equipment and data Both AMC and Client funds, maximum mount of cash on hand including convention receipts
- 7.1.7 Non-owned and hired auto liability Full value of equipment and reconstruction of data
- 7.1.8 Worker's compensation \$1,000,000
- 7.1.9 Errors and omissions Minimum amount based on each states regulation
- Copy of insurance policy or Certificate of Insurance \$1,000,000

8. Employee recruitment and selection

- 8.1 Procedure for creating, reviewing, & updating employee job descriptions;
- 8.2 Procedure for interviewing and assessing candidates for positions within the AMC
- 8.3 Include copy of employee manual and notate sections as they relate to 8.0

9. Employee training & professional development procedures

- 9.1 Evaluation procedure for all employees covering competencies, performance assessment and professional development.
 - Procedure for annual review (include copies of instruments)
- 9.2 AMCs must provide periodic internal and/or external training and/or external professional development to ensure functions of AMC are completed professionally using current best practices, including but not limited to:
 - 9.2.1 Process monitoring and control
 - 9.2.2 Data collection analysis
 - 9.2.3 Performance improvement and corrective action

- 9.2.4 Teamwork, interaction, and communications
- 9.2.5 Financial management, meetings management, membership development, marketing, non-profit legal issues and other functions basic to association management and services
Documentation can include: Employee handbooks, Programs/processes used to train staff
- 10. Subcontracting & purchasing requirements**
- 10.1 Procedures to ensure due diligence when purchasing products or services for clients and they meet service requirements.
- 10.2 Procedures to ensure due diligence when preparing purchase/service orders and bid/quote documents
- 10.3 Procedures permitting AMC/clients to verify/accept products/services purchased
- 10.4 Procedures for evaluating/hiring subcontractors. Include:
 - 10.4. Subcontractor's service procedures and facilities
 - 1
 - 10.4. Samples of subcontractor's products/services
 - 2
 - 10.4. Experience other companies have had with subcontractor
 - 3
- 10.5 Procedures to track and record the use of products/services provided
- 10.6 AMCs shall disclose conflicts of interest when contracting or making purchase for benefit of client from related entities. (e.g. partnerships, subsidiaries, family members, etc.) Conflict of Interest Policy
- 11. Record Keeping/Continuity of Operations**
- 11.1 Record & retention policy identifying and defining information & records retained and what property, files, data, and materials are property of client (electronic and/or hard copy)
- 11.2 Procedures to maintain and control record keeping system to:
 - 11.2. Collect & record information
 - 1
 - 11.2. File, index, store, & maintain records
 - 2
 - 11.2. Remove, archive, or destroy old records on predetermined time basis
 - 3
 - 11.2. Prevent records from alteration without approval of designated authority
 - 4
 - 11.2. Safeguard records from damage or deterioration
 - 5

11.2. Protect records from unauthorized access

6

11.3 Adopt a business continuity plan

11.3. Management of electronic back-up of software and electronic records

1

11.3. Communications plan covering staff, members, vendors, etc.

2

11.3. Building evacuation plan

3

11.3. Options for temporary facility in case of emergency

4

12. Internal Quality Control Requirements

12.1 Adopt a schedule of internal audit quality control verification procedures that:

12.1. Determine performance complies with AMCs written plans, procedures, & programs

1

12.1. Validates effectiveness of AMCs corrective actions

2

12.1. Confirms activities are appropriately planned

3

12.1. Internal reviewers are independent of procedures, people reviewed and recognized as independent entities

4

12.1. Demonstrate quality control results, corrective actions, & corrective action results and consequences are recorded

5

12.1. Conclusions are discussed and deficiencies corrected

6

12.1. Copies of quality control reports are kept on file in accordance with the records retention policy but not less than 4 years

7

Exhibit 2 – Client Internal Audit Form submitted by Association Headquarters

Client Partner Name

Internal Audit Date: _____

√	ANSI Std	Item	Location
	3.1, 4.1	Evidence of sharing Client Contract Scope of Work with all team members.	
	3.6	Confirm that Client contract addresses client and AMC – intellectual property rights regarding materials and software systems, and that client understands who owns what (not just the contract signer, but current leadership).	
	4.1.2, 9.2	List of professional educational events client team members have attended in the last 12 months	
	4.1.2, 9.2	List of client team members’ education level, professional certifications, memberships and/or unique experience	
	4.1.7, 5.0	Copy of most recent annual partnership development survey (with results)	
	4.3, 4.4	Copies of agendas, minutes or action items from regular client team meetings (previous 6 months)	
	4.4, 4.5	Notes/minutes from CRO meetings/calls with client volunteer leader from previous 12 months	
	4.7	AMC must have written social media policies for AMC and clients	
	6.5	Evidence of sharing with your client the policy that AH does not receive any commissions, finder’s fees, or other potential revenue related to client work identified in AH/Client contract as "No Markup Provision."	
	6.6	Previous year’s third-party financial audit	
	6.7, 7.0	Current client insurance policies - if not, Board refusal must be in the minutes.	
	4.1.2, 8.1	Current job descriptions for all client team members	
	8.2	Agendas/notes from any exit interview conducted with any team member(s) who left AH during previous 12 months	
	9.1	Copies of current Catalytic Coaching Development Plans for all eligible client team members	
	10	List of current third-party vendors or suppliers providing services to your client (what service they provide, how long they have been providing it)	
	10.1-10.2	Copy of the RFP developed and used to purchase any new product or service from a third-party vendor or supplier during previous 12 months	
	10.3	Copy of any document produced to analyze/recommend to your client the selection of the appropriate third-party vendor or supplier based on responses to the RFP	

10.6	Confirm contract includes language on conflict of interest disclosure indicated in AH/Client contract as "Conflict of Interest."	
11	Evidence that client's document retention policy has been shared with your team and the client board, and includes electronic records as well.	
11.2	Inventory of items in long term storage	

Exhibit 3 CLIENT TRANSITION CHECKLIST

Submitted by Melby, Cameron & Anderson

(for transition of terminated MCA clients; to be customized for each transition)

Association Name: _____

Transition Effective Date: _____

Key Volunteer Contact: _____

Title: _____ Address: _____

City/State/Zip: _____

Phone: _____ FAX: _____

E-Mail Address: _____

Key Volunteer Contact: _____

Title: _____

Phone: _____ FAX: _____

E-Mail Address: _____

New Management Company or Executive Director:

Company/Name: _____

Title: _____

Address: _____

City/State/Zip: _____

Phone: _____ FAX: _____

E-Mail Address: _____

(for the information and property listed below, please supply all relevant materials and delete any that don't apply to this client)

Financial Documents

- accounts payable, detail list
- accounts receivable, detail list
- electronic files – budget and financial reports
- merchant account information
- list of signators on bank accounts)
- amortization and depreciation schedules, if applicable
- asset list, include equipment owned by association
- accountants audit for last three years
- audit, final
- certificate of deposits/list of investments and copy of investment policy
- federal ID number_____
- general ledger detail for current fiscal year
- tax exemption copy
- federal tax returns (990 and 990T)
- state tax returns for last three years, if applicable
- copy of IRS determination letter regarding tax exempt status
- last trial balance, including income/budget statement and balance sheet
- fiscal year:_____
- state of incorporation:_____
- cash_____ or accrual _____

Insurance Policies

- general liability
- workers compensation
- convention cancellation
- directors & officers
- other:_____

Key Contacts (provide name, city, phone #, e-mail address)

- accountant:_____
- bank:_____
- attorney:_____

- website host _____
- admin log-in information: _____
- insurance: _____
- lobbyist: _____
- printer: _____

If local organization, name, address and phone of National Headquarters:

General

- articles of incorporation
- corporate seal
- board of director list, including terms
- committee chairs and member list
- board and committee meeting minutes for past three years
- officer/committee charges, position descriptions or plan of work
- by-laws
- policy manual
- copy of strategic plan
- original charter including all amendments to the charter
- contracts with outside vendors/names, addresses and phone
- internet providers
- resellers permits
- surveys
- casebooks
- frequently asked questions
- policy manual
- postal permit, if applicable
- other: _____

Meetings

- calendar of upcoming meetings with locations and any contracts
- hotel planning currently underway
- any speaker/educational content planning
- trade show/exhibit monies and sign ups to date
- history of meetings from past three years to include locations, dates, hotels, rates, etc

Membership

- copy of membership brochure
- copy of membership application
- list of fields to include in membership data base
- hard copy and electronic of all membership related data bases
- information on industry profile, key issues and the association's role in the industry
- membership categories/dues
- membership expectations of association staff
- current and accurate membership roster, including status and delinquencies
- dues billing method/cycle
- member visits schedule as appropriate
- documents used on regular basis, hard copy and electronic (welcome letter, drop letter, thank you for interest letter, etc)

Artwork

- letterhead
- membership applications
- magazine/newsletters
- PMS ink color numbers
- camera ready art of logo
- sponsor logos

Files

- meetings, conventions, trade shows, other events for past three years
- membership directory, sample and file
- newsletters and other publications
- other activities like certification, etc
- nominations and elections for past three years
- perpetual plaques
- photo files
- proclamations, awards
- order forms for inventory sales & history of pricing policy
- other: _____
- other: _____

Inventories

- audio and video tapes
- audio-visual property, if applicable
- membership certificates
- membership pins
- publications
- t-shirts
- other: _____
- other: _____
- other: _____
-

Transition Activities

- relocate assets
- change of address (post, media, allied groups, members, vendors)
- educate staff/give frequently asked questions
- to do list of upcoming activities
- collect off-site storage boxes for pick-up
- provide web page provider and server and any contracts
- Passwords, log-ins, and PINs
- other: _____
- other: _____
- archives: other files, inventory or items not included above: list: _____

Other Transition Notes:

(attach additional pages if necessary)

I attest that the items described above have been reviewed and received; and the transition is completed to our satisfaction.

Association President or Designee

MCA Officer

Name of Association

Melby, Cameron & Anderson

Date

Exhibit 4 Separation Agreement

Submitted by Melby, Cameron & Anderson

Given the mutual agreement between the {Association Name} and Melby, Cameron & Anderson (MCA) to discontinue working together after {termination date}, it is agreed that:

- ❖ MCA will work with {Association Name} and the new management team to assure a smooth transition; following the established checklist and timeline.
- ❖
- ❖ MCA will provide {Association Name} with a {month} report at no additional charge, even though that will mean several MCA hours for MPIWSC after the contract terminates.

- ❖ MCA will retain {Association Name} electronic files on its server for six months following the termination of the contract in order to provide direction and/or consultation on the files and historical documentation, should it be needed. After six months, the electronic files will be permanently deleted from MCA's server. [Note that some departing clients have requested that MCA retain the files for a full year, in case there is something the client feels it may need help with during the first full year following separation. If that would be {Association Name} preference, we are happy to oblige.]

- ❖ After {termination date}, MCA will answer *brief* questions, within reason, at no charge to {Association Name}. For in-depth questions or consultation, {Association Name} agrees it will pay MCA at a rate of {to be determined}. Consulting time will be tracked in 15 minute increments and billed monthly; payment due within 10 days of statement submission.

- ❖ {Association Name} agrees that it will reimburse MCA for all outstanding legitimate expenses after {termination date}; payment due within 10 days of statement submission.

- ❖ {Association Name} agrees that it will either 1) conduct a financial audit or review, as recommended by MCA, or 2) sign the provided release form indicating it has declined to conduct an audit and accepting all financials as presented at termination.

The undersigned agree to the above stipulations.

for the {Association Name}

for Melby, Cameron & Anderson

President

President

Exhibit 5 Financial Audit Release Form-

Submitted by Melby, Cameron & Anderson

(to be printed on departing association's letterhead)

On behalf of (association), I attest that the Board of Directors has declined to conduct a full financial audit and accepts the financial statements and records through (date) as presented to us upon separation by Melby, Cameron & Anderson.

_____	_____
(signature)	(printed name)
_____	_____
(title)	(date)

Association Legal Name: _____

Exhibit 6 Client Transition In Plan –

Submitted by AMP Management Services

Client:					
Website:					
Assigned Executive Director:					
Transition Start Date:					
Full Service Start Date:					
Transition Main Contact:					
Miscellaneous					
	Action Item	Person	Deadline	Comment	Done
	Set up initial internal Transition Operations Meeting				
	Update all MS Client Lists				
	Update AMP website				
	Periodic Transition Updates to President and/or Designee				
Accounting/Finance					
	Action Item	Person	Deadline	Comment	Done
	Independent audit facilitated by prior management company?				
	Federal ID Number				
	Articles of Incorporation				
	Chart of Accounts				
	Assign Postage Codes				
	Establish Merchant Acct				
	Online Access to Bank Info				
	Receive Investment Advisor Info & Authorizations (passwords, login)				
	Establish bank account(s) & signature cards				
Administration/General					
	Action Item	Person	Deadline	Comment	Done
	Planning Calendar, general				
	Review membership renewal schedule and sample of renewal forms				

	Schedule of planned Board and/or Committee meetings				
	Bylaws				
	Policies and Procedures				
	Review strategic plan				
	Board/committee Info				
Operations					
	Action Item	Person	Deadline	Comment	Done
	Obtain Database snapshot and data dictionary for mapping				
	Receive Electronic Files				
	Open FEDEX account				
	Open PO Box				
	Establish an indicia				
	Transfer 1-800#, if applicable				
	Order new phone lines				
	Set up and record voicemail box				
	Order 1 Source Conference Call Account				
	Assign 3 Digit Long Distance Code				
	Set up Client in TimeSheet				
	Set up Intranet SharePoint site				
	Set up Extranet SharePoint site				
	Set up CSC Research Folder				
	Arrange off site storage				
	Assign File cabinet				
	Assign Storage cabinet				
	Determine existence/contents of off site storage				
	Call/mail forwarding				
	Email forwarding from web				
	Receive website login, passwords, administrator info				

	Social Media Accounts				
	Constant Contact				
	Update website with new contact information				
	Obtain final database				
Insurance					
	Action Item	Person	Deadline	Comment	Done
	Directors and Officers liability policy				
	Convention Cancellation				
	General Liability policy				
Meetings					
	Action Item	Person	Deadline	Comment	Done
	Planning calendar				
	Conference History/Pick-up Reports				
	Contracts with hotel				
	Contracts with vendors				
Marketing					
	Action Item	Person	Deadline	Comment	Done
	Marketing Brochures				
Publishing					
	Action Item	Person	Deadline	Comment	Done
	Current publisher contact Information				
	Advertising Info				
	Press Releases				
	Artwork Files				
Vendor Contracts					
	Action Item	Person	Deadline	Comment	Done
	ListServ				
	Website Hosting				
	Attorney				
	Other				
Transition Activities					
	Action Item	Person	Deadline	Comment	Done
	Review each item on this checklist to determine need for further action				
	Attend Transition Meeting				
	Attend Annual Conference				
	Train CSC				

--	--	--	--	--

Exhibit 7 Transition Out

Submitted by: AMP Management Services

Client:					
Main Contact for Transition:					
Transition Out Start Date:					
Completion Date:					
Accounting/Finance					
	Action Item	Person	Deadline	Comment	Done
	End of Transition Audit completed or waiver signed				
	Federal ID Number				
	Bylaws				
	Article of Incorporation				
	Chart of Accounts				
	Approved Current/Proposed Budget				
	Cancel credit cards. Redeem points for client before closing				
	Close Bank Accounts				
	Generate 1099s				
	Online access to Investment Accounts				
	Online access to Bank Accounts				
	Cancel Merchant Account				
	Forward all open payable invoices				
	Most recent audited financial statements				
	All tax return forms				
	Prior audited financial reports/statements				

Administration/General				
Action Item	Person	Deadline	Comment	Done
Board of Directors list				
Committee lists				
Procedure/policy manual				
Membership application(s)				
Membership renewal letter(s)				
Membership Count History Spreadsheet				
Membership welcome packet				
Planning Calendar, general operations				
Operations				
Action Item	Person	Deadline	Comment	Done
Close FEDEX account				
Turn off telephone & voicemail				
Forward 1-800 # info, if applicable				
Cancel Source 1 conference call				
New Mailing Address				
New Phone Number				
New Email Address				
New Fed Ex #				
Forward Order on PO Box				
Cancel Client "Research" with CSC				
Send out Notice of Change to Database				
Ground Shipment - Hard Files				
Ship contents of off site storage and close account				
Insurance				
Action Item	Person	Deadline	Comment	Done
Directors and Officers liability policy				
Convention Cancellation				
General Liability policy				
Conferences/Meetings				

	Action Item	Person	Deadline	Comment	Done
	Current/pending hotel and venue contracts				
	Current/pending other contracts				
	Madison Ave Sign Headers				
	Meeting Count History Spreadsheet				
	List of upcoming deadlines				
	Planning Calendar				
	Conference History				
Publishing					
	Action Item	Person	Deadline	Comment	Done
	Current publisher contact information (if applicable)				
	Copy of all/any newsletter/periodicals				
	Pending copy of any/all brochures				
	Logos/artwork				
Vendor Contracts					
	Action Item	Person	Deadline	Comment	Done
	Abstract Company				
	Attorney				
	SharePoint Site				
	Other				
Technology					
	Action Item	Person	Deadline	Comment	Done
	Sample Database				
	Final Database Transfer				
	Domain Name Transfer				
	Q Drive Transfer				
	Extranet Content Transfer				
	Social Media Site Access				
	Survey Monkey Access				
	Set 000 on goamp.com email account				
	Cancel goamp.com email				
	Remove WCM Links - member login for dues, orders, events and Join Now				
	Website Login Access				

Other Transition Items				

Exhibit 8 Evaluation of Employees

Submitted by Talley Management

Self-Evaluation Form

Name:

Date:

Identify your essential job functions.

What about your job do you like the most?

What about your job do you like the least?

Please identify at least one change you would recommend to correct what you like least about your job.

Of your tasks, what do you feel you excel most at?

What do you feel your weakest area(s) are in this position?

What performance accomplishment(s) have you achieved over the past 3 months? Have you experienced any major disappointment(s) in job performance over the past 3 months? If yes, please explain.

What steps are you planning on taking to further improve your job performance before your next review?

What SMART (Specific, Measurable, Attainable, Relevant, Time limited) goals would you like to accomplish in the coming year?

3 Months:

6 Months:

1 Year:

Look back at last year's goals, how did you do? (include list of last year's goals)

3 Months:

6 Months:

1 Year:

On a scale of 1 to 5, how would you rate your overall performance? (Circle a number) *Please note: a 3 is the expected mark for a good employee, it is very rare to achieve a 5.*

1. **Extensive Improvement:** Significant effort or training is needed to improve in important areas in order to meet job standards and performance expectations.
2. **Needs Improvement:** Sometimes meets standards and performance expectations. Performance could improve in certain areas. Performance may be variable and/or inconsistent. Performance is below expectations in some areas.
3. **Satisfactory Performance:** Consistently meets job requirements and performance expectations. Competent in all job related areas. There is some room for further development.
4. **Exceeds Expectations:** Sometimes exceeds job standards and performance expectations. Uses job-related skills in superior manner. Assumes responsibilities above position requirements.
5. **Far Exceeds:** Consistently and significantly exceeds job standards and performance expectations. Uses job-related skills in a superior manner. Frequently assumes responsibilities above position requirements. A suitable mentor for others.

Do the Primary Processes outlined on your job description still apply?

- Yes
- No

If no, what needs to change?

Do the Knowledge Skills Abilities on your job description still apply?

Yes

No

If no, what needs to change?

Please rate yourself on a scale of 1-5 (1 being the lowest, 3 being satisfactory, and 5 being the highest) on the following competencies and behaviors.

Structure: Prioritizes well and uses time effectively.

1 2 3 4 5

Task Completion: Never worry, it's done.

1 2 3 4 5

Self-Responsibility: Personally accountable, never makes excuses.

1 2 3 4 5

Communication: Organized and thorough when giving and receiving information.

1 2 3 4 5

Learning: Welcomes learning new things. Willing to change.

1 2 3 4 5

Employee's Signature:

Date:

Supervisor Comments: _____

Exhibit 9 Employee Performance Appraisal

Submitted by: Talley Management

Employee Name:

Position:

Job Description Revision Date:

Period Covered:

Date of Review:

Instructions:

Complete the following review based upon the employee's current approved job description. Refer to the relevant job description section for the specific criteria upon which to base your appraisal.

Use the following scale wherever ratings are required:

5: Far Exceeds

Consistently and significantly exceeds job standards and performance expectations. Uses job-related skills in a superior manner. Frequently assumes responsibilities above position requirements. A suitable mentor for others.

4: Exceeds Expectations

Sometimes exceeds job standards and performance expectations. Uses job-related skills in a superior manner. Assumes responsibilities above position requirements.

3: Expected Performance

Consistently meets job requirements and performance expectations. Competent in all job related areas. There is some room for further development.

2: Needs Improvement

Sometimes meets standards and performance expectations. Performance could improve in certain areas. Performance may be variable and/or inconsistent. Performance is below expectations in some areas.

1: Extensive Improvement

Significant effort or training is needed to improve in important areas in order to meet job standards and performance expectations

Job Purpose:

Do the Primary Processes of the employee (following section) still reflect the Job Purpose?

Yes No Revision Needed

Section 1 - Primary Processes

Based upon the current Job Description, how well has the employee performed the processes as detailed? Please cite specific examples where possible.

Section 1 Rating _____

Section 2 - Knowledge Skills Abilities (KSA's)

Based upon the current Job Description, has the employee maintained or improved upon the range of KSA's needed for this specific position? Please cite specific examples where possible.

Section 2 Rating _____

Section 3 - Competencies and Behaviors

How well has the employee exhibited and or demonstrated the competencies and behaviors needed to perform their position. Please cite specific examples where possible:

Section 3 Rating – Rate the employee based upon the competencies and behaviors as listed on the job description.

Competencies and Behaviors	Baseline	Current Period
Work Effectiveness		
Structure		
Task Completion		
Schedule Orientation		
Project Management		
Self Responsibility		
Detail Orientation		
Negotiating		
Strategic Thinking		
Planning		
Concentration		
Goal Orientation		

Section 3 Summary Rating _____

Section 4 – Priority Objectives

Based upon the current job description, has the employee focused sufficient time on the agreed to objectives. Have the targets been met or sufficient progress been made to achieving the listed objectives? Comments:

Section 4 Rating

Objective	Target	Status	Comments

Section 4 Summary Rating _____

Summary:

Section 1 _____

Section 2 _____

Section 3 _____

Section 4 _____

Overall for this evaluation period: _____

Comments:

Supervisor

Employee

HR

President

Exhibit 10- Employee Performance Evaluation Form

Employee Performance Evaluation Form CONFIDENTIAL

EMPLOYEE NAME:		
TITLE:		
APPRAISAL PERIOD:	From:	To:
REVIEWER'S NAME:		
TITLE:		

To the employee and reviewer: The purpose of this performance review is to encourage open, two-way communication between the employee and supervisor in order to improve individual performance and development, and help achieve the goals of the department and, ultimately, the mission/goals of the organization.

PERFORMANCE RATING			
(1) Below Standards	(2) Minimally Met Standards	(3) Met Standards	(4) Exceeded Standards

SECTION 1: BASIC PERFORMANCE INDICATORS		Rating
1	Is punctual and dependable as far as daily attendance and commitments.	
2	Projects a positive image and makes a favorable first impression.	
3	Unplanned absences are infrequent and proper notice of leave usage is given.	
4	Knows and adheres to organization policies.	
5	Maintains a pleasant attitude in relationships with other staff members.	

Comments:

SECTION 2: Communication Skills		Rating
1	Develops written materials that are clear and concise.	
2	Listens to others and encourages others to communicate.	
3	Verbal communication is clear and effective.	
4	Takes initiative for keeping supervisor informed about issues and status of current projects.	

5	Asks appropriate questions to obtain needed information.	
6	Demonstrates effective listening skills.	

Comments:

SECTION 3: PERFORMANCE OF ASSIGNED RESPONSIBILITIES		Rating
1	Handles assigned tasks responsibly and in a timely manner.	
2	Pays attention to details related to duties and tasks.	
3	Plans, organizes and monitors workflow to achieve desired objectives.	
4	Generates and champions new ideas and approaches to assignments.	
5	Maintains a cordial and professional demeanor when relating to members, volunteers, vendors, and staff.	
6.	Is able to effectively handle multiple demands and competing priorities.	
7.	Exercises good judgment in making and carrying out decisions.	
8.	Works independently and takes manageable risks without excessive supervision.	

Comments:

SECTION 4: ORGANIZATIONAL & TEAM COMMITMENT		Rating
1	Deals effectively with diverse personalities and difficult situations.	<input type="checkbox"/>
2	Attends to the needs of members, volunteers, vendors, and staff with respect.	
3	Demonstrates a commitment to the basic goals and values of the organization.	
4	Willing to assume responsibility and accountability for projects outside of the scope of normal duties and job description.	
5	Willing to accept guidance, suggestions and feedback without defensive behavior.	
6	Demonstrates sensitivity toward others and appropriately modifies behavior to suit the situation.	

Comments:

SECTION 5: POSITION RELATED SKILLS		Rating
------------------------------------	--	--------

A. Job knowledge & application skills: application of technical and procedural know-how.	check the applicable rating below.
Insufficient knowledge to handle routine tasks.	1
Knowledge is limited to certain areas; has difficulty applying knowledge to perform tasks.	2 <input type="checkbox"/>
General knowledge is sufficient to handle most routine tasks; possesses the skill to apply in most situations.	3 <input type="checkbox"/>
Broad general knowledge and in-depth expertise in most areas; can apply capabilities to advanced and unusual tasks.	4 <input type="checkbox"/>

Comments:

B. Concern for quality & accuracy: setting high standards for own personal performance; striving for quality work; putting forth extra effort to ensure quality work.	Check the applicable rating below.
Does not set personal standards nor accept responsibility for quality work; satisfied with work of minimum quality.	1 <input type="checkbox"/>
Recognizes the need for quality work; generally quality work is performed on only the more important aspects of the position.	2 <input type="checkbox"/>
Has established acceptable standards to produce quality work.	3 <input type="checkbox"/>
Sets high standards for quality work; strives for high quality work in completing assignments.	4 <input type="checkbox"/>

Comments:

C. Initiative and motivation to achieve: Being results oriented; desire to excel on the job; working steadily and actively.	Check the applicable rating below.
Takes action only when instructed; must be prodded.	1
Performs tasks; accepts additional activities only when suggested.	2 <input type="checkbox"/>
Does assigned tasks diligently; accepts responsibility for work beyond regular duties when necessary.	3 <input type="checkbox"/>
Accepts full responsibility for getting the job done; initiates and suggests independent action to assume additional responsibilities. Exceptional motivation; challenged by difficult assignments; can be counted on to exert whatever effort is required to help the team produce high quality results within set deadlines.	4 <input type="checkbox"/>

Comments:

D. Innovation/Creativity: Developing and implementing new solutions, new procedures, and/or new applications of existing procedures. Demonstrating imagination and originality.	Check the applicable rating below.
Does not generate new ideas; resists new ideas developed by others.	1
Develops new ideas, concepts or processes when directed; has difficulty accepting new ideas developed by others.	2
Assists in generating new ideas, concepts or processes usually when coached; can accept new ideas generated by others.	3
Develops new ideas, concepts or processes on own initiative; stimulates others in the development of new ideas. Effectively pursues the necessary details for implementation of new ideas.	4

Comments:

E. Dependability/Reliability: Following instructions and appropriate procedures; attention to detail; keeping supervisor and other staff informed of developments.	“ = ” the applicable rating
Instructions and procedures not adequately followed; does not respond in a timely manner to request from supervisor or other staff on progress of work.	1
Capability of carrying out instructions with supervisory involvement; occasionally leaves work responsibilities incomplete.	2 <input type="checkbox"/>
Follows instructions and appropriate procedures; routinely keeps supervisor informed.	3 <input type="checkbox"/>
Exceptional reliability; keeps supervisor and staff informed and if there is a need for exceptions to instructions and progress of work.	4 <input type="checkbox"/>

Comments:

F. Comprehension/Perception: Ability to grasp new ideas and concepts, capability to sense “status quo”	“ = ” the applicable rating below.
Slow to grasp ideas; unable to determine a change in direction.	1 <input type="checkbox"/>
Occasionally needs repeated instructions; has difficulty in assessing changing situations.	2 <input type="checkbox"/>
Understands most new ideas without excessive explanation; readily aware of changing situations.	3
Grasps new ideas quickly; frequently anticipates changing situations before they occur; minimal instructions needed to understand new ideas and information.	4 <input type="checkbox"/>

Comments:

G. Verbal communication with other staff, members, volunteers, and/or vendors: Information and ideas are conveyed in clear, logical and professional manner.	“ = ” the applicable rating
Unclear, may be rambling; lacking proper emphasis; does not listen and respond to the point.	1 <input type="checkbox"/>
Frequently unclear and often lacks focus in responding.	2 <input type="checkbox"/>
Generally clear and to the point; explains when questioned.	3
Clear, to the point and understood; generally explains complex points well when questioned. Exceptionally clear and convincing verbal communications and maintains logic and clarity in pressure situations.	4 <input type="checkbox"/>

Comments:

H. Written communications: Writing concise, organized, clear and professional in appearance and language/message.	“ = ” the applicable rating
Difficult to determine the meaning of written work because of errors; incomplete or disorganized presentation of ideas and/or inclusion of incorrect or irrelevant information.	<input type="checkbox"/> 1
Writing clarity is inconsistent, with frequent occurrences of grammar misuse and spelling errors.	<input type="checkbox"/> 2
Writing is generally acceptable and routinely prepares documents that are clear, logical and complete.	<input type="checkbox"/> 3
Writing is organized, succinct, professional and style is adapted depending on objectives and intended readers.	4

Comments:

I. Problem analysis and decision making: Obtaining and evaluating pertinent information to determine source of and alternate solutions to problems; recognizing when a decision is necessary; willingness to make necessary decisions even if available information is incomplete.	“ ; ” the applicable rating
Frequently makes errors in judgment; hesitates to make decisions.	1
Has difficulty in obtaining or evaluating pertinent information and/or puts off making decisions considering facts at hand.	2 <input type="checkbox"/>
Adequate routine decisions are made when required; considering information that is readily available.	3 <input type="checkbox"/>
Recognizes when additional information is necessary for non-routine decisions; makes timely decisions and is exceptional at considering long-term effects of decisions.	4 <input type="checkbox"/>

Comments:

Overall Rating:

Overall Strengths:

Development Needs:

Employee: _____ Date:

Manager: _____ Date:

Chief Executive Officer: _____ Date:

Exhibit 11 - New Employee Procedure

Submitted by Talley Management

- 1) Get parking card for employee and provide directions to parking garage
- 2) Provide keys (if applicable)
- 3) Setup a place for them to work
 - a. Desk, chair, trash cans
 - b. Computer, email account, and printers (ensure all are in proper working order)
 - c. Office supplies (stapler, tape dispenser, scissors, pens, pencils, pads, paper clips, staple remover, etc.)
 - d. Phone and phone extension in IP500
 - e. Server log-in
 - f. Login to paperbox.org and avectra
- 4) Add to after-hours phone message
- 5) Add to front desk security list (if applicable)

On first day:

TMG wants to ensure that all employees have a good first day. It is our policy to provide a friendly working environment.

- 1) Introduction to staff
- 2) Read the Employee Operations Manual (available in the office supply area)
- 3) Fill out Employee Information Form
- 4) Read and sign (3) Non-Disclosure Agreements (TMG, PPC, and Client)
 - a. Sign NDA for Data if applicable
- 5) Read and sign Conflict of Interest
- 6) Read and sign Social Media Policy
- 7) Read and sign Distracted Driving Policy
- 8) Go through New Employee Checklist and review information, policies, and procedures
- 9) Take photo of new employee
- 10) Write short bio including education, experience, and special skills
- 11) Add access to Ben's Google calendar (if applicable)
- 12) Go through New Employee Checklist (Exhibit 9.2b)
- 13) Give new employee copies of phone list and emergency contacts

Within 90 Days:

- 1) Fill out Employee Progress Report at 30-days and 90-days
- 2) Visit member facility
- 3) Wooden nameplate from Atlas Die (Sue)

Exhibit 12 New Employee Checklist

Submitted by Talley Management

Name:

Start date:

Position:

Direct Manager:

POLICIES

Review TMG

Pay period

Time reporting

E-mail, internet &
telephone use

Employee Manual.

Staff meetings

Overtime

PTO

Performance reviews

Employee benefits

NDA

Dress code

Equal Employment

Hours/Breaks Harassment

Email Signature

ADMINISTRATIVE PROCEDURES

Review general

Office/desk/work station

Update client e-mail addresses,

administrative procedures.

Keys

Business cards (if applicable)

Set up voicemail

Phone protocol

establish TMG e-mail address and
add it to internal TMG e-mail
distribution lists (i.e., "Staff")

Parking card

INTRODUCTIONS AND TOURS

Introductions to all staff and key personnel during tour.

Tour of facility,

Restrooms

Copy/Printers

Client Storage

including:

Kitchen

Office supplies

Conference rooms

Emergency exits

Parking

ADMINISTRATIVE PROCEDURES

Review general

Office/desk/work station

Update client e-mail addresses,

administrative procedures.

Keys

Business cards (if applicable)

Set up voicemail

Phone protocol

establish TMG e-mail address and
add it to internal TMG e-mail
distribution lists (i.e., "Staff")

Parking card

INTRODUCTIONS AND TOURS

Introductions to all staff and key personnel during tour.

Tour of facility,

Restrooms

Copy/Printers

Client Storage

including:

Kitchen

Office supplies

Conference rooms

Emergency exits

Parking

POSITION INFORMATION

Introductions to team.

Review job description and performance expectations and standards.

- Review initial job assignments and training plans.
- Review job schedule and hours.
- Review time sheets and payroll timing.

OFFICE EQUIPMENT REVIEW

- Mac/PC overview including: E-mail Operating Shared drives
- Given by: _____ Intranet system
- Phones including: Extension Messages Answering
- Given by: _____
- Copier/Scanner/Fax including: Copying Scanning Paper
- Given by: _____
- Other Office Machines including: Postage machine FAX Folding
- Given by: _____
- 3-hole drill Check scanner Label Maker
binder/printer
- PTO (Paid Time Off) Expense report Client charges Check requests

Comments: (90 Day Evaluation)

Employee/Date

Senior Manager/Date

*****THE COMPANY IS AN AT- WILL EMPLOYER, MEANING THAT EITHER THE COMPANY OR EMPLOYEE CAN END THE EMPLOYMENT RELATIONSHIP AT ANY TIME AND FOR ANY OR NO REASON. THE RATINGS REFLECTED BY THIS FORM DO NOT ALTER THE PARTIES' AT-WILL RELATIONSHIP*****

Exhibit 13 Professional Development Form

Submitted by Talley Management Group

Date: _____

Name: _____ Title: _____

What type of course are you interested in taking?

- Degree Program 3-credit College Course Continuing Ed. Course Seminar
 Workshop Conference CAE CMP Other

Is there travel involved? Yes No Approximate \$ _____

Name of Course: _____

Name of Institution: _____ Dates/Times

of Course: _____ Cost: _____ Purpose: _____

Job Relevance: _____

In order to be reimbursed for a non-graded course, employees must submit a short summary of what they learned. The following is an outline of reimbursement for graded courses.

Grade A = 100% Reimbursement
Grade B = 75% Reimbursement
Grade C = 50% Reimbursement

Any grade less than a "C" is not eligible for reimbursement.

A Pass/Fail course = 100% Reimbursement if passed successfully

By accepting reimbursements for education costs, I understand that I must stay employed at TMG for a minimum of one year after the date of reimbursement. If I leave prior to one year, I will owe a monthly prorated amount to TMG based on the number

of months worked after the reimbursement (see Training and Professional Development

Policy for details). Initials _____

Signature

Date

Manager's Signature of Approval

Date

Tips from the Auditors

FAQs

How do I select a CPA?

There are three credentials to review when selecting a CPA:

- Every CPA must meet the standards of a peer-review once every 3 years, and receive an unqualified opinion.
- Every CPA must be qualified to perform "Agreed-upon-procedures" engagements.
- It is important, but not essential to choose a CPA that has had previous experience with AMC Institute Accreditation Reviews. If you need help finding a CPA with this experience you can contact AMC Institute staff for assistance.

Do all my AMC clients need to have a financial audit prior to pursuing the AMC Institute Accreditation Process?

No, but AMCs should propose to Client Boards the need for an outside independent review or audit. It is necessary to document this proposal annually so it can be verified by the CPA during the Accreditation Review.

Do all my AMC clients need to be on the accrual basis of accounting?

AMC's must have procedures in place to ensure that financial statements are presented in accordance with generally accepted accounting procedures- or on the accrual basis. AMC's must propose to client boards that they use accrual basis accounting, if not already doing so. This should be documented annually, in the minutes or in a letter, so the reviewer can verify.

Does my AMC need to document our AMC's policies and procedures in writing?

Yes. It is important that these policies and procedures accurately depict your office procedures.

What if we do not have a policy or procedure that addresses one of the standards?

If you do not have a current policy or procedure that addresses one of the new standards you may need to implement one. Be sure to communicate this new policy or procedure to all members of your office.

How do I prepare for the review?

A suggestion would be to setup binders and/or bankers boxes cross referencing each item of the standard to your policies and procedure manual. It is important to provide actual documents, when applicable, for the reviewer to examine. Files may be shared with the auditor in electronic format.

How do I prepare my staff for the reviewer's interviews?

Thoroughly review the AMC's policies and procedures with the entire staff. It is helpful to have staff sign-off to ensure that each staff member has read and understands the policies and procedures.

How do I minimize the cost of the review?

It is important to organize your materials so that the CPA can easily verify that your policies address the standard. Make sure the AMC staff is familiar with the policies. Also, selecting a CPA that has already worked on another Accreditation Review may be beneficial.

The Reviewer's Process

Submitted by: Bill Barnes, CPA

Prior to Review Date

- Agree to price and date of review.
- Process paperwork with AMCI
- Schedule a conference call 2 – 3 months prior to review date.
- Conference call – discuss any new accreditation standards, AMC internal review requirement, common problem areas for other AMCs, day of review detail schedule and needs.

Day of Review

Policy and Procedure Review

- Determine if written policies and procedures address the standard.
- Can be done efficiently if AMC cross-references a copy of the standard to its policy and procedures manual prior to review date.
- Identify any items of concern.

Verify AMC Policies – Documents

- Provide listing of documents commonly found at AMCs that can help verify existence of policies – audits, insurance policies, personnel files, rfps, BOD releases, etc.
- AMC to cross-reference a copy of the standard to the documents provided.
- Identify any items of concern.

Verify AMC Policies – Staff Interviews

- AMC to provide organization chart.
- Reviewer to select representative sample size and interviews staff members – determine if staff is familiar with policies and determine if they seem to be operational.
- Identify any items of concern.

Closing Meeting

- Meet with AMC principal(s)/accreditation champion.
- Discuss results of review
- Not required – discuss any interesting observations from the review process. Point out areas of strengths or weakness noted during the review (not necessarily related to accreditation but maybe related to best practices, etc.)

This Workbook supersedes all previous versions of the workbook
9/15/15