COMTREA BOARD OF DIRECTORS MEETING AGENDA
Monday, August 8, 2016

A  Meeting Open
B  Mission Statement
COMTREA’s mission is to be an innovative, effective, and responsive comprehensive health center which exists to serve those in need; we believe that our clients are entitled to the best professional care, in the most comfortable surroundings, at the most reasonable price possible. This we pledge to do.
C  Approval of Agenda Items Added or Deleted
D  Approval of Minutes
   (a)  July 11, 2016
E  Financials
F  CEO’s Report
   (a)  Update – Board Members using FQHC Services
   (b)  KPI Dashboard
   (c)  Patient/Family Advisory Council
   (d)  EMD Discussion with CEO
   (e)  Status of State/Federal Initiatives
   (f)  Volunteers
G  Action Items (Anything that requires a vote)
   (a)  Policy Approvals
   (b)  Manual Approvals
   (c)  Position Approvals
   (d)  Credentialing & Privileging
   (e)  QIQA Coordinating Council Report
H  Discussion Items (Informational; no action taken)
   (a)  Building and Grounds
   (b)  Community Relations – Fundraising, Foundation Division Program/EVP or VP Reports
   (c)  Questions on information previously reported?
I  Board Member Recruitment Discussion
J  Old Business
K  Next Scheduled Board Meeting
   (a)  September 12, 2016
S  Closed Session – Personnel and Legal
Board Meeting Minutes

Meeting Date: 08/08/2016 Time: 7:30 am
Chairperson/President/Facilitator: Jerry Rogers, Chairperson

Attendees: Jerry Rogers (Board Chair); Kathryn Ellis (Board Vice Chair - Community Development and Fundraising Committee Chair); Elizabeth Dively (Board Secretary) Stan Stratton (Board Treasurer); Martha Maxwell (CMHFB Chair); Jane Sullivan; Vicky James, Ken Waller; Mark Mertens; Dayle Burgdorf; John Lamping and Kyle Gowen.

Not in Attendance: Dr. Steven Crawford; Cliff Lane; Audrey Mitchell and Katherine Hardy-Senkel.

Staff in Attendance: Susan M. Curfman, MA (President & CEO); Tracy Wiecking (COO); Amy Rhodes (CFO); Margo Pigg (EVP Adult Behavioral Health Services); Nathan Suter (Clinical Director-Oral Health); Patty Vanek (AVP Primary Care); Kevin Turner (PC Medical Director) Ghada Sultani-Hoffman (EVP Children & Youth Behavioral Health Services); Kim Elbl (VP of Marketing); Donna Harris Brekel (VP of HR) and Katy Murray (AVP Corporate Compliance/QM).

Jerry Rogers called the meeting to order at 7:30 am.

Agenda Item #1 Approval of Agenda

Recommendations: There were no additions or revisions to the Agenda.

"I Mark Mertens, move we approve the Agenda as presented". Vicky James seconded the motion. The motion carried.

Agenda Item #2 Approval of the July 11, 2016 Board Meeting Minutes

There were no corrections or additions to the July 11, 2016 Board Meeting Minutes.

Recommendations: "I Kathy Ellis, move that we approve the July11, 2016 Board Meeting Minutes". Beth Dively seconded the motion. The motion carried.
**Action Items**

1. Mr. Rogers signed the final versions of the July 11, 2016 Board Meeting Minutes.
   
   Committee member(s) responsible: *Jerry Rogers*

**Agenda Item #3 Financial Report**

Amy Rhodes discussed the financial report. The numbers were for year end and were not final, they would still need to be audited. She reported that the Agency ended the year 2.63 better than projected. The Agency ended the year with 2.2 million in cash. A goal has been set to increase that to 4.1 million by 2017.

**Recommendations:** "I, Ken Waller, move that the Board approve the attached financials for the month of June, 2016." Vicky James seconded the motion. The motion carried.

**Agenda Item #4 CEO’s Report**

1. **Board Members using FQHC Services:** Ms. Curfman reported that there were 7 member of the Board or their dependents currently utilizing FQHC services. This is 44% of the required 50%.
2. **KPI Dashboard:** Ms. Curfman reported that this document had been pulled for discussion, there were errors in the formatting and the issues should be corrected for next month.
3. **Patient/Family Advisory Council:** The Patient/Family Advisory Council held it’s first meeting. Three staff and 1 family member attended. There was good discussion and the next meeting is scheduled for September. After that, they will move to quarterly meetings. Additional patients/family members are being invited to participate.
4. **EMD Discussion:** Ms. Curfman reported that the upcoming capital campaign will require 20% effort from the CEO each week. There was also a need for an administrative assistant to work with the capital campaign. This would be a full-time, temporary position. The salary would be charged back to the capital campaign and therefore, does not affect the Agency’s budget.
Recommendations: “I, Mark Mertens, move that the Board approve the recruitment of a full-time administrative assistant to support the capital campaign”. Ken Waller seconded the motion. The motion carried.

5. Status of State/Federal Initiatives:
   a. CCBHC Application: Ms. Curfman reported that the CCBHC application had been submitted and the Agency has received comments that the application was very well thought out.
   b. FQHC PPS WORKGROUP: A PPS template is being distributed in mid-August for completion by FQHC CFO’s. The expectation is for each FQHC to complete the template that will produce separate PPS rate calculations for Medical (including case management and pharmacy) and behavioral health and dental services. The target date submission is 9/01 for the work group. The results and subsequent discussion will be presented at the MPCA Annual Conference in Branson in September at the strategic planning session.

6. Volunteers: Ms. Curfman reviewed the Volunteer Report and thanked the Board Members for the continued service.

Agenda Item #5 Action Items

1. Policy Approvals: Katy Murray presented requested changes to the Employee Handbook, Section 10.15.2 and the IT Manual, G.15.3.02 related to texting and emailing of PHI, a recent breach of PHI was discussed as the reason for this additional information being added to the policies.

Recommendations: “I, Mark Mertens move that the Board Approve the revision to the Employee Handbook, Section 10.15.2 and the IT Manual, G.15.3.02 to reflect the changes discussed.” Ken Waller seconded the motion. The motion carried.

Ms. Curfman discussed the need for a formalized contract approval and review process. An agreement had been executed on behalf of the Agency without her knowledge and this agreement would have been one that required revision if she had reviewed it prior to execution.
Recommendations: “I Kathy Ellis, move that the Board approve the revision to the Governance Manual, Appendix G3.6.02.e as presented.” Beth Diveley seconded the motion. The motion carried.

Dr. Suter requested an increase of 5% to the dental fee schedule to bring the fee schedule to community standards. It was noted that the fee schedule had not been adjusted in 3 years.

Recommendations: “I Beth Diveley, move that the Board approve the revision to the dental fee schedule as discussed.” Kathy Ellis seconded the motion. The motion carried.

2. Manual Approvals: Katy Murray reported that significant revisions were made to the G14 Community Relations/Development Operations Manual. Guidelines for special events were added. Grant Development was moved to a different manual and several other changes refining workflow were made.


3. Position Approvals: Sue Curfman requested approval to change the FTE of a vacant ADA position from .5 to 1.0. This was a revenue generating position and there is a need for additional hours from this position.

Recommendations: “I Kathy Ellis, move that the Board approve the increase of the vacant ADA group counselor position from a .5 FTE to a 1.0 FTE.” Mark Mertens seconded the motion. The motion carried.
4. **Credentialing & Privileging/QIQA:** The Board reviewed the list of new staff and interns requiring privileges during the month of May. The list composed of the following individuals:

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Division</th>
<th>Status</th>
<th>Board Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ashley Black</td>
<td>Dental Assistant</td>
<td>CHC</td>
<td>Approved</td>
<td>8/4/2016</td>
</tr>
</tbody>
</table>

**Current Staff Re-Privileged (during the month of July 2016)**

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Division</th>
<th>Status</th>
<th>Board Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>Norinee Thomas</td>
<td>ADA Counselor</td>
<td>Adult</td>
<td>Approved</td>
<td>8/4/2016</td>
</tr>
<tr>
<td>Anna Kloeppel</td>
<td>Dental Hygienist I</td>
<td>CHC</td>
<td>Approved</td>
<td>8/4/2016</td>
</tr>
<tr>
<td>Jhansi Vasireddy</td>
<td>Adult Psychiatrist</td>
<td>Adult</td>
<td>Approved</td>
<td>8/4/2016</td>
</tr>
<tr>
<td>David Krojanker</td>
<td>Nurse</td>
<td>Adult</td>
<td>Approved</td>
<td>8/4/2016</td>
</tr>
</tbody>
</table>

Vicky James then reviewed her notes from the latest QIQA Committee Meeting. She discussed the Workflow Project, non-clinical quality measures reviewed at the meeting and the patient experience annual survey. The Committee also reviewed monthly primary care and oral health quality measures.

**Recommendations:** “I, Ken Waller, move that the Board accept this report and these staff as presented by the QIQA committee.” Vicky James seconded the motion. The motion carried.
Action Items

1. Jerry Rogers signed the HR Credentialing and Re-Privileging Report
   Committee member(s) responsible: Jerry Rogers

Agenda Item #6 Discussion Items

1. Building and Grounds:
   a. A Safe Place: Tracy Wiecking reported that the Pevely Annexation was
      approved by the City of Pevely. There was some confusion about the process
      as it was discovered Pevely did not go before the county and request approval
      of the annexation before approving it in the City’s meeting. That request will be
      made to the County in a meeting tonight. There have been minor issues
      obtaining an easement from UE due to staff turnover. The easement is
      necessary to submit the DNR application. Mr. Wiecking reported that MoDOT
      is reviewing the site plans.
   b. Fox Service Center: Bids were opened and reviewed by the Building and
      Grounds Committee. Wachter Construction was chosen with a bid of $125,125.
      Final plans have been reviewed by the City of Arnold and Rock Creek Fire
      District. They have made some “recommendations”, which we are happily
      accommodating.
   c. Valley: We have final drawings that have been submitted for permitting. We
      met with Dayle Burgdorf to update where we were with the project and ensure
      construction will not adversely impact the MCAT program.

2. Community Relations: The CAC annual golf tournament will be held on Friday,
   August 19 at Union Hills in Pevely. There are 23 hole sponsors and 25 teams. Our
   goal is to full the tournament with 30 teams this year. The CAC annual golf
   tournament will be held on Friday, August 19 at Union Hills in Pevely. There are 23
   hole sponsors and 25 teams. Our goal is to full the tournament with 30 teams this
   year. Plans are under way for the third annual fundraising ball for A Safe Place,
   Saturday, February 18, 6 pm at the Lexington Inn in Festus. An online store has also
   been set up to help raise funds for A Safe Place. The apparel sale will continue
   through August.
3. Updates or Questions from Division Program/EVP or VP Reports:
   a. Oral Health: Dr. Suter reported that Senator Blunt would be visiting the Valley Middle School location on September 9th. Board members were welcomed to attend.

Agenda Item #7 Board Member Recruitment Discussion
Jerry Rogers reported that we were still missing a Board Member from the second district. Ken Waller discussed the reappointment of JCCMHFB Members and the end date of those appointed terms would be changed to the end of the fiscal year.

Kathy Ellis reminded the Board that the MPCA Conference is Branson was coming up in September. She encouraged all Board members to attend. Anyone interested was instructed to contact Laura Casey.

Agenda Item #8 Closed Session – Personnel and Legal: “I, Mark Mertens move that the Board enter into closed session.” Kathy Ellis seconded the motion. The motion was carried by a voice vote from: Jerry Rogers (Board Chair); Kathryn Ellis (Board Vice Chair - Community Development and Fundraising Committee Chair); Elizabeth Diveley (Board Secretary) Stan Stratton (Board Treasurer); Martha Maxwell (CMHFB Chair); Jane Sullivan; Vicky James, Ken Waller; Mark Mertens; Dayle Burgdorf; John Lamping and Kyle Gowen.

Agenda Item #9 Adjournment
Discussion: No further business to discuss.

Recommendations: With there being no further business to discuss, Ken Waller moved for adjournment. Mark Mertens seconded the motion. The motion carried.

Notes: FY17, the Board will meet every 2nd Monday of the month at 7:30 am in the Arnold Suburban Office, Anderson Building.

☐ Minutes approved

(Signature of Committee Chair)  

(Date)

Next Meeting Date: 9/12/2016  Time: 7:30 am  Location: Arnold Suburban Office
COMTREA

Comprehensive Health Center

August 8, 2016
Board Meeting

COMTREA Anderson Building
Arnold, MO

AGENDA

- 7:30 am – Meeting Open
- Approval of Agenda and Minutes
- Financials
- CEO’s Report
- Action Items
- Discussion Items
- Board Member Recruitment Discussion
- Old Business
- Closed Session
- Closing
Approval of Agenda and Meeting Minutes

CEO’s Report

- Board Members Using FQHC Services
- KPI Dashboard
- Patient/Family Advisory Council
- EMD Discussion with CEO
- Status of State/Federal Initiatives
  - CCBHC
  - FQHC PPS Rate
- Volunteers
### Volunteers

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<tr>
<th>Location</th>
<th>JULY</th>
<th>TOTAL HOURS</th>
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<td>BRIDLE RIDGE</td>
<td>179.5</td>
<td>179.50</td>
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<tr>
<td>A SAFE PLACE</td>
<td>6.25</td>
<td>6.25</td>
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<tr>
<td>CAC</td>
<td>3</td>
<td>3.00</td>
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<tr>
<td>Employees</td>
<td>4</td>
<td>4.00</td>
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<tr>
<td>Board Members</td>
<td>61.5</td>
<td>61.50</td>
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<tr>
<td>Adult Div.</td>
<td>0</td>
<td>0.00</td>
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<tr>
<td>C&amp;Y Div.</td>
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<td>Job Shadowing</td>
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<td><strong>TOTAL Hours:</strong></td>
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<td><strong>250.25</strong></td>
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### FINANCIAL REPORT

- **CASH ON HAND**: $1,614,478.30
- **ACCOUNTS RECEIVABLE**: $4,647,819.54

**MOTION**: "As a member of the Finance Committee, I ______, move that the Board approve the attached financials for the month of June, 2016."
Action Items

Policy Approvals

Employee Handbook, Section 10.12.2 Cell Phone Texting: Section added to prohibit texting of Protected Health Information (with the exception of protected texting within our Electronic Medical Record).

MOTION: "I, [signature], move that the Board approve the revision to the Employee Handbook, Section 10.12.2 as presented."

IT Manual, G.15.3.02 – Email, Policy: Language added to include text or photos requiring the same safeguards as emails and prohibiting texting of PHI data (with the exception of protected texting)

MOTION: "I, [signature], move that the Board approve the revision to the IT Manual, G.15.3.02 as presented."
Policy Approvals

Governance Manual, Appendix G3.6.02.e: Addition of language to outline a review process for all Contracts.

MOTION: "I, ___, move that the Board approve the revision to the Governance Manual, Appendix G3.6.02.e as presented."

Dental Fee Schedule: Increase 5% - based on community standard.

MOTION: "I, ___, move that the Board approve the revision to the dental fee schedule as presented."

Manual Approvals

G14 Community Relations/Development Operations Manual: Guidelines for approval of special events were added. Grant Development, G14.4, was moved to a different manual. All other changes refine workflow.

MOTION: "I, ___, move that the Board approve the revision to the G14 Community Relations/Development Operations Manual as presented."

Position Approvals

ADA Group Position

MOTION: "I, ___, move that the Board approve the change of the ADA group counselor position from a .5 FTE to a 1.0 FTE."
CREDENTIALING & PRIVILEGING

New Staff / Interns Requiring Privileging (during the month of July 2016)

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Division</th>
<th>Status</th>
<th>Date of Board Member's Signature</th>
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</thead>
<tbody>
<tr>
<td>Ashley Black</td>
<td>Dental Assistant</td>
<td>CHC</td>
<td>Approved</td>
<td>8/4/2016</td>
</tr>
<tr>
<td>Rachel Kappelman</td>
<td>Manager</td>
<td></td>
<td></td>
<td>8/4/2016</td>
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Current Staff Re-Privileged (during the month of July 2014)

<table>
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<tr>
<th>Name</th>
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<th>Division</th>
<th>Status</th>
<th>Date of Board Member's Signature</th>
<th>Notes</th>
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<tbody>
<tr>
<td>Norine Thomas</td>
<td>ADA Counselor</td>
<td>Adult</td>
<td>Approved</td>
<td>8/4/2016</td>
<td>Employee moved into new position</td>
</tr>
<tr>
<td>Anna Kloeppe</td>
<td>Dental Hygienist 1</td>
<td>CHC</td>
<td>Approved</td>
<td>8/4/2016</td>
<td></td>
</tr>
<tr>
<td>Jhansi Vasireddy</td>
<td>Adult Psychiatrist</td>
<td>Adult</td>
<td>Approved</td>
<td>8/4/2016</td>
<td></td>
</tr>
<tr>
<td>David Krojanker</td>
<td>Adult Psychiatrist</td>
<td>Adult</td>
<td>Approved</td>
<td>8/4/2016</td>
<td></td>
</tr>
<tr>
<td>Diane Lowette</td>
<td>Nurse</td>
<td>Adult</td>
<td>Approved</td>
<td>8/4/2016</td>
<td></td>
</tr>
</tbody>
</table>

MOTION: “I, _____, move that the Board accept the July Credentialing & Privileging Report.”

QIQA COORDINATING COUNCIL REPORT

- Patient/Family Advisory Council Update
- Qualis Workflow Project
- Non-Clinical Quality Measures – Finance
- Patient Experience Annual Survey
- Review of Primary Care and Oral Health Quality Measures

MOTION: “I, _____, move that the Board accept this report as presented by the QA/QI committee.”
Discussion Items

Building & Grounds

1. **"A" Building.** We are ordering flooring and have contacted Tracy Collins (major donor), who will be advising us on the lobby decorations (soda fountain theme).

2. **A Safe Place.** We were approved for annexation by the City of Pevely at their July 5th Planning and Zoning meeting. We will have an R-4 zoning designation. Building and Grounds has met to develop bid specifications.

3. **Fox Service Center.** Bids were opened and reviewed by the Building and Grounds Committee. Wachter Construction was chosen with a bid of $125,125. Final plans have been reviewed by the City of Arnold and Rock Creek Fire District. They have made some “recommendations”, which we are happily accommodating.

4. **Valley.** We have final drawings that have been submitted for permitting. We met with Dayle Burgdorf to update where we were with the project and ensure construction will not adversely impact the MCAT program.
Marketing/Fundraising/Community Relations

- The CAC annual golf tournament to be held on Friday, August 19 at Union Hills in Pevely is in full swing with 23 hole sponsors and 25 teams. Our goal is to fill the tournament with 30 teams this year.

- The Friends of A Safe Place Foundation will be making preparations to conduct a feasibility study in the county and develop the time line for kicking off a capital campaign to raise funds for transitional housing for the shelter. COMTREA will be consulting with EMD Consulting from St. Louis for this project.

- The Foundation also has the permission from our auditors to submit a short form application for the final portion of the paperwork needed to complete to 501 C 3 process. This will shorten the time it takes to get the 501 C 3 federal designation.

Marketing/Fundraising/Community Relations

- Plans are under way for the third annual fundraising ball for A Safe Place, Saturday, February 18, 6 pm at the Lexington Inn in Festus.

- We have moved the date for the third party half marathon/5K run, “Race for Their Lives”, benefiting the CAC (Union) to April 29, in Owensville.

- We will have an Open House and Ribbon Cutting at the Fox Dental clinic on Friday, August 12, from 3-6 p.m.

- We participated in the National Night Out in Byrnes Mill on, Tuesday, August 2nd.
Leadership Council Reports

1. Updates from Reports?
2. Questions from Board?

Board Member Recruitment Discussion
Old Business?

CLOSED SESSION

Personnel & Legal
COMTREA Family Advisory Council

August 2, 2016 6:30 pm-7:00pm

Project Room

Attendees:

Patty Vanek (staff rep)
Margo Pigg (staff rep)
Susan Pijut – Family Member
Sue Curfman (CEO)

Introductions: Sue, Susan, Margo and Patty

Review of intent, need and process regarding feedback how information is being used. What is purpose of group; how will info be used and how to know that info is being heard.

Shared info re: CCBHC, and PCMH...

Susan P noted the connection she saw with System of Care and her perceptions.

Noted that family member/client is the driver of the treatment team.

Gap in sharing info, release included, to assure to accurate communication...both objective and subjective. Feels this is a gap.

Shared circumstances of family and community information and how communication is used or not used and the impact it has.

She also raised issues re: those kids/families that age out of the “system”.

Well informed families, clients is a very important knowledge base in choosing services and systems.

Next meeting to be scheduled and all participants to be sent info/invitation for next meeting as well as schedule for annual meetings.

Respectfully submitted,

Margo Pigg (recorder)
10.15 CELL PHONE POLICY

10.15.1 POLICY
This policy outlines the use of personal cell phones at work, the personal use of COMTREA’s cell phones and safe use of cell phones by employees.

10.15.2 PROCEDURES:
Personal cell phones: While at work employees are expected to exercise the same discretion in using personal cell phones as is expected for the use of company phones during business hours and limit their number of daily personal calls. COMTREA will not be liable for personal cellular phones brought into the workplace.

Texting of Protected Health Information (PHI) such as: client photos, names, videos, or any other identifying information (with the exception of protected texting within our EMR) is strictly prohibited between employees, vendors, volunteers and any other resource. Any client PHI will need to be encrypted through email per the email policy referenced in the Information Technology Manual G15.3.02. This manual can be referenced on Sharepoint.

Personal use of company-provided cell phones: Where job or business needs demand

Immediate access to an employee the Center may issue a business cell phone to an employee for work-related communications. Phones will either be purchased by individual staff and reimbursed by COMTREA, or purchased by COMTREA and issued to staff. Under both plans, staff will be responsible for reimbursing the Center for personal calls that cause the monthly minutes to exceed the monthly total minutes allocated in the plan. Failure to reimburse the Center for cost of personal calls will result in disciplinary action.

Employees in possession of company equipment such as cellular phones are expected to protect the equipment from loss, damage, or theft. Upon resignation or termination of employment, or at any time upon request, the employee may be asked to produce the phone for return or inspection.
G15.3.02 – Email, Text, and Photo Policy
1.0 Purpose
Emails, texts, and photos can contain Private Health Information (PHI) data and will need to be safeguarded according to Federal Regulations. To prevent tarnishing the public image of COMTREA when email goes out from COMTREA the general public will tend to view that message as an official policy statement from COMTREA.

2.0 Scope
This policy covers appropriate use of any email, text, or photo sent from a COMTREA Employee device and applies to all employees, vendors, and agents operating on behalf of COMTREA.

3.0 Policy
3.1 Prohibited Use. TheCOMTREA email system shall not be used for the creation or distribution of any disruptive or offensive messages, including offensive comments about race, gender, hair color, disabilities, age, sexual orientation, pornography, religious beliefs and practice, political beliefs, or national origin. Employees who receive any emails with this content from any COMTREA employee should report the matter to their supervisor immediately.

3.2 Personal Use.
Using a reasonable amount of COMTREA resources for personal emails is acceptable, but non-work related email shall be saved in a separate folder from work related email. Sending chain letters or joke emails from a COMTREA email account is prohibited. Virus or other malware warnings and mass mailings from COMTREA shall be approved by the COMTREA ICT Department before sending. These restrictions also apply to the forwarding of mail received by a COMTREA employee.

3.3 Monitoring
COMTREA employees shall have no expectation of privacy in anything they store, send or receive on the company’s email system. COMTREA may monitor messages without prior notice. COMTREA is not obliged to monitor email messages.

3.4 Syncing of Emails to Smart Phones
Exempt employees may have email synced to their smart. Employees fitting this criteria will need to sign an electronic consent in order to obtain COMTREA emails on their phones. Emails often contain PHI data and need to be protected due to HIPAA regulations. Phones will need to be password protected in order to block access if they are lost or stolen. If phones are lost they need to be reported to COMTREA. If phones are replaced they need to be cold set back to factory condition. When employees terminate employment at COMTREA their phones will need to be cold set prior to leaving the agency and COMTREA account access terminated. Non-exempt employees are prohibited to receive email to their phone per HR. HR will make the final determination and advise ICT.

3.5 Emailing, text, and sending photos to Clients
To ensure the safety and security of our clients Protected Health Information email communication to clients will be prohibited. If clients originated emails to COMTREA staff, staff will need to communicated back via a phone call and encourage other forms of communication for treatment purposes.

3.6 Archiving of Email Data
Email archiving will need to be established to adhere to national standards. Refer to the Risk Management manual for further explanation and plans to address this need.

3.7 Emailing of (PHI) Data
On occasion approved agencies and vendors will request or require data from COMTREA. This data may contain Protected Health Information. On these occasions methods will need to be used to ensure the safety of (PHI) data. There are several methods to choose from when sending secure emails. The first method entails that the email be encrypted prior to leaving the agency network. The vendors will need to
be notified via a phone call to inform of the password of the encrypted email. The second method would entail sending emails to DMH using the State of Missouri Proofpoint server.

3.8 Texting of PHI Data
Texting of Protected Health Information (PHI) such as: client photos, names, videos, or any other identifying information (with the exception of protected texting within our EMR) is strictly prohibited between employees, vendors, volunteers and any other resource. Any client PHI will need to be encrypted through email per the email policy referenced in the Information Technology Manual G15.3.02.
In fulfilling its oversight responsibilities, the COMTREA Board meets at least once a month:

a. oversees the organization’s operations and services;
b. defines outcomes and goals it expects the organization to achieve;
c. ensures that all planned or provided services are consistent with the organization’s mission and long-term plan; and

d. determines whether services are within the organization’s capabilities and resources; and

e. oversees the contract review process (Appendix G3.6.02)

Appendix G3.6.02.e

**Contract Process – Oversight Review**

**Purpose of Contract Review**

The main purpose of contract review is to ensure that the expectations of the parties are accurately described in a written contract. A well written contract avoids unexpected liabilities and promotes a smooth relationship between parties.

Contracts should be reviewed by the following individuals within COMTREA with the inclusion of additional individuals that have expertise for the goods or services that the contract is for.

<table>
<thead>
<tr>
<th>Contract Review Team</th>
<th>Role</th>
</tr>
</thead>
<tbody>
<tr>
<td>Susan Curtman</td>
<td>CEO</td>
</tr>
<tr>
<td>Tracy Wiecking</td>
<td>COO</td>
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<tr>
<td>Amy Rhodes</td>
<td>CFO &amp; Risk Management Office</td>
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<tr>
<td>Katie Murray</td>
<td>AVP, Compliance</td>
</tr>
<tr>
<td>Donna Harris-Brekel</td>
<td>VP, Human Resources</td>
</tr>
</tbody>
</table>

Contracts can also be reviewed by the agency’s assigned legal counsel to ensure that the agency complies with all applicable laws.

**Agency Development of a Contract**

1. Once the agency determines that goods or services are needed from a specific contractor or supplier or that another reason exists to enter into a contract, the agency develops a written agreement identifying the terms and conditions of the relationship between the agency and the contractor.

2. The contract must include the following terms and conditions:
   - The goods or services the agency is purchasing or providing
   - The dollar amount the agency will pay
3. The draft of the contract is written by the individual procuring the goods/services or the senior leader over the program and/or division.

4. Once the draft contract is written, it will be routed for review to the Contract Review Team with additional reviewers added based on scope of the contract and the internal individuals with expert knowledge in that scope.

5. A recommendation is made by any member of the Contract Review Team regarding need for external legal review.

6. Agency Review of an External Contract
   1. A contract generated by an external entity in a requested contractual relationship with the agency is routed for review to the Contract Review Team.
   2. Additional individuals are identified based on scope of the contract and internal individuals that are subject matter experts within the scope field.
   3. A recommendation is made by any member of the Contract Review Team regarding need for external legal review.

Approval of the Contract
Individual approval of the contract is noted by each member of the Contract Review Team and other individuals requested to participate in the process based on their expert knowledge. Completion of individual review is noted on the Contract Routing form that accompanies the contract being reviewed. This can be communicated either electronically or hard copy distribution through interoffice mail.

Contract Signature
The CEO is the authorized individual to sign a contract. This can also be delegated to the Chairman of the Board and/or the COO in the absence of the CEO.
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G14.1 Alignment of Community Relations/Development team with COMTREA Comprehensive Community Health Center (COMTREA) Mission

G14.1.01 The Community Relations/Development team is integral to the continued realization of COMTREA’s Mission to be an innovative, effective and responsive comprehensive health center. The Community Relations/Development team strives to establish a diverse, sustainable base of funding in order to ensure the continued growth of all COMTREA services.

G14.2 Program Overview

G14.2.01 Mission: The Community Relations/Development team’s mission is to support the underserved in our community as COMTREA expands programs in our geographical area.

The Community Relations/Development team is a collective group of individuals who have oversight functions consistent with their primary job roles. Core team is:

Vice President (VP) Marketing/Fundraising – Team lead
Chief Financial Officer (CFO)
Chief Executive Officer (CEO)
Executive Vice Presidents (EVPs)
Chief Operations Officer (COO)
Other appropriate program and support staff.

G14.2.02 Ethical Practices: The Community Relations/Development team operates under the guidance of the Code of Ethical Principles and Standards of Professional Practice developed by the Association of Fundraising Professionals (see attached).

The Compliance Officer will provide oversight through the Community Relations/Development team.

G14.2.03 Donor Rights: The Community Relations/Development team will ensure the responsible and ethical treatment of donors in all stages of the donation process. The team operates under the guidance of the Donor Bill of Rights developed by the Association of Fundraising Professionals (see attached). Personally identifying information and financial information of current donors will be strictly safeguarded through the use of password protected computers, locking file cabinets and transportation of donor information in sealed envelopes. At no time will donor information be shared with outside agencies without the prior written approval of the donor. Donors will be acknowledged in print such as newsletters, website or annual reports unless otherwise noted that they wish to remain anonymous.

G14.2.04 Activities: The Community Relations/Development team will be responsible
for the following activities:

- Grant research, writing and administration
- Technical assistance to program staff working on grant proposals and special events
- Special Event support and tracking
- Individual Donor Solicitation
- Corporate Donor Solicitation
- Development and maintenance of a donor database
- Development and maintenance of a grant calendar
- Development, marketing, and implementation of a planned giving program
- Development of a fund development program that includes the annual fund plan, foundation and corporate gifts, special events, and planned giving.
- Review of the Community Relations/Development Operations Manual, G14, on an annual basis for additions and revisions or more frequently as needed for Board approval.

G14.2.05 Program Staff: The Community Relations/Development team is comprised of a full-time VP Marketing/Fundraising. The VP Marketing/Fundraising oversees and implements strategies that will grow annual revenue, secures funding from corporate, individual, and foundation donors. Essential job functions for the team include:

1. Direct the Community Relations/ Development team as they plan programs that includes the annual fund plan, foundation and corporate gifts, special events, and planned giving.
2. Research grant-giving organizations and analyze them to identify likely funding sources for specific projects, writes proposals and programs.
3. Maintain current records in database and in paper files, including grant tracking, financials, and required reporting.
4. Lead strategies and research to identify, prioritize, cultivate, solicit, recognize, and steward all donors and prospects.
5. Develop, market, and implement a planned giving program to ensure COMTREA's long-term financial health.

G14.3 Fundraising/Special Events Guidelines

G14.3.01 Approval Process

The special events guidelines request form will be reviewed by the VP Marketing/Fundraising and the Community Relations/ Development team for approval for any Fundraising or Special Event. Special consideration will be given to the sponsor of the event. If external entities, the sponsoring organization Certificate of Insurance will be requested naming COMTREA as "additionally insured" This is a mandatory requirement of all external entities.

The Community Relations/Development team will collaborate with the Program support staff or external entity in order to plan, implement and track special event opportunities
that involve fundraising.

Community Relations/Development Core team consists of:

- Vice President (VP) Marketing/Fundraising – Team lead
- Chief Financial Officer (CFO)
- Chief Executive Officer (CEO)
- Executive Vice Presidents (EVPs)
- Chief Operations Officer (COO)
- Other appropriate program and support staff.

The procedure for establishing a special event in coordination with the Community Relations/Development team is as follows:

1. The support staff or external entity requesting the special event should designate a program liaison at their initial planning meeting. This liaison will be responsible for communicating on a weekly basis with the VP of Marketing/ Fundraising regarding the special event and reports resulting from the event.
2. The program liaison, internal or external, should download and complete the Special Event Proposal Form (see attached). The form should be submitted at least (1) month prior to the event or earlier if possible.
3. The program liaison should mail a copy of the Special Event Proposal Form to the VP of Marketing/Fundraising along with any previously created promotional materials.
4. The Community Relations/Development team will review and respond to the request within 7 business days from receipt with approval or denial.
5. For internal requests, the program liaison will be responsible for notifying the VP of Marketing/Fundraising of the upcoming special event and making arrangements for the following: petty cash, tax deductible receipts, special account for the event income, final deposit of program income, and final report of event expenditures. External entities will be responsible for event support.
6. The program internal and if at all possible external liaison will be responsible for collecting event data and ensuring reporting of this data to the VP of Marketing/Fundraising. Jointly, the VP Marketing/Fundraising and the internal program liaison will be responsible for completing and submitting the Fundraiser Spreadsheet post event activities (see attachments). Other required documentation of special events includes: Sign in sheets for participants and volunteers, volunteer time sheets, distribution and collection of Tax Deductible Donation Receipts FMFIN0015 (if applicable), reporting of final number of participants, services provided, funds raised and program expenses.

G14.3.02 DONOR TRACKING: Programs conducting special events must fill out a Fundraiser Spreadsheet (see appendix) for each event they sponsor. The purpose of this form is to consolidate and expedite the processing of private and business donations for events, process event attendee information and donations and to create an easy to use database for solicitation letters and thank you letters. The proper procedure for using this form is as follows (complete instructions for filling out the form are included as a tab on the Excel Spreadsheet – PLEASE REVIEW full instructions
1. Save a blank copy of the file as a template.

2. Save a second copy of the file with the name of the event for the current year (such as "CAC Dance 2014"). Programs will need to have a separate file for each year they do an event.

3. Submit potential sponsors to the Community Relations/Development team, VP Marketing/Fundraising, within 7 business days after initial planning meeting.

4. Once approved, the master file for the event will be saved on SharePoint for data entry by both the program and Community Relations/Development team as directed by VP Marketing/ Fundraising.

5. Enter the sponsor information and attendee registration information into the forms and save to SharePoint until the event.

4. Print off the file and take it to the event if the program will plan to do more fundraising at the event (such as 50/50 drawing, silent auction, etc.). This way, programs can write directly on the form at the event to record who bought what and how much they spent.

5. After the event, enter the hand recorded information in #4 in the database and make sure all information is up to date.

6. Complete a mail merge and write thank you letters to attendees (if applicable) and to donors within 14 business days after the event.

7. Send an electronic version of the complete file to the VP Marketing/Fundraising by email within 10 business days after the event.

8. Save a copy of the file for next year (example: CAC Dance 2014), delete this year’s attendees – save donors. Programs are then ready with a database for next year to do a solicitation letter to donors.

Programs can still choose to do the duplicate white Tax Deductible Donation Receipt Form FMFIN0015 for business donors if they choose. The benefit is that programs can rip off the duplicate form and give businesses a receipt right away. The Event Tracking Form can take the place of the white forms for businesses and should take the place of the forms for attendees at the events. (This is to help take the large burden of filling out the individual forms for all attendees of the program off staff – the Community Relations/Development team can pull the same information from this file). NOTE: for non-event donations to programs, programs will still need to fill out the white Tax Deductible Donation Receipt Form FMFIN0015.

G14.3.03 Program staff must operate in accordance with the G14.6 Gift Acceptance Policy and the G14.8 Donor and Sponsor Recognition Guidelines of the agency.
G14.5 Donor Development Solicitation

G.14.5.01 The VP Marketing/Fundraising will develop, market, and implement a planned fundraising program which would include: annual campaign, planned giving program and capital campaign to ensure COMTREA’s long-term financial health.

G.14.5.02 The VP Marketing/Fundraising and Community Relations/Development Team will identify, prioritize, cultivate, solicit, recognize, and steward previous and new donors and prospects.

1. The VP Marketing/Fundraising will be responsible for oversight of a donor database containing information on individual and corporate giving histories.

2. The Donor Database will be preserved in a password encrypted fundraising software program by Finance Department. (Currently using Abila.)

G.14.5.03 Any employee who is soliciting donations or sponsorships for individual program activities or special events should contact the VP Marketing/Fundraising prior to making solicitation requests for review of appropriateness.

G.14.5.04 It is the responsibility of the staff member accepting the donation or sponsorship to have the donor fill out a copy of the Tax Deductible Donation Receipt, FMFIN0015 (see attached). This form will need to be completed by both the donor and the staff member/witness. Upon completion, a copy should be given to the donor and the original should be sent to the Comptroller for donor tracking and a copy given to VP Marketing/Fundraising for Donor and Sponsor Recognition, G14.9.04.

G14.6 Gift Acceptance Policy

G.14.6.01 Community Treatment Inc. (COMTREA), a 501 (c)3 not for profit organization organized under the laws of the State of Missouri, encourages the solicitation and acceptance of gifts to Community Treatment, Inc. (hereinafter referred to as COMTREA) for purposes that will help COMTREA to further and fulfill its mission. The following policies and guidelines govern acceptance of gifts made to COMTREA or for the benefit of any of its programs.

G.14.6.02 Purpose of Policies and Guidelines
These policies and guidelines govern the acceptance of gifts by COMTREA and provide guidance to prospective donors and their advisors when making gifts to COMTREA. The provisions of these policies shall apply to all gifts received by COMTREA for any of its programs or services.

G.14.6.03 The VP Marketing/Fundraising or Finance, will review and accept all gifts. When required, due to amount of the gift, the Community Relations/ Development team will be engaged.

Vice President (VP) Marketing/Fundraising – Team lead

COMTREA, Community Treatment Inc.
Chief Financial Officer (CFO)
Chief Executive Officer (CEO)
Executive Vice Presidents (EVPs)
Chief Operations Officer (COO)
Other appropriate program and support staff.

G.14.6.04 Procedure for receiving Donations & In-Kind Gifts

This procedure specifies the tracking guidelines associated with donations and In-kind gifts. All Donations & In-kind gifts transactions for COMTREA will be tracked. There are no limitation.

An item must be accepted as a Donation or In-Kind gift in order to be tracked and reported as such.

The means of valuing the donations and gift is as follows:
Donations of money, stocks, bonds or other cash securities are recorded at their cash value on the date of receipt. Securities will be recorded at the closing day value.


Donation of time and effort are recorded either as business or volunteer, based on an hourly rate. If the person donating the time is performing a service they normally would charge for, if they were hired to perform that service, the time and effort is deemed as business. In that case, the estimated market rate would be used for calculating the value of their donation of time and effort. This business qualification excludes board and staff members. If the time and effort were deemed as volunteer, the federal minimum wage rate would be used in calculating the value of the donation.

The recording of donations and gifts are as follows:
Donations of cash, other cash securities, and material/property will be recorded according to generally accepted accounting principles. These items will also be recorded and tracked using the office fundraising software, Abila.

Donations of time and effort will be recorded and tracked by the COMTREA Volunteer & Community Outreach Manager using their own volunteer tracking system. These entries are not required in Abila, the fundraising software, as long as appropriate tracking records are kept.

The finance division of COMTREA has the responsibility for completing this process.

G14.6.05 Criteria for Acceptance of Gifts.

COMTREA shall seek the advice of legal counsel in matters relating to acceptance of gifts when appropriate. Review by counsel is recommended for:
1. Closely held stock transfers that are subject to restrictions or buy-sell agreements.
2. Documents naming COMTREA as Trustee.
3. Gifts involving contracts, such as bargain sales or other documents requiring COMTREA to assume an obligation.
4. Transactions with potential conflict of interest that may invoke IRS sanctions.
5. Other instances in which use of counsel is deemed appropriate by the gift acceptance committee.

The VP Marketing/Fundraising and Finance are charged with the responsibility of reviewing all gifts made to COMTREA, properly screening and accepting those gifts, and making recommendations to CEO on gift acceptance issues when appropriate. The Community Relations/Development team will be the Gift Acceptance committee when and if it is necessary to review acceptance of a gift.

**Types of Gifts**
The following gifts are acceptable:
- Cash
- Tangible Personal Property
- Securities
- Real Estate
- Remainder Interests in Property
- Oil, Gas, and Mineral Interests
- Bargain Sales
- Life Insurance
- Charitable Gift Annuities
- Charitable Remainder Trusts
- Charitable Lead Trusts
- Retirement Plan Beneficiary Designations
- Bequests
- Life Insurance Beneficiary Designations

The following criteria govern the acceptance of each gift form:

1) **Cash** - Cash is acceptable in any form. Checks shall be made payable to COMTREA and shall be delivered to the staff accountant in COMTREA’s administrative offices.

2) **Tangible Personal Property** - All other gifts of tangible personal property shall be examined in light of the following criteria:
   - Does the property fulfill the mission of COMTREA?
   - Is the property marketable?
   - Are there any undue restrictions on the use, display, or sale of the property?
   - Are there any carrying costs for the property?

   The gift acceptance committee of COMTREA shall make the final determination on the acceptance of other tangible property gifts.

3) **Securities** - COMTREA can accept both publicly traded securities and closely held securities.

Publicly Traded Securities. Marketable securities may be transferred to an account
maintained at one or more brokerage firms or delivered physically with the transferor's signature or stock power attached. As a general rule, all marketable securities shall be sold upon receipt unless otherwise directed by the investment committee. In some cases marketable securities may be restricted by applicable securities laws; in such instance the final determination on the acceptance of the restricted securities shall be made by the gift acceptance committee of the COMTREA.

Closely Held Securities. Closely held securities, which include not only debt and equity positions in non-publicly traded companies but also interests in limited partnerships and limited liability companies, or other ownership forms, can be accepted subject to the approval of the gift acceptance committee of COMTREA. However, gifts must be reviewed prior to acceptance to determine:

- there are no restrictions on the security that would prevent COMTREA from ultimately converting those assets to cash;
- the security is marketable; and
- the security will not generate any undesirable tax consequences for COMTREA.

If potential problems arise on initial review of the security, further review and recommendation by an outside professional may be sought before making a final decision on acceptance of the gift. The gift acceptance committee of COMTREA and legal counsel shall make the final determination on the acceptance of closely held securities when necessary. Every effort will be made to sell non-marketable securities as quickly as possible.

2) Real Estate - Gifts of real estate may include developed property, undeveloped property, or gifts subject to a prior life interest. Prior to acceptance of real estate, COMTREA shall require an initial environmental review of the property to ensure that the property has no environmental damage. Environmental inspection forms are available on line, http://www.epd.gov.hk/epd/misc/eng/ef-construction/form.pdf. In the event that the initial inspection reveals a potential problem, COMTREA shall retain a qualified inspection firm to conduct an environmental audit. The cost of the environmental audit shall generally be an expense of the donor. When appropriate, a title binder shall be obtained by COMTREA prior to the acceptance of the real property gift. The cost of this title binder shall generally be an expense of the donor. Prior to acceptance of the real property, the gift shall be approved by the gift acceptance committee of COMTREA and by COMTREA’s legal counsel.

Criteria for acceptance of the property shall include:

- Is the property useful for the purposes of COMTREA?
- Is the property marketable?
- Are there any restrictions, reservations, easements, or other limitations associated with the property?
- Are there carrying costs, which may include insurance, property taxes, mortgages, or notes, etc., associated with the property?
- Does the environmental audit reflect that the property is not damaged?

3) Remainder Interests in Property - COMTREA will accept a remainder interest in a personal residence, farm, or vacation property subject to the provisions of paragraph 4 above. The donor or other occupants may continue to occupy the real property for the duration of the stated life. At the death of the donor, COMTREA may use the property or reduce it to cash. Where COMTREA receives a gift of a remainder interest, expenses for maintenance, real estate taxes, and any property indebtedness are to be paid by the donor or primary
4) Oil, Gas, and Mineral Interests - COMTREA may accept oil and gas property interests, when appropriate. Prior to acceptance of an oil and gas interest the gift shall be approved by the gift acceptance committee, and if necessary, by COMTREA’s legal counsel. Criteria for acceptance of the property shall include:
   - Gifts of surface rights should have a value of $20,000 or greater.
   - Gifts of oil, gas, and mineral interests should generate at least $3,000 per year in royalties or other income (as determined by the average of the three years prior to the gift).
   - The property should not have extended liabilities or other considerations that make receipt of the gift inappropriate.
   - A working interest is rarely accepted. A working interest may only be accepted where there is a plan to minimize potential liability and tax consequences.
   - The property should undergo an environmental review to ensure that COMTREA has no current or potential exposure to environmental liability.

7) Bargain Sales - COMTREA will enter into a bargain sale arrangement in instances in which the bargain sale furthers the mission and purposes of COMTREA. All bargain sales must be reviewed and recommended by the VP Marketing/Fundraising and approved by the CEO with recommendation to the Board. Factors used in determining the appropriateness of the transaction include:
   - COMTREA must obtain an independent appraisal substantiating the value of the property.
   - If COMTREA assumes debt with the property, the debt ratio must be less than 50% of the appraised market value.
   - COMTREA must determine that it will use the property, or that there is a market for sale of the property, allowing sale within 12 months of receipt.
   - COMTREA must calculate the costs to safeguard, insure, and expense the property (including property tax, if applicable) during the holding period.

8) Life Insurance - COMTREA must be named as both beneficiary and irrevocable owner of an insurance policy before a life insurance policy can be recorded as a gift. The gift is valued at its interpolated terminal reserve value, or cash surrender value, upon receipt. If the donor contributes future premium payments, COMTREA will include the entire amount of the additional premium payment as a gift in the year that it is made.

   If the donor does not elect to continue to make gifts to cover premium payments on the life insurance policy, COMTREA may:
   - continue to pay the premiums;
   - convert the policy to paid up insurance; or
   - surrender the policy for its current cash value.

9) Charitable Gift Annuities - COMTREA may offer charitable gift annuities. The minimum gift for funding is $5,000. COMTREA’s CEO may make exceptions to this minimum. The minimum age for life income beneficiaries of a gift annuity shall be 55. Where a deferred gift annuity is offered, the minimum age for life income beneficiaries shall be 45. No more than two life income beneficiaries will be permitted for any gift annuity. Annuity payments may be made
on a quarterly, semi-annual, or annual schedule. COMTREA’s CEO may approve exceptions to this payment schedule. COMTREA will not accept real estate, tangible personal property, or any other illiquid asset in exchange for current charitable gift annuities. COMTREA may accept real estate, tangible personal property, or other illiquid assets in exchange for deferred gift annuities so long as there is at least a 5-year period before the commencement of the annuity payment date, the value of the property is reasonably certain, and the CEO of COMTREA approves the arrangement. Funds contributed in exchange for a gift annuity shall be set aside and invested during the term of the annuity payments. Once those payments have terminated, the funds representing the remaining principal contributed in exchange for the gift annuity shall be transferred to COMTREA, COMTREA’s general endowment funds, or to such specific fund as designated by the donor.

10) Charitable Remainder Trusts - COMTREA may accept designation as remainder beneficiary of a charitable remainder trust with the approval of the VP of Marketing/Fundraising and the Community Relations/Development Team. COMTREA will not accept appointment as trustee of a charitable remainder trust.

11) Charitable Lead Trusts - COMTREA may accept a designation as income beneficiary of a charitable lead trust. The board of COMTREA will not accept an appointment as Trustee of a charitable lead trust.

12) Retirement Plan Beneficiary Designations - Donors and supporters of COMTREA will be encouraged to name COMTREA as beneficiary of their retirement plans. Such designations will not be recorded as gifts to COMTREA until such time as the gift is irrevocable. When the gift is irrevocable, but is not due until a future date, the present value of that gift may be recorded at the time the gift becomes irrevocable.

13) Bequests - Donors and supporters of COMTREA will be encouraged to make bequests to COMTREA under their wills and trusts. Such bequests will not be recorded as gifts to COMTREA until such time as the gift is irrevocable. When the gift is irrevocable, but is not due until a future date, the present value of that gift may be recorded at the time the gift becomes irrevocable.

14) Life Insurance Beneficiary Designations - Donors and supporters of COMTREA will be encouraged to name COMTREA as beneficiary or contingent beneficiary of their life insurance policies. Such designations shall not be recorded as gifts to COMTREA until such time as the gift is irrevocable. Where the gift is irrevocable, but is not due until a future date, the present value of that gift may be recorded at the time the gift becomes irrevocable.

15) Miscellaneous Provisions
Securing appraisals and legal fees for gifts to COMTREA. It will be the responsibility of the donor to secure an appraisal (where required) and independent legal counsel for all gifts made to COMTREA.

Valuation of gifts for development purposes. COMTREA will record a gift received by COMTREA at its valuation for gift purposes on the date of gift.

Responsibility for IRS Filings upon sale of gift items. The Community Relations/
Development team of COMTREA is responsible for filing IRS Form 8282 upon the sale or disposition of any asset sold within two years of receipt by COMTREA when the charitable deduction value of the item is more than $5,000. COMTREA must file this form within 125 days of the date of sale or disposition of the asset. Form 8282 with Filing Instructions may be used located on the internet for most recent publication.

Acknowledgement of all gifts made to COMTREA and compliance with the current IRS requirements in acknowledgement of such gifts shall be the responsibility of the Community Relations/Development team. IRS Publication 561 Determining the Value of Donated Property and IRS Publication 526 Charitable Contributions may be used located on the internet for most recent publication.

G.14.6.05 Conflict of Interest
COMTREA will urge all prospective donors to seek the assistance of personal legal and financial advisors in matters relating to their gifts and the resulting tax and estate planning consequences. COMTREA will comply with the Code of Ethics and the Donor Bill of Rights as approved by the Association of Fundraising Professionals, shown as an appendix to this document.

G.14.6.05 Restrictions on Gifts
COMTREA will accept unrestricted gifts, and gifts for specific programs and purposes, provided that such gifts are not inconsistent with its stated mission, purposes, and priorities. COMTREA will not accept gifts that are too restrictive in purpose. Gifts that are too restrictive are those that violate the terms of the corporate charter, gifts that are too difficult to administer, or gifts that are for purposes outside the mission of COMTREA. All final decisions on the restrictive nature of a gift, and its acceptance or refusal, shall be made by The Community Relations/Development team.

G14.7 Tax Credits

G14.7.01 The Community Relations/Development team will participate in all applicable tax credit programs through the State of Missouri Department of Revenue. Program staff will promote the use of tax credits through all available channels including annual campaigns, newsletters, website, program materials, special events, media, etc.

G14.7.02 The Finance Department will collect all donation receipts from the staff accountant on a weekly basis.

G14.7.03 The Finance Department will process donation receipts, data entry into Abila, and the VP of Marketing/Fundraising is responsible for printing and signing of thank you letters.

G14.7.04 The Finance Department will be responsible for processing donation requests involving tax credit opportunities in a timely fashion. Donations involving tax credit opportunities will be processed in 7 business days or less from the date of receipt by the VP of Marketing/Fundraising. Processing of claims will include:

1. Record the donation as a tax credit in the Tax Credit Tracking Form and file copies of application and supporting documents in a secure file cabinet.
2. Send the donor information to the VP of Marketing/Fundraising for Donor Recognition Processing along with the applicable program donor information flyers and IRS forms. (see attached)

3. If the donation is a CIC (Children In Crisis)/Champion for Children tax credit, the forms will be pre-filled by a member of the Community Relations/Development team and signed by the CEO prior to mailing with the thank you letter. IRS forms are completed by the donor and attached to their income tax forms. No additional responsibility is required of the Community Relations/Development team.

4. If the donation is a DV (Domestic Violence Shelter) tax credit, the following procedure will be followed:
   a. The forms will be pre-filled by a member of the Community Relations/Development team or their designee and mailed to the donor for additional signatures and documentation.
   b. The donor will fill out the forms, sign and return to the finance for processing.
   c. Upon receipt of completed forms, finance will acquire the CEO’s approval signature and attach verification documents (usually a cancelled check).
   d. Finance will mail the completed packet to the Department of Social Services within 7 business days of receiving the completed application.

Helpful resources

Application for Claiming Domestic Violence Tax Credits

Children In Crisis (CIC)/Champion for Children Tax Credit – Individual Information Flyer
http://dor.mo.gov/taxcredit/cic.php

Children In Crisis (CIC)/Champion for Children Tax Credit – Taxpayer Information Flyer
http://dor.mo.gov/taxcredit/cic.php

Champion for Children Tax Credit Form

Domestic Violence Shelter Tax Credit – Individual Information Flyer
http://dss.mo.gov/dfas/taxcredit/dvtaxcredit.htm

Domestic Violence Shelter Tax Credit – Taxpayer Information Flyer
http://dss.mo.gov/dfas/taxcredit/dvtaxcredit.htm

Form CIC – Children In Crisis Tax Credit Application

Grant Tracking Calendar
https://intranet.COMTREA.org/donors/\_layouts/15/start.aspx#/Lists/Grant%20Tracking%20Calendar/calendar.aspx

IRS Form 8282 – Donor Information Return

IRS Publication 526 – Charitable Contributions

IRS Publication 561 – Determining the Value of Donated Property

Model Standards of Practice of the Charitable Gift Planner
http://www.acga-web.org/ethics-a-standards/63-model-standards-of-practice-for-the-
G14.8 COMTREA Staff Member Acknowledgement Guidelines

G14.8.01 All Donors and/or Sponsors of COMTREA programs and activities will receive acknowledgement of their gift. The VP Marketing/Fundraising will be notified of all donations, cash as well as checks or property and in kind donations.

G14.8.02 It is the responsibility of the staff member accepting the donation or sponsorship to have the donor fill out a copy of the Tax Deductible Donation Receipt, FMFIN0015 (see attached). This form will need to be completed by both the donor and the staff member. Upon completion, a copy should be given to the donor and the original should be sent to finance.

G14.8.03 COMTREA staff accepting in-kind donations should make a copy of the agency form and attach it to the donated items with a note stating where the donation should be delivered. The staff should then send an email notification to intended recipient to inform them of the donation drop off and the need to transport the items. If the item is too large or bulky to be delivered through normal daily mail routes, a Maintenance Service/Repair Form, FMMSC0034, on Share Point Forms, should be completed and sent to Maintenance in order to get the item to programs in a timely manner.

G14.8.04 The staff accountant will collect all cash donation receipts on a weekly basis.

G14.8.05 Finance will process all of the donation receipts and Tax Deductible Donation Receipt, FMFIN0015, each Friday with data entry into Abila. The VP Marketing/Fundraising is responsible for the printing and signing of thank you letters.

G14.8.06 Donations that are eligible for tax credits (CAC and Domestic Violence credits) will be returned to the VP of Marketing/Fundraising for processing according the guidelines under G14.6 Gift Acceptance Policy.

G14.8.07 The VP Marketing/Fundraising will send thank you letters in response to donations and/or sponsorships above the levels outlined in the Donor and Sponsor Recognition Guidelines below.

G14.9 Donor and Sponsor Recognition Guidelines

G14.9.01 Community Treatment, Inc. (COMTREA) accepts donations in support of its prevention and treatment services. This document, Donor and Sponsor Recognition Policy, applies to all fund raising activities of COMTREA, including with respect to: annual giving; planned gifts; special fund raising initiatives; and campaigns; and any arms-length bodies conducting fund raising on behalf of COMTREA (for instance, a service organization, foundation or trust). This document applies to both the receipt of
gifts and endowments.

COMTREA recognizes and appreciates the generosity of individuals, businesses and organizations that invest in our programs and services. Recognizing the financial investment made by our private supporters demonstrates the importance of these partners in the fulfillment of our Mission and the advancement of COMTREA’s strategic plan.

G14.9.02 In keeping with COMTREA’s values and goals and in accordance with the IRS publications related to charitable giving, as well as to help COMTREA achieve its stewardship and long-term development objectives, the following Donor & Sponsor Recognition Guidelines has been put in place to:

- provide appropriate, timely and donor-centered recognition of all charitable donations;
- elevate donors’ sights and serve as a cultivation tool for larger donations;
- guide the public recognition and acknowledgement of major donors;
- provide public evidence of philanthropic activity that suggests that COMTREA enjoys considerable external support and encourage others to invest in COMTREA.

This Policy consists of nine key components:

- Recognition Principles
- Recognition Levels
- Sponsorships
- Mergers and Acquisitions
- Events
- Naming Opportunities
- Perpetual Recognition
- Donor Acknowledgement
- Gift Agreements

For the purposes of this policy, “gift” refers to outright donations to COMTREA (where COMTREA enjoys the beneficial interest of the donation). The term “endowment” is used to refer to donations made to COMTREA on the understanding that the “capital” or “principal” amount of the donation will be invested with the investment earnings used to advance specified program purposes of COMTREA.

G14.9.03 Consistent with COMTREA’s Gift Acceptance Policy, the following recognition principles are applicable:

- All donations and/or documented pledges from COMTREA family, individuals, corporations, foundations, associations and organizations will be recognized at the appropriate level. In the case of approved Campaigns, donors will be listed for the full amount of their pledge in the Campaign final report and other places and publications as appropriate.
- Gift-in-kind donors will be listed in the appropriate category, based on the fair market value of their gift.
- In the case of realized bequests, donors will be listed as “The Estate of ...”. The level of recognition and final value of the gift to be counted will be
determined in accordance with the Gift Acceptance Policy.

- Donor recognition shall be subject to donor wishes as to confidentiality. Donors requesting anonymity shall be omitted from all public displays and publications.
- Campaign Financial Policies should guide the assessment and recognition of all campaign donations.

G14.9.04 Recognition Levels and Benefits

a) Donations

Recognition programs are most effective when they are simple, flexible, attractive and multi-tiered. Recognition levels, i.e. Giving Societies, and related benefits must have sufficient diversity to ensure that such levels promote peer recognition of substantial donations. Benefits related to each level reflect the impact of the donation on COMTREA and the importance of the donation to the vision, mission and goals of the institution. COMTREA's Gift Acceptance Committee, in conjunction with the donor, will recommend a personalized recognition and stewardship plan for each such donation. Plans may also be developed for donors of amounts below $100,000.00 on a case-by-case basis. As stated in the Donor and Sponsor Recognition Guidelines will determine the appropriate donation level to secure a naming opportunity.

The following Donor and Sponsor Recognition Guidelines Chart is to be used as a guideline for determining Benefits at each donation level:

<table>
<thead>
<tr>
<th>Donation Amount</th>
<th>Donor Benefits</th>
</tr>
</thead>
<tbody>
<tr>
<td>$49,999 - $1,000,000</td>
<td>* denotes benefit associated with a donation to an approved campaign</td>
</tr>
<tr>
<td>$24,999 - $49,999</td>
<td>*</td>
</tr>
<tr>
<td>$5,000 - $24,999</td>
<td>*</td>
</tr>
<tr>
<td>$1,000 - $5,000</td>
<td>*</td>
</tr>
<tr>
<td>$500 - $1,000</td>
<td>*</td>
</tr>
<tr>
<td>$0 - $500</td>
<td>*</td>
</tr>
<tr>
<td>$0 - $100</td>
<td>*</td>
</tr>
</tbody>
</table>

Official (tax) receipt and letter of appreciation from CEO, the Board of Directors and/or Chair of the Campaign*  
Personal letter of acknowledgement from the CEO
| $0-$10,000 | $10,000-$24,999 | $25,000-$99,999 | $100,000-$499,999 | $500,000-$999,999 | $1,000,000-$2,000,000 | $2,000,000+
<table>
<thead>
<tr>
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<td>*</td>
</tr>
<tr>
<td>Recognition of donation in annual report and copy of report</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Receipt of development newsletter</td>
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<tr>
<td>Recognition on COMTREA’s website</td>
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</tr>
<tr>
<td>Giving Society Recognition</td>
<td></td>
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<td></td>
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<tr>
<td>Feature story in COMTREA’s newsletter</td>
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<td></td>
</tr>
<tr>
<td>Placement on permanent donor recognition wall</td>
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<tr>
<td>*</td>
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<td>*</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Invitation to attend campaign celebration at conclusion of campaign*</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Listing in campaign final report*</td>
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<td>*</td>
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<td></td>
</tr>
<tr>
<td>Where appropriate, naming of specific facility/room/program/endowment</td>
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<td></td>
</tr>
<tr>
<td>Private reception with CEO</td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Customized recognition plan that best meets donor’s needs</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Check presentation and news release to media</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personalized donation</td>
<td></td>
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<tr>
<td>*</td>
<td>*</td>
<td>*</td>
<td>*</td>
<td>*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Special event for donation announcement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
G14.9.05 Impact of Mergers and Acquisitions
Due to the sensitivities and dialogue needed following the merger of corporations and the potential cost to COMTREA of effecting a change of name; the donor(s) history and the criteria for combining the histories of newly merged corporations will be reviewed on a case-by-case basis. While earnest effort will be made to update names (subject to donor instructions and a consideration of the costs involved) a merged or re-named company may not automatically have its name replaced (or, in the case of merged companies, be moved to a higher donor category solely based on the combined cumulative giving history of the merging companies). Changes of name will be adopted in the applicable fiscal year.

G14.9.06 Special Events
Donor events are held for a variety of purposes: to cultivate and steward donors and prospective donors; to celebrate donations to COMTREA and thank donors for their generosity; to create public awareness about COMTREA; and, when appropriate, to acknowledge Campaign milestones. Public announcements for donations of $100,000 to $499,999 and donation announcement events for donations of $500,000 and greater will be co-ordinated the VP Marketing/Fundraising in conjunction with the wishes of the donor. The showcasing of specific donations as part of a Campaign launch or victory event will be of important strategic value both to Campaign momentum and donor stewardship. The VP Marketing/Fundraising will plan such events. In planning special events, COMTREA will give due consideration to eligibility for charitable tax receipts.

G14.9.07 Naming of Facilities and Programs
The naming of a building, space or program or reflects the importance of the donor to the realization of COMTREA’s mission and vision. The donor’s name can add prestige to the building or program in return. Naming of a building, space or program is taken seriously by COMTREA and careful consideration will be given before any Named opportunity is approved. COMTREA maintains an ongoing discretion as to the applicable thresholds and criteria, however:

a) Normally, a donation equal to 1/3 of the total costs of funds required for a building or 50% of the private support goal is considered as the minimum for the purposes of a Naming opportunity. It is COMTREA’s practice that Naming opportunities begin at $50,000 with the size and profile of named facilities or programs increasing proportionately with the size of the gift.

b) The naming of facilities will require the approval of the Board of Directors upon the recommendation of the CEO.

c) The naming of a program will normally require a donation sufficient to offset 15% of the annual operating budget of that program and requires the approval of the Board on the recommendation of the CEO.
The naming of a facility, property or program at COMTREA will normally be extended for no more than 10 years. For naming opportunities that are negotiated for less than the amount set forth by COMTREA, the length of the naming opportunity can be adjusted to less than 10 years to reflect the value of the commitment. 

The naming of a building in recognition of specific contributions to COMTREA other than financial donations will require the approval of the Board. 

Naming a building or segments of buildings will not imply that the name or names will be used in perpetuity. When a building is demolished or replaced, or where occupancy or usage of the building changes, or where the former name is no longer appropriate, then a request for a new name will be considered by the Board. 

When a capital campaign is conducted, a Campaign Naming Opportunities document, outlining Naming opportunities at COMTREA, will be developed for consideration by the Board. 

A permanent donor recognition installation listing all those who contributed $5,000 and greater to COMTREA will be established in an appropriate, central location. This may take the form of a donor wall or another format suitable to the site of installation. The VP Marketing/Fundraising will make recommendations concerning this installation and coordinate with the appropriate parties. 

The Board, on recommendation of the CEO, may determine it appropriate to place permanent recognition in or on a new building to indicate that it occupies the site of a building formerly known by another name.

G14.9.08 Donor Acknowledgement

Donor acknowledgement is an important component of COMTREA’s recognition program. It helps ensure a consistent, planned and timely approach to donor relations. In addition to what is prescribed in this Policy, Development staff will take the initiative to customize ‘thank you’ activities as appropriate.

The following forms the basis of the Donor Acknowledgement process:

<table>
<thead>
<tr>
<th>Donation Range</th>
<th>Donor Acknowledgement</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0 - $4,999</td>
<td>Acknowledgement Format, Thank You From</td>
</tr>
<tr>
<td>$5,000 - $9,999</td>
<td>VP Marketing/Fundraising</td>
</tr>
<tr>
<td>$10,000 - $19,999</td>
<td>Finance</td>
</tr>
<tr>
<td>$20,000 - $24,999</td>
<td>Within 14 days</td>
</tr>
<tr>
<td>$25,000 - $50,000</td>
<td>Biannually</td>
</tr>
<tr>
<td>Task</td>
<td>Responsible</td>
</tr>
<tr>
<td>---------------------------------------------------------------------</td>
<td>----------------------</td>
</tr>
<tr>
<td>Letter, post event to donors/sponsors/volunteers</td>
<td>Program Director/Manager, i.e. A Safe Place</td>
</tr>
<tr>
<td>Personal Note</td>
<td>Program Director/Manager</td>
</tr>
<tr>
<td>Letter</td>
<td>Campaign Chair</td>
</tr>
<tr>
<td>Personal Note</td>
<td>Campaign Chair</td>
</tr>
</tbody>
</table>

G14.9.09 Endowment and Campaign Pledges
For donations of more than $50,000, the donor and COMTREA will sign a mutually agreed-upon Donation Agreement. The purpose of a Donation Agreement is to establish a mutual understanding of the purpose of the donation, the management of the donated funds, the terms of the pledge and COMTREA’s responsibility to report the results of the donation (e.g. construction of a new space, service provided, etc.). It forms the basis of an ongoing relationship between COMTREA and the donor and begins an important stewardship process. A sample template for donations by campaign pledge is attached as Pledge. A sample template for donations by endowment is attached as Endowment. The Vice President (VP) Marketing/Fundraising will coordinate the development of Donation Agreements.

**Campaign Pledge AGREEMENT SAMPLE**

**ENDOWMENT AGREEMENT SAMPLE STATEMENT OF TRUST**

G14.10 Development Responsibilities of the Board

**G14.10.01 Responsibility 1:** Ensure that there are adequate organizational resources:
An essential element of an effective board is its ability to contribute time, talent, and treasure. It is absolutely necessary for every board member to be a financial investor in an organization. It sends a powerful message when they are and an even more powerful message when they are not.

**G14.10.02 Responsibility 2:** Ensure that organizational resources are managed effectively: Hand in hand with raising money and securing resources is paying attention to how those resources are managed. Here again, this is the job of many people, but it is the board that must assume final authority and ultimate responsibility. The fiduciary responsibilities of managing a social-profit organization are numerous.

The Internal Revenue Service (IRS) affords organizations like ours certain benefits in exchange for improving the public good. They also require us to operate according to explicit guidelines and generally accepted accounting practices. Our foundation and corporate partners and our individual investors all have certain expectations and sometimes clear conditions for how their resources are used. It is likely they will expect that a formal audit be conducted and it is the board’s job to solicit bids and engage an audit firm. The board is the fiduciary authority for the organization and they are
G14.10.03 Responsibility 3: A commitment by board members to participate in the development process.

G14.10.04 Ways in which COMTREA board members can become involved with development include:
- Participation on a board committee
- Planning and participation in special events
- Soliciting individual and corporate donations
- Donating time and expertise to development projects
- Cultivate potential donors
- Making a personal financial commitment

G14.11 Financial Integration

G14.11.01 The VP of Marketing/Fundraising will collaborate with the Finance Department in order to ensure consistency in financial management of donations, grants and special event income. The VP of Marketing/Fundraising will consult the Policy and Procedure Manual (G6) of the Finance Department, on Share Point, https://intranet.COMTREA.org/_layouts/15/start.aspx?RootFolder=%2FForms%20and%20Agency%20Manuals%20%20%20%20%20%20%20Governance%20Manuals&FolderCTID=0x012000A77E7712F1DA4FEB2229AAFEF136C598&View=%7B41797F22%2D3C87%2D9D89%2D8D86%2D2B73FCE25C54%7D, in order to ensure compliance with all standards and protocols applicable to the operations of the Community Services/Development Operations Manual (G14).

G14.12 Entities Seeking to Raise Funds for COMTREA (3rd Party Fundraising)

Outside agencies or individuals, referred to here as entities, may want to raise funds/donations on COMTREA’s behalf. The following are the procedures to review request and respond to those entities seeking to raise funds for COMTREA

G14.12.01 When staff members are approached by an individual or organization seeking to fund raise for COMTREA, they are first directed to the VP Marketing/Fundraising and the EVP or staff who oversees the program the fundraising would benefit.

G14.12.02 The 3rd Party will complete the Special Event Request Form, FMMSC0082.

G14.12.03 The two staff members will review the proposal and determine:

1) Should COMTREA be associated with this individual/organization?
2) Should COMTREA be associated with the proposed activity?
3) Date(s) the activity is proposed (noting if it conflicts with the United Way blackout)?
4) Does COMTREA have the needed resources to support the activity?
5) Should COMTREA logo be used? (If so, the ICT Manager must provide it in a manner that cannot be distorted when reproduced.)

If the answers to questions #’s 1 – 5 don’t successfully meet COMTREA standards, the proposal will be denied.

If it does meet standards, the two staff members will bring the proposal to the Leadership Council where a discussion and final decision will be made.
Appendices

Code of Ethical Principles and Standards of Professional Practice (AFP)

Donor Bill of Rights (Association of Fundraising Professionals)

Endowment Agreement Sample Statement of Trust

Fundraiser Spreadsheet Form
https://intranet.COMTREA.org/donors/default.aspx

Campaign Pledge Agreement Sample

Program Development Worksheet

Special Event Request Form FMMSC0082

Tax Deductible Receipt, FMFIN0015

Thank you letter – general (w/o service or product received)

Thank you letter – general (w/service or product received)
**Code of Ethical Principles and Standards**

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

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

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

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

**ETHICAL STANDARDS**

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

**MEMBER OBLIGATIONS**

1. Members shall not engage in activities that harm the members' organizations, clients or profession.
2. Members shall not engage in activities that conflict with their fiduciary, ethical and legal obligations to their organizations, clients or profession.
3. Members shall effectively disclose all potential and actual conflicts of interest. Such disclosure does not preclude or imply ethical propriety.
4. Members shall not exploit any relationship with a donor, prospect, volunteer, client or employee for the benefit of the members or the members' organizations.
5. Members shall comply with all applicable local, state, provincial and federal civil and criminal laws.
6. Members recognize their individual boundaries of competence and are forthcoming and truthful about their professional experience and qualifications and will represent their achievements accurately and without exaggeration.

7. Members shall present and supply products and/or services honestly and without misrepresentation and shall clearly identify the details of those products, such as availability of the products and/or services and other factors that may affect the suitability of the products and/or services for donors, clients or nonprofit organizations.
8. Members shall establish the nature and purpose of any contractual relationship at the outset and will be responsive and available to organizations and their employing organization, before, during and after any sale of materials and/or services. Members will comply with all fair and reasonable obligations created by the contract.
9. Members shall refrain from knowingly infringing the intellectual property rights of other parties at all times. Members shall address and rectify any inadvertent infringement that may occur.
10. Members shall protect the confidentiality of all privileged information relating to the provider/client relationships.
11. Members shall refrain from any activity designed to disparage competitors unethically.

**SOLICITATION AND USE OF PHILANTHROPIC FUNDS**

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

**PRESENTATION OF INFORMATION**

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

COMTREA, Community Treatment Inc.
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COMPENSATION AND CONTRACTS

21. Members shall not accept compensation or enter into a contract that is based on a percentage of contributions; nor shall members accept finder's fees or contingent fees. Business members must refrain from receiving compensation from third parties derived from products or services for a client without disclosing that third-party compensation to the client (for example, volume rebates from vendors to business members).

22. Members may accept performance-based compensation, such as bonuses, provided such bonuses are in accord with prevailing practices within the members' own organizations and are not based on a percentage of contributions.

23. Members shall neither offer nor accept payments or special considerations for the purpose of influencing the selection of products or services.

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

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

PHILANTHROPY is based on voluntary action for the common good. It is a tradition of giving and sharing that is primary to the quality of life. To assure that philanthropy merits the respect and trust of the general public, and that donors and prospective donors can have full confidence in the not-for-profit organizations and causes they are asked to support, we declare that all donors have these rights:

I
To be informed of the organization’s mission, of the way the organization intends to use donated resources, and of its capacity to use donations effectively for their intended purposes.

II
To be informed of the identity of those serving on the organization’s governing board, and to expect the board to exercise prudent judgment in its stewardship responsibilities.

III
To have access to the organization’s most recent financial statements.

IV
To be assured their gifts will be used for the purposes for which they were given.

V
To receive appropriate acknowledgement and recognition.

VI
To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law.

VII
To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.

VIII
To be informed whether those seeking donations are volunteers, employees of the organization or hired solicitors.

IX
To have the opportunity for their names to be deleted from mailing lists that an organization may intend to share.

X
To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.
ENDOWMENT AGREEMENT SAMPLE STATEMENT
OF TRUST

Donor Information:
Name of Donor(s) or Agent(s):
Address

Name of Donor(s)
Address

1. I/we hereby donate to the Board of Directors of Community Treatment, Inc. (COMTREA) as trustees, for an endowment in perpetuity, the sum of $__________ (“the Endowment”)

2. Unless otherwise specified in paragraph 3 the income from the Endowment shall be used, at the discretion of COMTREA, for priority projects and programs.

3. This Endowment is designated to: (Specify purpose and objectives and name of the Endowment; research program, scholarship or visiting speaker, etc.) In the event that future circumstances render the continuation of the aforementioned activity impractical or undesirable the Board of Directors may use the principal or income for such other purposes as will, in its opinion, honor as nearly as practical, the original intent of the Donor.

4. This Endowment will be administered by COMTREA in accordance with COMTREA’s Gift Acceptance Policy.

Signature of the Donor(s)  Dated this ___ of ___, 20___

Receipt of fund and acceptance of conditions acknowledged by COMTREA as trustee
Dated this ___ of ___, 20___

Per: __________________________________________

COMTREA, Community Treatment Inc.
CAMPAIGN PLEDGE SAMPLE

PLEDGE AGREEMENT BETWEEN
Donor Name
(“the Donor”) 
AND
The Board of Directors of Community Treatment, Inc. (“COMTREA”)

COMTREA would like to thank [name of donor] for investing in the [name of campaign]. The terms of this investment as previously agreed to are set out in this Letter of Agreement (the “Agreement”).

1. THE PLEDGE
[Donor name] has generously made a gift/pledge of $X to COMTREA. This gift/pledge will be provided in the form of [i.e. cash, gift of securities] according to the following schedule:

(a) $ _______ (Month) _______ (Year) _______
    $ _______ (Month) _______ (Year) _______
    $ _______ (Month) _______ (Year) _______
    $ _______ (Month) _______ (Year) _______

(b) Other (please describe)

2. STATEMENT OF PURPOSE
The purpose of the pledge will be to support COMTREA [additional purpose details, if necessary].

3. CHANGE OF PURPOSE
If COMTREA is of the opinion that a revised purpose for the use of this donation is appropriate, COMTREA shall exercise its discretion, in consultation with the donor where possible, and use the pledge to the best advantage of COMTREA for other purposes consistent with the spirit and intent of the donor.

4. OBLIGATIONS
COMTREA will:
4.1 subject to approval of the Board of Directors of COMTREA, and in accordance with the COMTREA’s Donor and Sponsor Recognition Policy, recognize this gift by creating the [name of room, etc.];
4.2 [details of additional recognition per plan and as addressed with donor];
4.3 report annually to the Donor on the status of the Campaign (until concluded);
4.4 meet its financial commitment as outlined in Point 1;
4.5 [other commitments by donor e.g. use of COMTREA brand].
5. TERMINATION
Both the Donor and COMTREA affirm that this pledge does not and shall not, in any way, compromise the COMTREA's mission or contravene any policy of COMTREA or reflect negatively on COMTREA's public image. In the event that the activities of the donor are in material conflict with COMTREA's mission and/or policies, the donor agrees that COMTREA shall have the right to terminate this Agreement immediately. Agreed to this _____ of ________, 20__.

COMTREA CEO

Donor

Lawyer's General Comments – The statement of purpose will be critical to characterizing the nature of the donation and any limitations re: use of the donation. Be wary of unacceptable or unworkable conditions/limitations.

• Donation should, wherever possible, be without qualification or condition (the purpose should be left described in broad terms).

• Be mindful of whether any given campaign is for “gifts” that COMTREA maintains full discretion over (when to expand / purpose applied to) versus campaigns to create an endowment fund to draw income from.

• Should special circumstances warrant, consider an indemnity by the owner for any claims arising by virtue of the donation.
Program Development Worksheet

Each time you or your staff have a "good" idea, we ask that you take the time to fill out this worksheet. Providing us with this information will allow us to determine if the idea or concept fits within the organization's structure, adheres to our mission, and is fundable.

Submitted by ___________________________ Date ______________

1. Summarize the idea in two or three paragraphs.

2. If you had access to the funding you would need to create a successful program, what items would appear in your line-item budget? (Thinking big is very important. Most programs can be scaled back if need be, but we want to know what it would really take to make this successful in your opinion).

Don't guess at these figures. Really do your homework and find out what the actual costs could be. Ask the bookkeeper/accountant for figures, such as percentage of benefits, if you don't know them. Make phone calls to printers, look at office catalogs, etc. to get accurate prices. If you need more room please create a spreadsheet and attach it to this worksheet.

<table>
<thead>
<tr>
<th>Item</th>
<th>Projected Cost</th>
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<tbody>
<tr>
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<td></td>
</tr>
</tbody>
</table>

3. Why do you think we need this program? Who suffers if we don't do it?
4. If you could create a goal for this project, what would it be? (Here's an example of a goal: To provide a healthy after school program for children ages 5-12 that is available to any child, regardless of income, throughout the tri-county area.)

5. If you could identify a "do-able" timeline for the project, when would it start? Would there be an ending date or does this program need on-going funding?

6. Do you have any ideas about who might be interested in funding this program?

7. If you have any written materials that will describe the program, help document the need, etc. please attach it to this worksheet when you submit it.
SPECIAL EVENT Request

Date Submitted: 
Submitted by: 

COMTREA Program: 
COMTREA Division: 
Contact Person: Phone Extension: 
Name of Proposed Event: 
Date of Proposed Event: 
Alternate Date for Event: 
Proposed Place of Event: 
Proposed Time of Event: 
Purpose of Proposed Event: 

Support Requested: (Check all that apply)
- Design Flyer
- Disseminate Flyer
- Develop and Distribute
- Press Release Prior to Event
- Photography
- Press Write-up after Event
- Send Thank-You Letters to Donors
- Send Thank-You Letters to Participants

<table>
<thead>
<tr>
<th>Solicit Donations</th>
<th>Need List of Potential Donors</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Supplied</td>
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<tr>
<td></td>
<td>Petty Cash</td>
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<tr>
<td></td>
<td>Tax deductible Receipts</td>
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<tr>
<td></td>
<td>Special Account for Event</td>
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<tr>
<td></td>
<td>Income</td>
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<tr>
<td></td>
<td>Final Deposit of Program</td>
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<tr>
<td></td>
<td>Income</td>
</tr>
<tr>
<td></td>
<td>Program Expenditures/receipts</td>
</tr>
</tbody>
</table>

If no, request of Sponsor Organization Certificate of Insurance naming COMTREA as "additionally insured." This is mandatory requirement to accept proposed event on COMTREA property.

If 3rd Party Event, not COMTREA sponsored event, please complete the following section.

1) Who is the individual/organization?

2) What do they propose doing?

COMTREA, Community Treatment Inc.
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3) When?
4) What staff resources are needed from COMTREA?
5) How much of the proceeds come to COMTREA?
6) Are they requesting use of the COMTREA logo?

Send to Vice President, Marketing/Fundraising, Festus, South Office
Tax Deductible Donation Receipt
PLEASE PRINT

Name: ____________________________________________

Address: ____________________________________________

City/State/Zip: ____________________________________________

Phone: ( ) __________ Email: __________________________

Type of Donation:
   O Financial*  O In-Kind Service  O In-Kind Goods
   If financial: O CASH  O CHECK  O CREDIT CARD

Donation Description: ________________________________

Approximate Value of Donation*:
   * If left blank, donation will be recorded as $0. COMTREA cannot assign a value to donations.

Is this a program specific donation:  O Yes  O No
   If yes, please specify which program: ________________________________

Do you wish for your contribution to remain anonymous?
   O Yes  O No

Is this gift in Honor or Memory of someone?  O Yes*  O No

* If yes, who? ____________________________________________
   Send notification to: ____________________________________________

Donor Signature: ____________________________ Date: ________

COMTREA is a 501 c(3) agency as determined by the IRS. You may deduct your contribution minus the value of any goods or services you received.

TOP COPY - Development Office   YELLOW COPY - Donor
Thank you letter – general (with service or product received)

Date
Name
Address
City, State Zip

Dear Salutation:

On behalf of the board and staff of COMTREA, I thank you for your generous gift of $XX to COMTREA, which was received on DATE.

Every year, thousands of clients seek COMTREA’s care for mental illness, substance abuse, and domestic violence. For these clients, COMTREA’s services are the path to a healthier, safer life. Thanks to donors like you, we are able to continue providing our clients with the very best care available.

Your generous purchase of XXX calendars for $10 (x how many calendars they bought) will enable our staff to teach young people healthy decision-making skills. Please note that $3 (x how many calendars they bought) of your payment is for goods and services; the remaining $7 (x how many calendars they bought) is tax deductible under current law.

Thank you again for your generosity and support of our efforts.

Sincerely,

Vice President Fundraising/
Marketing

This letter certifies that no goods or services were received in exchange for your donation, and your gift is fully tax-deductible to the extent provided by law.

COMTREA, Community Treatment Inc.
Thank you letter-general (without service or product received)

Date

Name
Address
City, State Zip

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Thank you again for your generosity and support of our efforts.

Sincerely,

Vice President Fundraising/Marketing

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