

Lions Vision Services

A South Carolina Charity

Administrative Policy Manual

May 16, 2018

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Addendum #7: Employee Evaluation Form

Article I. General Policy

Section 1.01 Pursuant to the Bylaws of Lions Vision Services, this Administrative Policy Manual is established by its Board of Directors to cover the administration and operations of Lions Vision Services.

Section 1.02 It is provided that notwithstanding all of the provisions of this Administrative Policy Manual herein set forth, where any of the specific policies is in conflict with the Bylaws of Lions Vision Services, the Articles, or the Act, the rules and regulations of 1) the Act, 2) the Articles, 3) the Bylaws of the Lions Vision Services, and 4) this Policy Manual, in that order, shall govern.

Article II. President and Chief Executive Officer

See Addendum #3.

Article III. Purchases and Bill Payments

Section 3.01 Purchases for all materials and services must conform to the current year's budget. Purchases that exceed \$1,000.00 and up to \$10,000.00 must be approved by the CEO. If greater than \$10,000.00, approval of the Chairman is required, with the exception of all purchases having been pre-approved in the Budget.

Section 3.02 When petty cash is used, a vendor receipt must be attached to provide a record of the purchase.

Section 3.03 If the LVS credit card is used for purchase of supplies or services for the organization, a vendor generated credit card receipt and itemized vendor statement must be attached for accounting records.

Section 3.04 The primary method of payment for supplies, services, and payroll shall be checks.

Section 3.05 Signature cards listing authorized signatures shall be maintained on file at the current bank. The Board of Directors must authorize additions to the list of approved signers. The authorized individuals shall be: Chief Executive Officer and Treasurer.

Section 3.06 No checks will be pre-signed before the check is written.

Section 3.07 Normally an invoice from a vendor will be received for payment and the CEO shall review and approve all invoices before payment. In the absence of the CEO, the Treasurer may be authorized to review and approve invoices for payment. An approved invoice shall serve as a request for payment.

Article IV. Committees

Section 4.01 Overview

LVS is a voluntary organization. It thrives from hard work and commitment. The following guidelines are established to identify the needs and expectations of the committees and are intended to assist in meeting the goals and objectives of LVS. Members are encouraged to actively promote our theme at all functions.

- (a) Members: Pursuant to the By-laws, the Chairman of LVS, in consultation with the CEO, shall appoint each committee, including the Chairperson. Committee vacancies shall be filled by the Chairman.
- (b) Term of Office: One (1) year; may serve up to three (3) consecutive terms.
- (c) Hold meetings as necessary at the call of the Chairperson.
- (d) Coordinate with the CEO.
- (e) Make reports as necessary.

Section 4.02 Personnel and Governance Committee

- (a) Financial Management
 - (i) *Prepares annual budget. The budget is the official financial instrument of the organization.*
 - (ii) *Each year the Committee will begin the budgeting process 45 days prior to the state convention. The Committee will present a budget proposal to the Board of Trustees for tentative approval prior to the state convention. The Board can enhance, accept, reject, revise or send back to the Committee for revisions.*
 - (iii) *The Committee will present a final budget to the Board of Trustees for approval at the last Board meeting of the fiscal year. Upon approval, submits to the CEO for publication during the budget year.*
- (b) Maintains an up-to-date copy of the By-laws and Administrative Policy Manual.
- (c) Chairperson addresses all sexual harassment complaints.
- (d) Succession Planning
 - (i) *Develops the procedures and criteria for the evaluation and selection of the CEO.*
 - (ii) *The Personnel and Governance Committee, the LVS Chairman, and the MD-32 Council Chairman shall screen all applicants for the CEO position, interview all candidates whose applications merit further consideration and make a recommendation to the Board of Directors on the best qualified candidate.*
 - (iii) *Chairperson shall maintain in a confidential file all resumes and interview records for CEO for two (2) years and shall be kept locked up in the LVS Office for privacy and HIPPA purposes.*
- (e) Chairperson shall be present, if possible, with the CEO when a Notice of Termination is being given to a full-time employee.
- (f) Approve the expenses of the CEO in the absence of the LVS Chairman.
- (g) Complete an annual review of the CEO using the Employee Evaluation Form (Addendum #7).
- (h) Board Recruitment
 - (i) *Upon approval of the Board of Directors, submits nominations for officer candidates to the Annual Meeting of LVS and as needed throughout the year with the Prospective Board Member Form (Addendum #6).*
 - (ii) *Works with Districts every year in receiving nominations to assure that the geographic representation of Lions is reflected on the board. Refer Bylaws 9.1*

Section 4.03 Development Committee

- (a) Update and maintain the annual LVS Fund Development Plan.
- (b) Update and maintain the LVS Gift Acceptance Policy as needed.

- (c) Committee members will present the LVS Fund Raising Program at Cabinet meetings of the respective sub-districts and other venues as necessary.
- (d) Obtains periodic reports of club contributions and follows up with clubs to achieve annual fundraising goals.
- (e) Promotes the LVS Fund Raising Program through articles in The Palmetto Lion and in Lions meetings.
- (f) Communicates with District Governors concerning participation in the LVS Fund Raising Program by clubs within their respective sub-districts.
- (g) Encourage all Lions leaders to be examples by participating in one or more of the annual giving programs.
- (h) Identify potential donors.
- (i) Assist in identifying corporations, foundations and individuals with capabilities of giving at outlined giving levels.
- (j) Make personal introductions and visits when advantageous.
- (a) Promote all major giving opportunities within Committee members' respective Lions sub-districts.

Section 4.04 Investment Committee

- (a) Advise the Personnel and Governance Committee on financial matters related to the budget.
- (b) Maintain the LVS Investment Policy and advise on revisions as needed.
- (c) Maintain and grow assets in the LVS endowment funds.
- (d) Plan for long-term financial stability through sound fiscal policy.
- (e) Ensure compliance with all relevant laws, regulations, and best practices.

Section 4.05 Programs and Events Committee

- (a) Oversee an annual review and assessment of all LVS programs.
- (b) Make recommendations on programs.
- (c) Assists the CEO in the administration of programs.
- (d) Consults annually to insure that all equipment is working and meets industry standards; makes recommendations as appropriate to the Board for major repairs or equipment upgrades.
- (e) Communicates programmatic updates and details through all possible means.
- (f) Establishes criteria for needs and, within budget limitations, provides financial assistance to needy persons in South Carolina.
- (g) Assists the CEO in negotiating with medical providers to provide favorable service fees for clients sponsored by Lions.
- (h) Plans and implements events throughout the year for promotional, educational, and fundraising purposes.

Article V. Distributions and Earnings

All requests for distribution of funds shall be made to the Financial Advisor by the President or Treasurer of LVS in writing and shall include approval by the Secretary of LVS, with the exception of all disbursements having been pre-approved in the annual budget. Should the

President's position become vacant, the Board of Trustees shall temporarily authorize one or more employees and/or Trustees to perform these duties.

Article VI. Investment Policy

See Addendum #4.

Article VII. Gift Acceptance Policy

See Addendum #5.

Article VIII. Succession Policy

Section 1.01 Rationale

In order to ensure the continuous coverage of executive duties critical to the ongoing operations of LVS and its services to clients, the Board of Directors is adopting policies and procedures for the temporary appointment of an Acting Senior Executive Officer in the event of an unplanned and extended absence of the Senior Executive Officer. The Senior Executive Officer may carry the title of Executive Director, President and/or Chief Executive Officer.

While the Board acknowledges that such an absence is highly improbable and certainly undesirable, it also believes that due diligence in exercising its governance functions requires that it have an emergency executive succession plan in place. It is expected that this plan will ensure continuity in external relationships and in staff functioning.

Section 1.02 Priority functions of the Senior Executive Officer position at LVS

- (a) The full Senior Executive Officer position description is attached.
- (b) Among the duties listed in the position description, the following are the key functions of the Senior Executive Officer to be covered by an acting director:
 - (i) *Serve as the organization's principal leader, representative, and spokesperson to the greater community*
 - (ii) *Support the Board of Directors*
 - 1) ensure integrity and strength of Board leadership and address issues around clarity of role, governance, bylaws/policies, corporate structure, and membership
 - 2) assist with recruitment and orientation of new Board members
 - 3) prepare Executive reports to Board of Directors and Executive Committee and attend various Committee meetings
 - (iii) *Convene and lead the Management Team*
 - (iv) *Participate in recruitment, interview, selection and evaluation process for directly supervised staff and other key executive level positions*
 - (v) *Strategize organizations' short-range and long-range program and project goals, particularly in Organizing and Planning:*
 - 1) identify overall resource development goals and fundraising plan
 - 2) establish, maintain and cultivate relations with donors, foundations and other resources to support organizational programs and activities
 - 3) maintain accountability for current year operating budget and for financial performance of portfolio

Section 1.03 Succession plan in event of a temporary, unplanned absence -- SHORT-TERM

- (a) Definitions
 - (i) *A temporary absence is one in which it is expected that the Senior Executive Officer will return to his position once the events precipitating the absence are resolved.*
 - (ii) *An unplanned absence is one that arises unexpectedly, in contrast to a planned leave, such as a vacation or a sabbatical.*
 - (iii) *A short-term absence is 3 months or less.*
- (b) Who may appoint the Acting Senior Executive Officer
 - (i) *The Board of Directors authorizes the Executive Committee to implement the terms of this emergency plan in the event of the unplanned absence of the Senior Executive Officer.*
 - (ii) *In the event of an unplanned absence of the Senior Executive Officer, the Deputy Director shall immediately inform the Chair of the Executive Committee of the absence.*
 - (iii) *As soon as is feasible, the Chair shall convene a meeting of the Executive Committee to affirm the procedures prescribed in this plan or to make modifications the Committee deems appropriate.*
- (c) Standing appointee to the position of Acting Senior Executive Officer
 - (i) *The Deputy Director shall serve as Acting Senior Executive Officer in the absence of the Senior Executive Officer.*
- (d) First and second back-ups for the position of Acting Senior Executive Officer
 - (i) *Should the Deputy Director be unable to as Acting Senior Executive Officer, the first back-up appointee will be the Program Director. The second back-up appointee will be Chief Financial Officer.*
 - (ii) *In the event the standing appointee, the Deputy Director, is new to the deputy position and fairly inexperienced with LVS, the Executive Committee may decide to appoint one of the back-up appointees to the acting executive position. In the event that any or all of the named positions do not currently exist or are not currently occupied, the Executive Committee may appoint another employee or a board member. The Executive Committee may also consider the option of splitting executive duties among the designated appointees.*
- (e) Cross-training plan for appointees
 - (i) *The Senior Executive Officer shall develop a plan for training potential appointees in each priority function of the Senior Executive Officer which are listed above (section 2). The training plan will be attached to this document when the plan is completed.*
- (f) Authority and restrictions of the appointee
 - (i) *The person appointed as Acting Senior Executive Officer shall have the full authority for decision making and independent action as the regular Senior Executive Officer.*
- (g) Compensation
 - (i) *The Acting Senior Executive Officer shall receive a temporary salary increase to the entry level salary of the Senior Executive Officer position or to 5% above his/her current salary, whichever is less.*
- (h) Board committee responsible for oversight and support to the Acting Senior Executive Officer
 - (i) *As with a Senior Executive Officer, the Executive Committee of the Board will have responsibility for monitoring the work of the Acting Senior Executive Officer. The*

Executive Committee will also be alert to the special support needs that of the executive in this temporary leadership role.

- (i) Communications plan
 - (i) *As soon as possible after the Acting Senior Executive Officer has begun covering an unplanned absence, Board members and the Acting ED shall communicate the temporary leadership structure to the following key supporters external to LVS:*
 - 1) Government contract officers
 - 2) Foundation program officers
 - 3) Civic leaders
 - 4) Major donors

Section 1.04 Succession plan in event of a temporary, unplanned absence -- LONG-TERM.

- (a) Definition
 - (i) *A long-term absence is one that is expected to last more than 3 months*
- (b) Procedures
 - (i) *The procedures and conditions to be followed shall be the same as for a short-term absence with one addition:*
 - 1) The Executive Committee will give immediate consideration, in consultation with the Acting Senior Executive Officer, to temporarily backfilling the management position left vacant by the Acting Senior Executive Officer. This is in recognition of the fact that, for a term of more than 3 months, it may not be reasonable to expect the Acting Senior Executive Officer to carry the duties of both positions. The position description of a temporary manager would focus on covering the priority areas in which the Acting Senior Executive Officer needs assistance.

Section 1.05 Succession plan in event of a PERMANENT unplanned absence.

- (a) Definition
 - (i) *A permanent absence is one in which it is firmly determined that the Senior Executive Officer will not be returning to the position.*
- (b) Procedures
 - (i) *The procedures and conditions shall be the same as for a long-term temporary absence with one addition:*
 - 1) The Board of Directors shall appoint a Transition and Search Committee to plan and carry out a transition to a new permanent Senior Executive Officer.

Section 1.06 Approvals and maintenance of record

- (a) Succession plan approval
 - (i) *This succession plan will be approved by the Executive Committee and presented to the full Board of Directors for its vote and approval.*
- (b) Signatories
 - (i) *This plan shall be signed by the Board Chair and Secretary*
- (c) Maintenance of record
 - (i) *Copies of this plan shall be maintained by the Board Secretary and the Senior Executive Officer.*

Article IX. Whistleblower Policy

Section 1.01 Purpose.

Lions Vision Services require board members, committee members and employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities, and all directors, committee members and employees to comply with all applicable laws and regulatory requirements.

Section 1.02 Reporting Responsibility.

Organizations seek to have an “Open Door Policy” and encourage board members and employees to share their questions, concerns, suggestions or complaints regarding the organization and its operations with someone who can address them properly. In most cases, a board member or committee member should present his or her concerns to the Chair of the Board. The President/CEO is generally in the best position to address an employee’s area of concern. However, if a board member is not comfortable speaking with the Board Chair or is not comfortable with the Board Chair’s response, or if an employee is not comfortable speaking with the President/CEO or if the employee is not satisfied with the President/CEO’s response, the board member, committee member or employee is encouraged to speak with anyone on the Board whom the employee is comfortable in approaching, or to directly contact the organizations’ outside legal counsel, whose contact information can be obtained from the President/CEO.

Section 1.03 No Retaliation.

No board member, committee member, or employee who in good faith reports a violation of a law or regulation requirement shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable persons to raise serious concerns within Organizations prior to seeking resolution outside Organizations.

Section 1.04 Compliance Officer.

Organizations’ President/CEO, working with the Chair of the Board, will act as Organizations’ Compliance Officer. The Compliance Officer is responsible for investigating and resolving all employee complaints and allegations concerning violations of the Principles and/or Code. The Board Chair or his or her designee will take on the Compliance Officer role if the complaint involves the President/CEO. If the complaint involves both the President/CEO and Board Chair, outside legal counsel will carry out the functions of the Compliance Officer.

Section 1.05 Accounting and Auditing Matters.

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

Section 1.06 Requirement of Good Faith.

Anyone filing a complaint concerning a violation or suspected violation of the law or regulation requirements must be acting in good faith and have reasonable grounds for believing the

information disclosed indicates a violation. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.

Section 1.07 Confidentiality.

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

Section 1.08 Handling of Reported Violations.

The Compliance Officer, or the person responsible for carrying out the Compliance Officer’s role with respect to a reported or suspected violation, will acknowledge receipt of the reported violation or suspected violation by writing a letter (or e-mail) to the complainant within five business days. All reports will be promptly investigated and appropriate corrective action will be taken if warranted by the investigation.

Article X. Document Retention Policy

Section 1.01 Purpose

Lions Vision Services (LVS) (“Organization”) take seriously its obligations to preserve information relating to litigation, audits, and investigations.

The information listed in the retention schedule below is intended as a guideline and may not contain all the records the Organization may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the President/CEO.

From time to time, the President/CEO may issue a notice, known as a “legal hold,” suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the President/CEO.

File Category	Item	Retention Period
Corporate Records	Bylaws and Articles of Incorporation	Permanent
	Corporate resolutions	Permanent
	Board and committee meeting agendas and minutes	Permanent
	Conflict-of-interest disclosure forms	4 years
Finance and Administration	Financial statements (audited)	7 years
	Auditor management letters	7 years
	Payroll records	7 years
	Check register and checks	7 years
	Bank deposits and statements	7 years
	Chart of accounts	7 years
	General ledgers and journals (includes bank reconciliations)	7 years

	Investment performance reports	7 years
	Equipment files and maintenance records	7 years after disposition
	Contracts and agreements	7 years after all obligations end
	Correspondence — general	3 years
Insurance Records	Policies — occurrence type	Permanent
	Policies — claims-made type	Permanent
	Accident reports	7 years
	Safety (OSHA) reports	7 years
	Claims (after settlement)	7 years
	Group disability records	7 years after end of benefits
Real Estate	Deeds	Permanent
	Leases (expired)	7 years after all obligations end
	Mortgages, security agreements	7 years after all obligations end
Tax	IRS exemption determination and related correspondence	Permanent
	IRS Form 990s	7 years
	Charitable Organizations Registration Statements (filed with South Carolina Secretary of State)	7 years
Human Resources	Employee personnel files	Permanent
	Retirement plan benefits (plan descriptions, plan documents)	Permanent
	Employee handbooks	Permanent
	Workers comp claims (after settlement)	7 years
	Employee orientation and training materials	7 years after use ends
	Employment applications	3 years
	IRS Form I-9 (store separate from personnel file)	Greater of 1 year after end of service, or three years
	Withholding tax statements	7 years
	Timecards	3 years
Technology	Software licenses and support agreements	7 years after all obligations end

Section 1.02 Electronic Documents and Records.

Electronic documents will be retained as if they were paper documents. Therefore, any electronic files that fall into one of the document types on the above schedule will be maintained for the appropriate amount of time. If a user has sufficient reason to keep an e-mail message, the message should be printed in hard copy and kept in the appropriate file or moved to an “archive” computer file folder. Backup and recovery methods will be tested on a regular basis.

Section 1.03 Emergency Planning.

The Organization’s records will be stored in a safe, secure, and accessible manner. Documents and financial files that are essential to keeping the Organization operating in an emergency will be duplicated or backed up at least every week and maintained off-site.

Section 1.04 Document Destruction.

The President is responsible for the ongoing process of identifying its records, which have met the required retention period, and overseeing their destruction. Destruction of financial and personnel-related documents will be accomplished by shredding.

Document destruction will be suspended immediately, upon any indication of an official investigation or when a lawsuit is filed or appears imminent. Destruction will be reinstated upon conclusion of the investigation.

Section 1.05 Compliance.

Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the Organization and its employees and possible disciplinary action against responsible individuals. The President/CEO and Board Chair will periodically review these procedures with legal counsel or the organization’s certified public accountant to ensure that they are in compliance with new or revised regulations.

Article XI. Revisions

The LVS Administrative Policy Manual may be revised by a majority vote of the Board of Directors of those present and voting at any regular or specially called Board meeting.

Article XII. Distribution

This Administrative Policy Manual and approved revisions shall be distributed by electronic media to all LVS Board Members, the MD 32 Council of Governors, LVS and Committee Chairpersons, the LVS CEO and any International Officers, past or present, residing in MD 32.

This ADMINISTRATIVE POLICY MANUAL was approved by the Bylaws and Policy Manual Committee under authority of the LVS Bylaws, dated 4/18/2017 as amended, and APPROVED by the Board of Directors of Lions Vision Services this ____ day of _____ 2018.

Daniel J. Prohaska, MA, CFRE
Chairman

Shirley Ballard
Secretary