

<u>Policy #</u>	<u>Description</u>
1	Code of Conduct
2	ALA Code of Ethics
3	Expense Voucher Process (2 parts)
4	
5	Fixed Asset Capitalization Policy
6	Fraud & Whistleblower Policy
7	Investment Policy Statement
8	Confidentiality Agreement
9	Conflict of Interest Statement (Executive Committee)
10	DELETED – budget timeline process
11	National Convention Privileges
12	Check Signing Policy
13	Contract Approval & Signature Authority Policy
14	Record Retention and Disposal Policy (2 parts)
15	National Leadership Fund
16	Borrowing of Funds Policy
17	Solicitation of Funds (2 parts)
18	Girls State Code of Conduct
19	Unit Procedure for Charter Cancellation (5 parts)
20	Electronic Communication, Internet & Social Media
21	Annual IRS Form 990

Department Appointment Acceptance Form

Scholarship-PPP not being used by students – letter from Sandie Deutsch



American Legion Auxiliary

A Community of Volunteers Serving Veterans, Military, and their Families

POLICY #1

American Legion Auxiliary Code of Conduct

The American Legion Auxiliary (ALA) Code of Conduct describes the principles of good behavior expected of all ALA members. A member's participation in the American Legion Auxiliary is a privilege, not a right. The ALA expects every member to understand and abide by the Code of Conduct, and to exemplify the spirit of the principles of this Code. Every ALA member is expected to conduct herself in accordance with this Code of Conduct in order to foster and sustain a spirit of goodwill in the organization.

Pledge to Abide by the ALA Code of Conduct

A written pledge will include a signed and dated statement by a member that she has read and understands the American Legion Auxiliary's Code of Conduct, agrees to abide by the principles of good behavior described therein, and understands that violation of any part of the Code may result in disciplinary action as allowed by the ALA.

A member's pledge to abide by the Code of Conduct will include her statement that a) she understands she represents the American Legion Auxiliary (ALA) and that her behavior reflects upon The American Legion Family at all levels, b) understands and agrees to adhere to the highest ethical standards to earn and protect the public's trust in carrying out the Auxiliary's mission, and c) agrees to be a good steward of ALA resources.

To fulfil the obligations of membership in the American Legion Auxiliary, a member serving in any capacity representing the ALA is expected to pledge to uphold the following standards of conduct:

- To conduct herself with dignity, displaying good manners and good morals at all times.
- To respect the dignity of all persons and not bully, nor physically, mentally, or psychologically abuse any other person.
- To demonstrate a high regard for the ALA mission, rendering quality service to veterans, our military, their families, the community, and The Legion Family at all levels.
- To value all members regardless of their ability to participate in ALA meetings, events, or projects.
- To be kind, considerate, and welcoming to members of all ages, ethnicities, and abilities, regardless of their appearance or years of membership.
- To be a good citizen and a good neighbor by obeying local, state and federal laws and regulations.
- To abide by all governing documents of the American Legion Auxiliary.
- To respect the property of the ALA and The Legion Family, her personal property and the property of others; and to not abuse nor tolerate the abuse of property.

American Legion Auxiliary Department of Minnesota

State Veterans Service Bldg. - 20 W. 12th St. Suite #314 - St. Paul, MN 55155 | P: (651) 224-7634 | F: ((651) 224-5243 | (888) 217-9598
deptoffice@mnala.org | Website: www.mnala.org

- To not abuse or tolerate the abuse of alcohol; to not use illegal drugs or tolerate the illegal use of drugs.
- To honor and fulfil her commitments and financial obligations to the American Legion Auxiliary in a timely manner.
- To be honest, helpful, and to not undermine others.
- To challenge all members to abide by this Code and appropriately address those who violate the ALA Code of Conduct.



American Legion Auxiliary Department of Minnesota Code of Ethics

Policy #2

This Code of Ethics serves as a guide for conduct acceptable within the American Legion Auxiliary Department of Minnesota.

As a matter of fundamental principle, the American Legion Auxiliary will adhere to the highest ethical standards to earn and protect the public's trust in our performance to carry out the Auxiliary's mission, uphold rigorous standards of conduct, and be good stewards of our resources.

The American Legion Auxiliary, as witnessed through the conduct of its governing body, officers, staff, and volunteers, must earn the public's trust every day and in every possible way. Department leaders are expected to abide by all laws and demonstrate their ongoing commitment to the core values of integrity, honesty, fairness, openness, responsibility and respect.

The American Legion Auxiliary strongly recommends that affiliated organizations at all levels adopt a Code of Ethics and conduct themselves accordingly.

In keeping with the best practices of high performing nonprofit organizations, it is the expectation of the American Legion Auxiliary that its business standards, operations, and conduct conform to the following Code of Ethics.

Personal and Professional Integrity

All members, volunteers, and staff of the American Legion Auxiliary act with honesty, integrity, and openness in all their communication, business, and transactions as representatives of the American Legion Auxiliary (organization). The organization promotes an environment that values fairness and commitment to the organization's founding principles and demonstrates respect for others.

Department officers, board members, staff, and volunteers shall conduct their personal and professional lives in a manner befitting the organization's mission and values, recognizing that their actions reflect upon the creditability and reputation of the American Legion Auxiliary.

Department officers, board members, staff, and volunteers shall work to positively influence their environment to build respect, creditability, and strategic importance of our organization to the public, our members, and the communities we serve.

Legal Compliance

The American Legion Auxiliary is knowledgeable of and comply with all applicable federal, state and local laws and regulations, including but not limited to: complying with laws and regulations related to

human resources, financial accountability, taxation, fundraising, trademark protection, and licensing.

Department officers, board members, staff, and volunteers shall exercise due diligence in obtaining information on applicable laws and regulations for their jurisdiction.

Department officers, board members, staff, and volunteers shall recognize that compliance with applicable laws is a paramount standard.

Governance

The American Legion Auxiliary's Department governing body is responsible for setting the strategic direction of the organization and oversight of the finances, operations, policies and programmatic performance.

The governing body of the American Legion Auxiliary shall:

- Ensure that the organization conducts all communication, business, and transactions with integrity and honesty;
- Ensure that policies of the organization are in writing, clearly articulated, and officially adopted;
- Ensure periodic review of the organization's structure, procedures and programs to determine what is working well and what practices the organization might want to change in order to be more efficient, effective or responsible.
- Ensure that the resources of the organization are responsibly and prudently managed;
- Ensure that the organization has the capacity to carry out its programs effectively.

Responsible Stewardship

The boards, officers, staff, and volunteers of the Auxiliary are responsible for managing and preserving the organization's assets. Officers, board members, staff, and volunteers are expected to understand their fiduciary responsibilities so that the charitable purposes of the organization are carried out and assets are properly safeguarded and managed.

Officers, board members, appropriate volunteer leaders and staff shall ensure that:

- Financial reports are created and maintained on a timely basis and that accurately portray its financial status and activities.
- Internal financial statements are provided accurately and timely.
- Annual financial reports are made available to the public.
- Employees, national leaders, and members are provided a confidential means to report suspected financial impropriety or misuse of its resources.
- Written financial policies governing management and investment of assets and reserve accounts, internal control procedures, and purchasing practices are developed and implemented.

Openness and Disclosure

The American Legion Auxiliary will provide comprehensive and timely information to the public, the media, and its members, and is responsive to reasonable requests for information. All information about the organization will fully and honestly reflect the policies and the practices of the organization.

Conflict of Interest

The organization has the right to expect that the decisions made by the national boards, officers, staff, and volunteers of the Auxiliary are made objectively and in the best interest of the organization.

To avoid the appearance of impropriety by those who could benefit directly or indirectly from any action by the Auxiliary, the organization shall develop, adopt and implement a conflict of interest policy.

Such policy shall include requirements to fully disclose all potential and actual conflicts of interest and prohibitions on activities that conflict with legal, ethical, and fiduciary obligations to the organization.

Fundraising

The organization shall take care to ensure that all means and materials for solicitation accurately and correctly reflect its mission and use of solicited funds. The American Legion Auxiliary shall respect the privacy concerns of individual donors and expend funds consistent with donor intent.

To assure that donors and prospective donors can have full confidence in the organization and the causes they are asked to support, the Auxiliary will respect the following rights of donors:

- 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.
- 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.
- To have access to the organization's most recent financial statements.
- To be assured their gifts will be used for the purposes for which they were given.
- To receive appropriate acknowledgement and recognition.
- To be assured that information about their donation is handled with respect and with confidentiality to the extent provided by law.
- To expect that all relationships with individuals representing the American Legion Auxiliary will be professional in nature.
- To be informed whether those seeking donations are volunteers, employees of the organization or hired solicitors.
- To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

Grant Making

The American Legion Auxiliary shall have specific stated responsibilities in carrying out grant programs. These responsibilities include the following:

- A formal and consistent application process which includes defined eligibility.
- Fair and equitable selection criteria.
- Assurance of applicant privacy
- Clear, timely and respectful communications throughout the application process

Inclusiveness and Diversity

The organization recognizes the value of the diverse backgrounds and beliefs of its membership. The organization promotes an atmosphere of mutual respect for the worth and dignity of its members, those eligible to become members and those we serve.

Ethics Violations

Any member may report a violation of ethical conduct or actions contrary to the governing doctrine without fear of retaliation.

The organization considers all inquiries and complaints about actions of members to be strictly confidential.

Ethics Query – An ethics query is a means for inquiring whether or not a practice warrants filing a complaint alleging a violation of the Code. Anyone may register a query of a possible violation of the Code by a member.

The organization shall adopt a procedure to administer the ethics query process.

Ethics Complaint – An ethics complaint provides a process for receiving, investigating and acting on a violation of the Code made against any member or staff and provides a process that is fair, responsible, confidential and consistent.

The organization shall adopt a procedure to administer the complaint process.

Whistleblower Protection

A whistleblower is any member who, in good faith, promptly reports instances of any suspected violation of the Code. The American Legion Auxiliary shall establish and abide by policies to protect the Auxiliary.

Any member who acts maliciously by making known information she knows or reasonably believes to be false is not a whistleblower and will not be protected under the whistleblower mechanism.

The organization expects improper activity to be reported accurately and will protect whistleblowers from retaliation.

The organization will investigate any allegation that a whistleblower has been retaliated against for disclosing information that the whistleblower believed to have been accurate. Any member who believes she been retaliated against for whistle blowing is expected to report it immediately. If the complaint is validated, the organization can impose disciplinary sanctions against the retaliating member including termination of membership in the organization.



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org

Policy #3

March 23, 2013

Process on filling out and submitting an expense voucher for reimbursement.

Request a form from the Department Office or download a form from the Department Website at mnala.org.

We need each individual to complete their own voucher and submit it for payment no later than one week after the expense/function occurred. You are accountable for mileage and should check your odometer when starting out and also when returning home. The Department will reimburse mileage at \$.40 per mile from your starting point, to the Auxiliary function and back to your home. By you jotting down your starting mileage and ending mileage we will be able to be much more accurate than trying to "pre-figure" mileage for each individual.

For per diem we need the dates of per diem you are entitled to, the function you are attending and a total amount to be reimbursed. If you are unsure of the amount of per diem for the function you are attending you can either call the Department Office or look at the Department Standing Rules which are available on the Department Website at mnala.org.

List each expense you are to be reimbursed for and make sure to attach any receipts for those expenses.

Please remember that you need to turn in your voucher and applicable receipts no later than one (1) week following the function you have attended. If you have any problems or need further assistance please contact the Department Secretary.



EXPENSE VOUCHER

American Legion Auxiliary
Department of Minnesota
20 W 12th St. #314
St. Paul, MN 55155

NAME: _____

MILEAGE @ \$.40 PER MILE

Date	Miles	From	To	Amount Due
			Subtotal	

PER DIEM

The IRS advises the amount of per diem paid in excess of your actual expense is subject to Federal Income Tax.

You are advised to retain an itemized account of your actual expense.

Date	Event/Explanation	Amount Due
	Subtotal	

EXPENSES (Receipts must be attached)

Date	Allowable Expense	Amount Due
	Subtotal	
	Grand Total Due	

Signature: _____

Date: _____

Approved by: _____

Date: _____



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org

October 2014
Revised: October 2016

Policy #5

FIXED ASSET CAPITALIZATION POLICY

This accounting policy establishes the minimum cost that shall be used in capitalizing fixed assets to the balance sheet of the American Legion Auxiliary, Department of Minnesota (“ALA-MN”). All individual items purchased with a cost below \$2,500 will be expensed in the year of purchase unless the Executive Committee or Finance Committee of ALA-MN should deem, on a case by case basis, that capitalizing an item with a cost below \$2,500 is warranted to protect that asset.



American Legion Auxiliary

Department of Minnesota

State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy 6

FRAUD AND WHISTLEBLOWER POLICY DEPARTMENT OF MINNESOTA

Reviewed by: Department of Minnesota Auditing Committee
Approving Body: Department of Minnesota Executive Committee

Reviewed on: August 8, 2015
Approved on: Oct 22, 2015

Policy Statement

It is the Department of Minnesota policy of the American Legion Auxiliary (ALA) a state public benefit 501(c)(19) not-for-profit Veterans Service Organization, Department of Minnesota office location in St. Paul, Minnesota, to provide a culture and process that encourages, receives, retains and resolves complaints arising from "whistleblower" communications concerning any questionable accounting or auditing matters, potential fraud or illegal or irregular activities suspected or committed by members of ALA's Department of Minnesota Executive Committee, Department Officers, Department Chairs, members of a committee with Department executive delegated powers, Department appointees and Department office staff.

Policy Definitions

Fraud is defined as a willful or deliberate act with the intention of obtaining an unauthorized benefit, such as money or property, by deception or other unethical or illegal means. Fraudulent acts covered under this policy include, but are not limited to:

- Forgery or illicit alteration of documents (checks, promissory notes, time sheets, expense reports, independent contractor agreements, purchase orders, budgets, etc.)
- Misrepresentation of information on documents.
- Misappropriation of funds, inventory, securities, supplies, or any other asset.
- Theft, disappearance, or destruction of any asset.
- Improprieties in the handling of reporting of money or financial transactions.
- Issuing false or misleading financial statements, tax returns or other forms of financial information whether for internal or external use.
- Authorizing or receiving payments for goods not received or services not performed.
- Authorizing or receiving payment for hours not worked.
- Any apparent violation of Federal, State or Local laws related to dishonest activities or fraud.

Employee: In this context, Employee is defined as any individual who receives compensation, either full or part time, from the ALA. The term also includes any consultant or independent contractor who provides services to the ALA through a contractual arrangement with the ALA.

Management: In this context, Management is defined as any officer, administrator, manager, director, supervisor, or other individual who manages or supervises employees, funds or other resources.

Volunteers: In this context, Volunteers are defined as Department Officers, Department Executive Committee members, Department appointees, providing non-compensated services to the ALA.

Whistleblower: In this context, Whistleblower is defined as one who raises a concern about or reveals suspected misconduct or wrongdoing occurring in the organization to those in positions of authority.

Policies

1. Members of ALA's Department of Minnesota Executive Committee, Department Officers, Department Chairs, members of a committee with Department executive delegated powers, Department appointees and Department office staff shall follow the ALA Fraud and Whistleblower procedures and report any suspected fraudulent activity to the ALA Department of Minnesota Audit Committee.
2. Members of ALA's Department of Minnesota Executive Committee, Department Officers, Department Chairs, members of a committee with Department executive delegated powers, Department appointees and Department office staff shall exercise due care when reporting suspected fraudulent activities.
3. The ALA shall promptly investigate any suspected fraudulent or dishonest activity against the ALA. The ALA Department of Minnesota Audit Committee shall determine the nature, scope, timing and extent of all investigative activities.
4. When appropriate, based on a finding of fraud, the ALA shall take appropriate disciplinary actions and pursue legal remedies available under the law against members of ALA's Department of Minnesota Executive Committee, Department Officers, Department Chairs, members of a committee with Department executive delegated powers, Department appointees and Department office staff including, but not to be limited to, the possibility of termination of employment, restitution, and forwarding information to appropriate authorities for criminal prosecution or other legal remedies.
5. Members of ALA's Department of Minnesota Executive Committee, Department Officers, Department Chairs, members of a committee with Department executive delegated powers, Department appointees and Department office staff shall be protected from retaliatory actions in accordance with Federal and Minnesota laws.
6. The ALA Department of Minnesota Audit Committee is empowered to undertake its own investigation or solicit the assistance of its independent auditors, legal counsel or other resources to investigate suspected fraud.

7. All ALA Department of Minnesota assets shall be subject to inspection when reasonable suspicion of fraudulent activity exists that makes such inspection appropriate. The ALA Department of Minnesota Audit Committee shall have full and unlimited access to all of Department of Minnesota ALA's contents and possessions including but not limited to furniture and equipment, electronic devices, digital devices, telephonic devices and all information stored on said devices.
8. There shall be no assumption of privacy during the performance of an investigation of fraud.

Department of Minnesota American Legion Auxiliary (ALA)

Investment Policy Statement November 2015

Policy #7

PURPOSE

The purpose of this Investment Policy Statement (IPS) is to assist the Department of Minnesota of the American Legion Auxiliary (ALA) and the current investment company (Advisor) in effectively supervising, monitoring and evaluating the investment of the ALA's Portfolio (Portfolio). The ALA's investment program is defined in the various sections of the IPS by:

- Providing a written document with ALA's objectives, expectations, policies, procedures and guidelines for the investment of assets.
- Setting forth an investment structure for managing ALA's Portfolio. This structure includes various asset classes, asset allocation and acceptable ranges that in total are expected to produce an appropriate level of overall diversification and total investment return over the investment time horizon.
- Encouraging effective communications between ALA and the Advisor.
- Establishing a method to measure performance.
- Complying with all applicable fiduciary, prudence and due diligence requirements experienced investment professionals would utilize, and with all applicable laws, rules and regulations from various local, state, federal, and international political entities that may impact the Client's assets.

STATEMENT OF OBJECTIVES

This IPS describes the investment process the Advisor deems appropriate, given the completed investor profile and other needs and objectives that have been communicated to the advisor by the investment committee for ALA's situation. ALA desires to maximize returns within prudent and pre-determined levels of risk and to meet the following stated financial goals:

Objectives to all pools:

- Outpace inflation over time
- Maximize total returns in line with the stated time horizon and risk tolerance
- Invest in a diversified portfolio utilizing cash, fixed income and equity type investments.
- Allow for the portfolio to make budgeted periodic distributions as needed.

TIME HORIZON

Because ALA is a going concern entity with no life expectancy, the investment guidelines can be based upon an investment time horizon of greater than 10 years. Therefore, interim fluctuations should be viewed with appropriate perspective. Short-term liquidity requirements are anticipated to be minimal, but will be necessary at times to help with seasonal operating cash flows.

EXPECTED RETURN

ALA desires that the portfolio both outpace inflation while at the same time earning a return reasonably consistent with other notable industry benchmarks utilizing a similar asset allocation that is consistent with the risk profile provided by ALA. The advisor can provide an updated comparison when necessary or during a review.

RISK TOLERANCES

ALA recognizes and acknowledges that some risk must be assumed in order to achieve long-term investment objectives, and there are uncertainties and complexities associated with contemporary investment markets. Here is a list of just some of the risks involved. First off, both systematic and unsystematic risks exist. Systematic being the risk of problems associated with the entire economy, and unsystematic being the risk associated with owning a specific security. There are equity risks due to things like market capitalization size or investment style such as growth vs value, or international location and currency risk. There are also fixed income risks such as interest rate risk, credit risk, inflation risk and even liquidity risk. ALA recognizes that all of these and even other risks preside.

In establishing the risk tolerance of this IPS, ALA's ability to withstand short term and intermediate term and even long term variability was considered. ALA's prospects for the future, current financial condition and several other factors suggest collectively that interim fluctuation in market value and rates of return consistent with the investment allocation can be tolerated in order to achieve the longer-term objectives.

ALA recognizes that one of the most important things to do to help manage the risk of volatile markets and uncertainty is to allocate between asset classes and then diversify within each class.

ASSET CLASS PREFERENCES & RISK

ALA understands long-term investment performance, in large part, is primarily a function of asset class mix. ALA has reviewed the long-term performance characteristics of the broad asset classes, focusing on balancing the risks and rewards. History shows us while interest-generating investments, such as bond portfolios, have the advantage of relative stability of principle value; they provide little opportunity for real long term capital growth due to their susceptibility to inflation. On the other hand, equity investments, such as common stocks, clearly have a significantly higher expected return but have the disadvantage of much greater year by year variability of return.

From an investment decision making point of view, this year by year variability of equity investments can be worth accepting, provided the time horizon for the equity portion of the portfolio is sufficiently long (10 years).

ALA acknowledges the risks associated with both equity and fixed income investing.

ALA has considered traditional asset classes for inclusion in the target allocation, and has decided not to place any limitations/restrictions on the portfolio.

REBALANCING OF TARGET ALLOCATION

It is understood that the allocation to each asset class will vary over time given changes in the financial markets. The advisor will determine when and what trades to make in order to get back to the prescribed portfolio. ALA desires to keep each asset class within the prescribed range noted on the current investment policy (attached).

MEASURING PERFORMANCE

ALA and the advisor will utilize the advisor's in-house performance reporting tool to monitor portfolio performance. This tool measures returns for the account net of fees over various periods of time. The tool also allows for reasonable comparisons of results against industry benchmarks with similar allocations.

PROCEDURE TO CHANGE IPS

The Investment Policy statement may be changed. The IPS should be reviewed annually. The investment committee is made of the finance committee and the audit committee members. The investment committee representative shall be the finance committee member who has been on that committee for four years.

If the Advisor contacts the American Legion Auxiliary Department of Minnesota office of Treasurer/Executive Secretary stating a need to change or review the IPS, the Department Treasurer shall contact the investment committee representative. The investment committee representative shall canvas the investment committee members as to a recommendation to change the IPS and to determine if an immediate need exists. The investment committee representative shall contact the Department President and Department Executive committee as to the recommendation to change the IPS. The Department Executive committee will enact or reject the investment committee's recommendation.

OTHER PROCEDURES ADDED (POST AUDIT JANUARY 2016)

1. Any one person, who is an authorized account signer, cannot request a withdrawal for more than \$100,000 from the investment account without additional authorization from the Investment Committee.
2. If the Investment Advisor has any concerns regarding the investment account, he/she should contact the Investment Committee Secretary.

Approved March 5, 2016 by the DEC



American Legion Auxiliary

A Community of Volunteers Serving Veterans, Military, and their Families

POLICY #8

CONFIDENTIALITY AGREEMENT

It is the policy of the American Legion Auxiliary to maintain the confidentiality of sensitive information and to take reasonable steps to protect and secure confidential information that is pertinent to the business and services of the organization.

Officers, board members, committee members, and volunteers with the American Legion Auxiliary shall maintain the confidentiality of any information concerning legal, sensitive business, and personnel matters. Officers, board members, committee members, and volunteers shall not disclose information about donors and donations without express permission, or information concerning personnel, sensitive business and legal matters that may directly or inadvertently become known to the officers, board members, committee members, and volunteers.

As an officer, past officer, or member of the governing board or of a national committee, I recognize that certain written and verbal information provided to me in my capacity as an Auxiliary leader is intended only for my personal use and is not to be disclosed, copied, distributed, made available, or communicated to others. I will exercise caution and care in the handling of documents and material that have been provided and entrusted to me.

I recognize and understand my responsibility for protecting confidentiality, and agree to abide by this policy at all times.

(Signature)

(Date)

(Name Printed)



American Legion Auxiliary

A Community of Volunteers Serving Veterans, Military, and their Families

POLICY #9

American Legion Auxiliary Department of Minnesota Board of Directors (Executive Committee) Conflict of Interest Policy Statement

It is the policy of the American Legion Auxiliary Department of Minnesota that no member of the Board of Directors (Executive Committee) shall gain financially from any decision or matter brought before the Executive Committee.

It is the policy of the American Legion Auxiliary Department of Minnesota that all members of the Executive Committee shall disclose and avoid any conflict of interest pertaining to any decision or matter brought before the Executive Committee in which of member of her immediate family has an interest, financial or otherwise.

It is the policy of the American Legion Auxiliary Department of Minnesota that no member of the Executive Committee shall utilize his or her position as a member of the Executive Committee to disclose donor or financial information or any decision or matter brought before the Executive Committee which causes another civic, charitable, or not-for-profit organization to which the board member has an employment or leadership relationship to gain financially.

No such member of the Executive Committee may participate in any discussion of any matter before the Executive Committee when such matter would result in a conflict of interest or financial gain or loss to a member of the Board; to a member of her immediate family; or to another civic, charitable, or not-for-profit organization to which the board member has employment or leadership relationship. Such matters would include, but not be limited to, contracts to furnish goods and services, lease or purchase agreements of real or personal property, solicitation of donations, or such like matters which would result in conflict of interest or a financial gain or loss.

Upon learning that a matter before the Executive Committee would create a conflict of interest, that Executive Committee member must make a full disclosure to the Executive Committee of her interest in such matter, and the member shall not further participate in any discussion of or decision on such matter. The failure of a member to make a disclosure as described in this policy may result in the voidance of such an agreement, contract, lease or matter at the discretion of the Executive Committee, and may result in Executive Committee removal action.

For purposes of this policy, the term "immediate family" shall mean an Executive Committee member's spouse, child(ren), grandchild(ren), and the brothers, sisters, parents, grandparents, nieces or nephews of an Executive Committee member or her spouse.

I have read and understand the aforementioned Conflict of Interest Policy Statement and will comply with each point as stated herein.

L

(Signature)

(Date)

(Printed Name)



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy #11

National Convention Privileges Policy

Reviewed by: __Department Executive____ **Reviewed on:** __March 4, 2017____

Approving Body: __Dept. Exec. Committee__ **Date Approved:** __July 12, 2017__

It is the policy of the Department of Minnesota American Legion Auxiliary, to bestow the privileges of the following appointments to the Districts of Minnesota:

1. The Districts of Minnesota that achieve the first and second highest percentages in membership, 30 days prior to Department Convention, will have one member from each of those districts serve as the Minnesota Pages during the National Convention. The District with the highest percentage will be the Department President's Page and the District with the second highest percentage will be the Department Secretary's Page. The Districts with the third and fourth highest percentage will serve as the Color Bearers while participating in the National Parade which is held during the National Convention. The District with the third highest percentage will carry the American Flag and the District with the fourth highest percentage will carry the Auxiliary Flag.
2. The District of Minnesota that achieves the fifth and sixth highest percentages in membership 30 days prior to Department Convention, will have one member from each of those districts serve as the Honor Guards while participating in the National Parade which is held during the National Convention.



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy #12

Check Signing Policy

Reviewed by: __Finance Committee____ **Reviewed on:** __July 12, 2017____

Approving Body: _Dept. Executive Committee **Date Approved:** July 12, 2017

It is the policy of the Department of Minnesota American Legion Auxiliary, a 501(c)(19) not for profit Veterans Service Organization, St. Paul, Minnesota, to maintain check signing authority parameters as part of its overall system of financial internal controls.

Policies

1. All checks written by the American Legion Auxiliary, Department of Minnesota shall require two (2) signatures on each check written.
2. One of the signatures must always be that of the Department Executive Secretary or the Department Treasurer. In the event that the Department Executive Secretary or the Department Treasurer is unavailable the second signature will be that of the Department President or the Junior Past Department President.



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy #13

Contract Approval and Signature Authority Policy

Reviewed by: __Finance Committee__

Reviewed on: __July 12, 2017__

Approving Body: _Dept. Exec. Committee

Date Approved: July 12, 2017__

Policy Statement

The American Legion Auxiliary Department of Minnesota Executive Committee (DEC) in complying with the corporate laws of the State of Minnesota and in keeping with corporate governance standards and acceptable business practices authorizes appropriate American Legion Auxiliary Department Headquarters officers to execute and enter into agreements on its behalf.

Policy

1. The Department President and Department Executive Secretary shall have the authority to execute contracts and agreements on behalf of the American Legion Auxiliary for goods and services consistent with matters within the approved American Legion Auxiliary Department of Minnesota Headquarters budget.
2. The Department Executive Secretary shall ensure that all contracts bear original signatures.
3. The Department Executive Secretary shall make certain that the organization maintain in safekeeping all fully executed original-signature contracts and agreements, clearly identified as such.
4. The Department Executive Secretary shall not enter into contracts, agreements, and memorandums of understanding for matters that are not within the scope and confines of the Departments budget approved by the DEC.



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org - Website - www.mnala.org

Policy #14

Record Retention and Disposal Policy

Prepared by: Department Headquarters Staff Reviewed by: Department Finance Committee

Date approved: July 12, 2017 Approved by: Department Executive Committee

1. Purpose

- A. Both federal and state law require that the American Legion Auxiliary Department Headquarters (“Auxiliary”) maintain many types of Records for specified periods. Failure to abide by these laws can subject the Auxiliary, and in some cases individual employees, to fines and other penalties. As a result, this Policy is designed to provide employees with guidance as to the storage, retention, and destruction of Auxiliary Records. As used in this Policy, the term “Records” includes any document or material, whether in electronic or hard copy form, that is generated or received by the Auxiliary in the course of business.
- B. The Auxiliary expects employees to fully abide by the terms of this Policy, as well as any other record retention policies or schedules that the Auxiliary may adopt in the future. Failure to comply with this Policy will subject employees to discipline up to and including discharge. If employees have any questions about the term or application of this Policy, they should contact the Department Secretary or Department Treasurer.

2. Application

- A. The Auxiliary’s Department Secretary will serve as the “Records Manager” for the purpose of developing, implementing and enforcing this Policy. The Auxiliary’s Document Coordinator will be responsible for ensuring all employees of the Department understand the Auxiliary’s Record Retention Policy and its related procedures and will authorize the destruction of untimely Records in accordance with the Schedule of General Retention Periods.

3. Documents Relevant to Actual or Potential Litigation and Governmental Investigations and Proceedings

- A. If the Auxiliary is confronted with or contemplates potential or actual litigation, or a potential or actual governmental investigation or proceeding, the Auxiliary has a duty to preserve Records, including electronic data, emails and other documents that may be relevant to the potential or actual litigation or governmental investigation or proceeding. Consequently, upon the direction of a member of Auxiliary management that certain Records may be relevant to actual or potential litigation, or a potential or actual governmental investigation or proceeding, employees have an obligation to preserve such Records until Auxiliary management informs employees that the Records are no longer needed. Such obligation includes turning off any automatic delete functions related to email, voice mail, text messages and instant messages. Additionally, no employee may discard Records based on a concern by the employee or others that the Records could be harmful in potential or actual litigation or a potential or actual governmental investigation or proceeding. Accordingly, the retention period for the Records potentially relevant to potential or actual litigation or governmental investigations or proceedings supersedes any established retention period identified in the Schedule of General Retention Periods. Failure of employees to abide by these policies can carry severe civil and criminal penalties, as well as disciplinary action up to and including termination of employment.

4. Schedule of General Retention Periods

Subject Document	Recommended Retention Period
Accounting	
Accounts Payable	CY + 7 years
Journals and related Trace Reports	
Invoices	
Vouchers (payment to vendors, volunteers, staff – include expense sheets)	CY + 7 years
Cancelled checks	CY + 10 years
Cancelled checks (important payments)	Permanent
Accounts Receivable	CY + 7 years
Zero balance books	
Accounts to 3 rd party letter writer	
Accounts to collection agency	
Journals and related Trace Reports	
Invoices	
Audit reports and audited (external) financial statements	Permanent
Internal Audit work papers	7 years
Interim Budget-actual (internal) financial reports	CY + 7 years
Year-end budget-actual (internal) financial reports	Permanent
Bank statements and reconciliations	10 years
Budgets – annual, adopted	7 years
Capital expenditure vouchers	Life of item + 10 years
Chart of Accounts	Permanent
Check registers	CY + 7 years
Financing/Loan/Line of Credit	Term + 6 years
General Ledgers	Permanent
Journal entry postings to General Ledger	7 years
Monthly trial balances	7 years
Membership deposit edit reports	7 years
Petty cash vouchers	7 years
Subsidiary Ledgers	Permanent
Claims	
Accident reports/claims (settled)	7 years after settlement
Communications (Public)	
Press releases/public statements	Permanent
News Articles	Permanent
Computer and Voice Mail System Back-Up Records	
Back-Up Records related to duplicate copies of electronic data issued for disaster recovery due to data loss from a catastrophic event, users error or hardware errors	Not less than 30 days
Records related to deleted emails, instant messages and text messages	Not less than 30 days
Voice Mail messages	Not less than 30 days
Disk and hard drives of computers provided to employees Separated from employment. Do not erase, however, without consulting the Department Secretary	Not less than 30 days

Subject Document	Recommended Retention Period
Corporate/Administration	
Annual Reports	CY + 10 years
Charter Documents	
Articles of Incorporation	Permanent
Constitution/Standing Rules	Permanent
Department Executive Committee	
Written Communications, including Financials	Permanent
DEC Meeting Minutes	Permanent
DEC Meeting Notices (calls)	Permanent
Conflict of Interest-DEC, Officers, Chairman	Tenure + 5 years
DEC and Officers names and addresses	Tenure + 5 years
Resolutions	Permanent
Bonds, Surety	Life of bond + 6 years
Contracts, mortgages, leases	Term + 10 years
Department Finance Committee Minutes	Permanent
Policy, Procedures and Training Manuals	Current + 10 years
Personal Property (incl. inventory) records	10 years after disposition
Strategic Plans	Permanent
Trademark registrations and copyrights	Permanent
Correspondence (via paper or email)	
General (important, accounting related)	7 years
Legal or tax related	Permanent
All others	Period needed for business purposes
Employment/Human Resources	
Payroll Reports (includes withholding tax info)	5 years
Personnel files (terminated)	Termination + 5 years
Personnel records relevant to litigation or government Action	Disposition of Action
Social Security Reports	7 years
Staff in-service logs and employee trainings	5 years from training date
W-4's, W-2's	5 years
Advertisements for employment	1 year
Applications and resumes of non-employees	1 year
Attendance records/FMLA leave and documents describing policies	3 years
Employee benefit plans subject to ERISA	Period that plan or system is in effect + 6 years
Employee benefit plans not subject to ERISA	1 year
Employment eligibility verification (form I-9)	3 years after hire/1 year after termination or separation, whichever is later
ERISA reports	CY + 6 years
Human resources policies, handbooks, manuals and Procedures	Life + 10 years
Job Descriptions (after completion)	6 years
Medical records for employees with occupational exposure to blood borne pathogens	CY + 30 years
Professional licenses and permits	Permanent
Organizational Charts	Life + 2 years
OSHA: Log and summary or recordable occupational injury or illness, supplemental record, annual summary	5 years
Reasonable accommodation requests (ADA)	2 years
Retirement and pension records	Permanent
Seniority or merit rating systems	Period plan is in effect + 1 year
Wage rate/wage change documentation	CY + 3 years

Subject Document	Recommended Retention Period
Environmental	
Fire Disaster Preparedness Plan	Permanent
Grants	
Approved grant applications (AEF, Scholarships, etc.)	5 years after project completion and after audit
Unapproved grant applications	5 years
HIPAA	
Privacy Rule or Security Rule Policies and Procedures	Permanent
Information Management	
Purchase/service contracts/warranties	Term + 10 years
Computer systems manuals	Life of computer + 10 years
General support materials	Life + 10 years
Reference materials	Life + 10 years
System acquisition documentation	Life + 10 years
Vendor work orders	Life + 10 years
Insurance	
Insurance policies (expired)	3 years
Insurance policies (current)	Term + 3 years
Insurance records, current accident reports	Permanent
Safety reports	Permanent
Bond claims from Units	10 years
Legal/Compliance	
Compliance program	Permanent
Compliance audits	Permanent
Correspondence with government agencies	Permanent
Corrective Actions	Permanent
Inquiry logs	10 years
Memoranda/letters from attorneys	Permanent
Litigation documents	Disposition of case
Membership	
Dues Deposit and Edit Reports	7 years
Membership Reports	
Weekly	CY & 6 months
Delegate Strength	CY & 3 years
Applications and changes	Permanent
Tax Returns and Work Papers	
Federal Tax Returns	Permanent
Federal Tax supporting documents	CY & 7 years
State and local tax returns	Permanent
State and local supporting documents	CY + 7 years
Depreciation schedules	Life of item + 7 years
Equipment records (after disposition)	Life of item + 7 years



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy #15

POLICY National Leadership Fund

Reviewed by: Finance Committee _____ **Reviewed on:** _____

Approving Body: Dept. Executive Committee **Date Approved:** _____

In all references, please refer to most current Standing Rules for change in Article, Section and/or paragraph. All reimbursements for expenses require receipts prior to payment processing.

Funds in the National Leadership account are derived from the following:

Income:

Article X – Finance, Section 3, Paragraph 3 (in part): Twenty cents (\$.20) per member shall go to the Department National Leadership Fund until said account exceeds \$35,000.00. The funds will then divert to the Reserve account until the National Leadership Fund falls below \$20,000.00. At that time twenty cents (\$.20) per member will then again go to the National Leadership Fund until it reaches \$35,000.00 when it will again divert to the Reserve Account. The balance of the dues will inure to the General Operating Fund.

Expenditures:

When the amount is not specifically stated, there will be a recommendation submitted by the Finance Committee for approval of the Department Executive Committee.

Mission Training – Article X Section 15(m) - The Department President, First Vice President, Leadership Chairman and the Department Honorary Junior President may attend a Mission Training with expenses as budgeted. Also included when from Minnesota and if not reimbursed by National is the National NW Division Vice President and the National NW Division Honorary Junior Vice President. Allowed expenses for the First Vice President, Leadership, Department Honorary Junior President and, if not reimbursed by National, the National NW Division Honorary Junior Vice President shall include: mileage, registration and meals when not provided and one-half the room rate. Allowable expenses for the President and National NW Division Vice President to include; mileage, registration, meals when not provided and room. All expenses will be budgeted from the National Leadership Account.

Washington Conference – Article X Section 17(f) When the National American Legion Auxiliary participates at the Washington Conference, the registration fee and the cost of the National luncheon or dinner, whichever is held, shall be provided for Past National Presidents and those currently serving on a National Committee in attendance at the Washington Conference and not otherwise provided for by National shall be paid out of the National Leadership Fund.

National President's Homecoming – Article X Section 17(g) National President's Homecoming - the Department President, National Executive Committee Woman, Alternate National Executive Committee Woman, Past National Presidents, those currently serving as a National Chairman, and when from Minnesota, the National Officers excluding the National President, may attend the National President's Homecoming with a stipend as budgeted to be paid out of the National Leadership Fund.

Candidate for National Officer excluding National President–

1. Announcements to other Departments and to National of candidacy. These are sent from the Department Office.
2. When the candidate is NOT a National Chairman (National covers expenses for National Chairman to convention), she will receive the same amount as the Department President to attend the National Convention at which she is installed.
3. National Northwest Division Vice President newly elected – Corsage for the National Northwest Division caucus when presented as the incoming officer.

National Officers excluding National President –

1. When serving in the capacity of a National Officer, allowance for actual expenses to the National President's homecoming.
2. Allowance not to exceed \$200 will be furnished to the National Northwest Division Vice President to use to purchase gifts for the seven Divisional Department President if she makes a visit to those Departments.

National President candidacy and as President –

She is encouraged to have her own fundraisers during her campaign. Those funds are hers to disburse as she sees fit during her campaign or during her Presidency should she be elected. A request for transparency should accompany approval of said fundraisers so that those contributing clearly understand what the funds are going to be used for. Personal expenses include pins, gifts at homecoming, any other gifts she wishes to give, family expenses when traveling with her.

Items paid from National Leadership Fund:

1. Announcements for candidacy – the candidate should put the announcement together. The Department Office will print and distribute the announcements.
2. Installation practice lunch.
3. The reception following her installation.
4. Considered a guest at the National President's Homecoming with all expenses paid. Family excluding the spouse is her expense. The paid guests at Homecoming are President's spouse, National Commander and spouse, National Sons of the American Legion Commander and his spouse. Expenses allowed for the guests are registration, room and events.
5. At the end of her year, a gift is purchased to give to the Cavalcade of Memories. It can be a piece of furniture for example. The limit should be recommended by the Department Finance Committee and approved by the Executive Committee prior to purchase.



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy #16

Borrowing of Funds Policy

Reviewed by: __Dept. Executive Committee__ **Reviewed on:** __May 1, 2020__

Approving Body: _Dept. Executive Committee **Date Approved:** May 1, 2020

It is the policy of the Department of Minnesota American Legion Auxiliary, a 501(c)(19) not for profit Veterans Service Organization, St. Paul, Minnesota, to initiate borrowing of funds authority parameters as part of its overall system of financial internal controls.

Policies

1. All documents pertaining to the borrowing of funds for the American Legion Auxiliary, Department of Minnesota shall require two (2) signatures.
2. One of the signatures must always be that of the Department Executive Secretary or the Department Treasurer. The second signature will be that of the Department President.



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy #17

POLICY **Solicitation of Funds**

Reviewed by: Finance Committee **Date Approved** _____

Approving Body: Dept. Executive Committee **Date Approved:** _____

The Department of Minnesota American Legion Auxiliary requires all solicitation of funds be presented for approval to the Department Executive Committee prior to solicitation. Requests must specify the recipient of the funds received.

It is the Department policy that recipients must be an approved person/business of the American Legion Auxiliary. Although the organization does have an accepted program listing, it does not have an accepted person/business list. The recipient must fall within the parameters of the Mission Statement.

Throughout this policy, the term “solicitor” refers to anyone who is requesting funds from The American Legion Family. This includes everyone who is soliciting funds – there will be no exceptions.

When you “vet” a person/business you should thoroughly understand where the funds they receive go. What percentage goes to costs, percentage that goes to the purpose you intend. Who else do they receive funds from? Is this something gaming funds can be used for?

The following are the steps that will be necessary to receive permission to solicit funds.

1. Solicitation forms from the previous year will be included with the budget information in the spring of the year for informational purposes only. (this step will begin in 2021)
2. Blank solicitation forms will be provided for the upcoming year with the budget information.
3. The solicitor is charged with vetting the companies/person they are requesting permission to solicit funds for.
4. The solicitor is required to complete the entire form and return it to the Department Executive Secretary no later than 10 days prior to the Department Convention.
5. The Department Executive Secretary will include copies of the solicitation of funds forms in the Department Convention package for the incoming Department Executive Committee members and the Parliamentarian.
6. The members of the Department Executive Committee will review the forms and do any further study of the recipients of the funds that they deem necessary prior to the August Workshop.
7. The Executive Committee will vote to approve/reject all solicitation of fund requests at the August Workshop. This is a two-part approval and solicitation will be rejected if both parts are not approved.
 - a. Approval of the amount of the funds

b. Approval of the recipient of the funds

Prior to approval as stated in #7 above, no solicitations may be done.

The Department currently publishes a “Donation Form” annually. Solicitations and recipients approved shall be added to the Donation Form for the pertinent year.

Submitted by the Ad Hoc Committee on _____
Marsha Bible, Sandie Deutsch, Carol Kottom



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Policy 17-2

REQUEST FOR SOLICITATION OF FUNDS

Date: _____

Requester: _____

Title: _____

I would like to solicit funds for the following program:

This program will benefit the American Legion Auxiliary Program of:

Please write a brief synopsis of what the program you are asking for funds is and how it will benefit the Auxiliary program:



20 W 12th St #314, St. Paul, MN 55155
Phone: 651-224-7634 Fax: 651-224-5243 Toll Free: 888-217-9598
Email – deptoffice@mnala.org

Policy #18

Code of Conduct

The American Legion Auxiliary Minnesota Girls State is a youth-serving, community based organization dedicated to female high school students for civic leadership. Participation in the organization's program is subject to the observance of the American Legion Auxiliary rules and procedures. ***The activities outlined below are strictly prohibited.*** Any participant, staff member or volunteer who violates this Code is subject to discipline, up to and including removal from the program.

- Abusive language toward a staff member, volunteer or other participant
- Possession or use of alcoholic beverages or illegal drugs during the program or reporting to the program while under the influence of drugs or alcohol
- Bringing to the American Legion Auxiliary Minnesota Girls State program property dangerous or unauthorized materials such as explosives, firearms, weapons, or other similar items
- Discourtesy rudeness to a fellow participant, staff member or volunteer
- Verbal, physical or visual harassment of another participant, staff member or volunteer
- Actual or threatened violence toward any individual or group
- Conduct endangering the life, safety, health or wellbeing of others
- Bullying or sexual harassment of any participant
- Failing to cooperate with an adult supervisor/leader/mentor

I have read and understand The American Legion Auxiliary's Code of Conduct. I agree to abide by the rules described above and understand that I may be removed as a participant/volunteer if I violate any of these rules.

Signature: _____

Date: _____

Parent: _____

Date: _____

Reviewed by: Girls State Committee on _____

Approving Body: Dept. Exec. Committee – Date Approved: _____

UNIT PROCEDURE FOR CHARTER CANCELLATION

Before these procedures are carried out by a Unit, everything should be done to try to save or reorganize the Unit whenever possible. If the Unit can be revitalized and needs assistance, contact the District President or the Department Office.

STEP 1: Notify the District President or Department Office

The Unit must notify the District President or the Department Office that they are considering surrendering the charter before any actions are taken.

STEP 2: Initial discussion of surrender of charter at a regular Unit Meeting

The possibility of surrender must be discussed at a regular Unit meeting. No one person or Group of officers can make this decision.

STEP 3: Notify members of possible surrender of charter [see sample A]

- Every Senior member MUST be notified by letter of the possibility of the surrender of the Unit Charter.
- The letter must state the reasons for the action and give the date, time and location of a meeting for action to take.
- It is suggested that a ballot be included with the letter to allow those who cannot attend the meeting to have the opportunity to voice their opinion and vote.
- A copy of the letter should be sent to the District President and the Department office. Members who attend this meeting will vote Yes or No to begin the procedure for surrender of the Unit Charter. (Note: A vote to surrender the charter cannot be taken at this meeting since that is the last step in the procedure.)

STEP 4: Decision made by vote of Unit to surrender charter [see sample B]

Once the Unit votes to begin the process to surrender, a second letter should be sent to all of the senior members notifying them of the decision. The contents of the letter should contain the following information:

- Date, time and location of future meeting(s) that will be held to conclude business and take the final vote to surrender the charter which will be the last action the unit will take.
(Note: Be sure to set a meeting date to take the vote to surrender far enough in advance to allow time for satisfying the required steps. Including a ballot to be returned by the member allows all members the choice to vote Yes or No.

STEP 5: All members notified of membership transfer process (see sample C) All members {Seniors and Juniors} must be notified that the surrender of the Unit means they will either transfer to another Unit

Unit of their choice or be automatically transferred into the Department Unit 1982 (current 2021 dues are \$25.00 for Seniors and \$6.00 for Juniors) once the National organization accepts the Unit charter. Every effort should be made to encourage members to transfer to an active Unit.

It is recommended that a Member Data Form be included with the final letter of notification advising of the members that the Unit officially voted to surrender their charter. The bottom section should be highlighted over the signature line for the member and a current Unit Officer to complete. The letter should explain that she may take the form to another Unit and request to be transferred into that Unit. The District President and/or District Membership Chairman can also suggest names and addresses of Units within the district that are nearby. This is very important for Junior members who do not receive renewal notices for the next year.

TRANSFERRING FROM ONE UNIT TO ANOTHER

Transferring from one Unit to another is a privilege granted to any paid-up Auxiliary member ONLY with the approval of the Unit to which the member wishes to transfer. Any paid-up member may to Unit 1982 without approval required.

1. No transfer shall be made unless the member requesting the transfer has a membership card showing that she is a member in good standing at the time transfer is requested. Members whose dues for the current calendar year are not paid by January 31st of that year are considered to be not in good standing.
2. No unit may charge a member for the privilege of transferring and no dues shall be transferred from one Unit to another.
3. Any member wishing to transfer must secure approval of the Unit to transfer. She may do this in person or by letter. The Officer of the new Unit will complete the balance of the form and submit it to the Department office for processing. The Unit will make the transferring member a new membership card with the information found on the previous membership card.
4. The Department office will process the member's record and transfer the member into the new Unit.

STEP 6: All Unit Property Distributed

All American Legion Auxiliary property must be distributed properly.

- The bell, if not given to a Past President or another Unit, should be sent to the Department.
- The American Flag and Unit banner, if not given to a Past President or a charter member, may be donated to a local non-profit such as scouts or a public building. Otherwise they should be sent to the Department (without poles).
- The Unit Charter (unframed and rolled) must be returned to the Department.
- Since there is not enough room at the Department office to archive previous minutes, membership records, and banking records, the Unit should properly dispose of these items.
- It is important to realize that all funds of the unit are the property of the American Legion Auxiliary. The Department and District should be first consideration when dispersing the funds. All obligations to the District and Department must be met. These include:
 - o District dues for membership.
 - o Fidelity Bond payment for the current Auxiliary year (if applicable).

- o Current membership dues paid for any delinquent members they want to continue membership in the American Legion Auxiliary.
- o Consider paying for a PUFL membership (Paid Up For Life) for any members who have significantly contributed to the Unit.
- o Donations to the programs of The American Legion Post.
- o Do not close the Unit bank account until after the final vote is taken to surrender the charter. Make sure that while deciding on how to distribute the remaining Unit funds, that enough money is left in the account to cover the costs of postage, service charges, etc.

STEP 7: Unit Incorporation

The Unit must determine if it is incorporated in the state of Minnesota. This can be done by checking on-line at the Secretary of State website. If the Unit is incorporated it must file documentation with the state of Minnesota to dissolve the corporation.

STEP 8: Notification of Internal Revenue Service (IRS)

Write a letter to the Internal Revenue Service advising of the impending surrender of the Unit's charter. Request that the Unit's unique Employer Identification Number (EIN) be retired.



American Legion Auxiliary
Department of Minnesota

Unit Name	_____	Unit No	_____
Unit Location	_____	District	_____
Contact	_____	Phone	_____
Address	_____		_____
Email	_____		_____

Unit Charter Cancellation Checklist

Complete	Document	Date	By Whom
	District President or Department Office Notification of possible charter surrender		
	Initial discussion to surrender charter at regular Unit meeting		
	Senior members of Unit notified in writing of possible surrender and upcoming meeting to vote on surrender		
	Meeting held to discuss and vote on surrender of charter		
	Senior members notified in writing of outcome of decision to surrender the charter		
	All members notified and offered to transfer to other units or Unit 1982		
	Unit property properly distributed		
	Funds properly distributed once all obligations to District and Department have been met		
	Minutes on discussions and meetings relating to surrender charter sent to Department office		
	Final bank statement showing zero balance and distribution of funds		
	If Unit is incorporated - contact Secretary of State of MN to dissolve corporation		
	Notification to Internal Revenue Service (IRS) to retire Employer Identification Number (EIN)		

Comments: _____

Please return one completed copy of this form with the information required to the Department office.

American Legion Auxiliary Department of Minnesota
20 West 12th Street, Room 314 - St. Paul, MN 55155

Name and Number of Unit
Unit Address

Date

Member's Name
Address

Dear Member's Name:

The officers of this Unit are having difficulties getting the work of the American Legion Auxiliary accomplished. There are only a few members attending meetings, there are not enough active members to accept the elected and appointed positions, the few members who attend meetings are no longer interested or able to be active.

We have been in contact with the District President. She advises us to call a special meeting to discuss the possibility of surrendering our Unit charter. She suggests that when we meet we should try to decide if we want to work at reorganizing our Unit to strengthen it or begin the procedure to surrender.

The special meeting will be held at _____ on _____ at
____ **PM**.

We hope that you will be able to attend this important meeting. If you are unable to attend, we want to know how you feel about actions we are considering. Please take a moment to indicate your choice using the ballot below. If you have comments, make them on the back of the ballot. Return the ballot to the address above to arrive before _____. Your vote and comments will be considered.

Thank you for your continued interest in the American Legion Auxiliary and its fine programs.

Sincerely,

Mary Jones
Unit President

Ballot to vote on possibility of surrendering Unit charter

Member Name _____
Membership No. _____

I vote to continue the Unit and will assist in reorganization

I vote to begin the procedure for surrender of the Unit charter

Name and Number of Unit
Unit Address

Date

Member's Name
Address

Dear Member's Name:

At a special meeting held on _____, it was voted with regrets to surrender our Unit Charter.

A meeting is scheduled on _____ at _____ to discuss how our property and funds will be distributed. Once the Unit completes all business and distribution of property and funds the charter surrender will be complete.

We hope that you will be able to attend this meeting but in the event you can't, we want you to have the opportunity to contact me prior to the meeting with your input.

The American Legion Auxiliary values your membership and would like to give you an opportunity to transfer your membership to another local Unit so that you don't lose continuous membership. The preferred choice would be for you to transfer to a local active Unit, however there is the alternate of transferring to the Department unit at large #1982 which is an inactive unit. Enclosed is a Member Data Form for you to complete. If you have already paid your membership dues for the current year, you do not have to pay again unless the Unit you are transferring to has higher dues. Then you are only responsible for the difference in fees.

If you have any questions please don't hesitate to contact me and I will do what I can to assist you.

Sincerely,

Mary Jones
Unit President

Enclosure Member Data Form



This form is available online
www.mnala.org

American Legion Auxiliary – Department of Minnesota
12 W 12th St #314 – St Paul, MN 55155
Ph: 651-224-7634 • Fax: 651-224-5243 • Email: deptoffice@mnala.org

MEMBER DATA FORM

****Does this person hold a Unit / District officer or chairman position?****

D Unit - What position? _____

ONO

D District - What position? _____

Member ID # _____
Required for all changes

Date _____ Unit ~~##~~ _____

Name _____

O sr ☐ Jr

O DECEASED **D** DROP/CANCEL **O** REJOIN **D** HLM (Honorary Life Member)

OLD INFORMATION

Name _____

Former Address _____

Former City _____

Former State, Zip _____

Former phone # _____

Email Address _____

NEW INFORMATION

Name _____

New Address _____

New City _____

New State, Zip _____

New phone # _____

Email Address _____

Continuous Years Correction _____

Join Date Correction _____

UNIT TRANSFERS

Previous Unit # — — Dept. (State)_____ New Unit # — . — Dept. (State)_____

Signature -Member (Required)

Signature -New Unit Membership Chairman (Required)

Signature (person submitting this form please sign)_____

**American Legion Auxiliary
Department of Minnesota**

Policy 20

DEPARTMENT POLICY

**ELECTRONIC COMMUNICATIONS,
INTERNET, AND SOCIAL MEDIA POLICY**

Reviewed by:

Approving Body: Department of Minnesota Executive Committee

Date Approved:

Next Review Date:

Policy Statement

It is the policy of the American Legion Auxiliary (ALA) Department of Minnesota, a state public benefit 501 (c) (19) not-for-profit Veterans Service Organization Auxiliary headquartered in St. Paul, Minnesota, to have requirements and standards in place for communication conveyed electronically under the auspices of American Legion Auxiliary Department of Minnesota, including via the Internet and social media, that protect the name and trademarks of the American Legion Auxiliary Department of Minnesota and the reputation of the organization at all levels – national, department, intermediate body, unit, subsidiary, and member.

The American Legion Auxiliary Department of Minnesota encourages and promotes participation in electronic communications, social media, and Internet representation of the ALA in an ethical manner that increases awareness about the American Legion Auxiliary and the American Legion Auxiliary Department of Minnesota, and that positively represents the American Legion Auxiliary brand and The American Legion Family brand.

The purpose of this policy is to provide guidance to protect the members, entities, name, emblem, and trademarks of the American Legion Auxiliary and the American Legion Auxiliary Department of Minnesota. To this purpose, this policy a) specifies the permissions, and administrative rights required for using the name and trademarks of the American Legion Auxiliary on electronic communications, websites, and social media accounts, blogs and other emerging forms of electronic communications; and b) defines the parameters, monitoring, sanctions, and expectations for using electronic means of communications, including websites and social media, to enhance mission outreach and the reputation of the organization at all levels through appropriate use of message content and delivery. References to social media accounts in this policy include but are not limited to Facebook, Twitter, YouTube, Instagram, Pinterest, and LinkedIn.

Policy compliance shall be in accordance with applicable patent, trademark, and copyright laws. The policies herein apply to all levels of the organization, from the national level to individual members.

Policies

Permissions

☐ ☐ In accordance with the provisions contained within this policy and within the American Legion Auxiliary National Policy for Electronic Communications, Internet and Social Media Policy, an entity chartered by the ALA already has permission to use the name, emblem, and trademarks of the American Legion Auxiliary and may use the name, emblem, trademarks to establish a presence on the Internet, in social media, and other electronic communication, including but not limited to websites, Internet-based tools, accounts, Facebook pages and groups, Twitter accounts, and mobile device applications.

☐ ☐ The American Legion Auxiliary National Policy for Electronic Communications, Internet, and Social Media grants departments, department-authorized intermediate bodies, and units have approval to use the name American Legion Auxiliary, the emblem, and ALA trademarks on electronic-based communications by and from the department, department-authorized intermediate body, and unit. Therefore, in accordance with this policy, approval to use the name, emblem and trademarks of the ALA is deemed granted to departments and units as chartered entities of the ALA and to department-authorized intermediate bodies and subsidiaries, and no additional approval from the National organization is required.

Administrative Rights

☐ ☐ All American Legion Auxiliary Department of Minnesota-level Internet-based accounts, social media accounts, websites, and electronic blogs that utilize the name and/or trademarks of the American Legion Auxiliary must have shared administrative rights with ALA Department of Minnesota Headquarters. Such department accounts include those established and administered by department officers, Department Executive Committeewomen, department governing board members, department subsidiaries, department chairmen and department committee members.

☐ ☐ All department-level, intermediate-body level, unit level, and department and unit subsidiary Internet-based accounts, social media accounts, websites, and electronic blogs that utilize the name and/or trademarks of the American Legion Auxiliary are advised to have more than one ALA entity representative with administrative rights and/or login information.

☐ ☐ All Internet-based accounts, social media accounts, websites, and electronic blogs that utilize the name and/or trademarks of the American Legion Auxiliary must obey the Terms of Service of any social media platform employed.

☐ ☐ Departments and units that share websites and other electronic media with their American Legion counterparts are advised to establish policies regarding permissions and shared administrative rights.

Content

☐ ☐ Websites, electronic communications, Internet-based accounts, electronic blogs, and social media accounts must clearly, accurately, and completely identify the ALA entity represented; e.g. American Legion Auxiliary department, intermediate body, unit, subsidiary, program.

☐ ☐ Information posted or conveyed electronically via Internet-based accounts must be relevant to the ALA entity and its programs and must safeguard the integrity of the ALA and the privacy of individuals in keeping with all applicable federal, state, and local laws and regulations.

☐ ☐ Content considered relevant under this policy includes proper and suitable postings about members, ALA meetings, ALA mission-related programming events and fundraising activities, and events or fundraisers that benefit the American Legion Auxiliary.

☐ ☐ Content communicated via Internet-based accounts, social media, websites, and electronic blogs cannot divulge private information about an individual, including a person's contact information or medical information. Posting private information about others can be a criminal offense.

☐ ☐ Any ALA Department of Minnesota entity representative or individual communicating about

ALA-related matters via Internet-based accounts, social media, websites, and electronic blogs must respect and abide by all relevant laws, including copyright and defamation laws. An ALA entity representative or individual is personally responsible for any content so published, regardless of whether or not the message was posted under the intention of anonymity.

□□ Any ALA Department of Minnesota entity representative or individual communicating about ALA-related matters via Internet-based accounts, social media, websites, and electronic blogs is responsible for understanding that, once published, content is immediately public and considered permanently available to others; an entity representative or individual may be held responsible for any consequences thereof.

□□ The promotion or conducting of charity gaming via social media, websites, and electronic blogs is prohibited in many states; state laws prevail, and individuals posting information representing the ALA Department of Minnesota are responsible for knowing and abiding by all applicable charity gaming laws and government regulations.

□□ ALA Department of Minnesota Internet-based accounts, websites, electronic communications, blogs, and social media cannot be used to convey information in support of political parties, political candidates, or sectarian viewpoints; the American Legion Auxiliary is a non-partisan and non-sectarian organization.

□□ Administrators of ALA Department of Minnesota websites, electronic communications, Internet-based accounts, blogs and social media accounts are forbidden from using ALA Department of Minnesota accounts to promote personal projects, goals or interests outside of ALA programs and business.

Monitoring

□□ The ALA Department of Minnesota follow the protocols published within the *American Legion Auxiliary Branding Guide* to establish appropriate American Legion Auxiliary social media and Web presence in and keep with applicable laws, government regulations, and industry best practices.

□□ The ALA Department of Minnesota will reasonably monitor electronic communications that represent the ALA Department of Minnesota for threatening or dangerous content, and the electronic media account administrator reserves the authority to remove postings that violate laws, regulations, or ALA policy.

□□ The ALA Department of Minnesota will maintain appropriate records of utilization in accordance with applicable laws, government regulations, and industry best practices.

Sanctions

□□ Any electronic, Internet-based, website or social media presence using the name, emblem, or trademarks of American Legion Auxiliary that fails to comply with this policy is prohibited. Any cost for enforcement of laws or judgments relative to this policy shall be sought from the offending entity or individual representative.

Guidelines

□□ The American Legion Auxiliary Department of Minnesota will adhere to the current guidelines of the American Legion Auxiliary National organization, which are published and maintained

within the *American Legion Auxiliary Branding Guide*. These guidelines outline appropriate protocols regarding establishing and conducting American Legion Auxiliary social media and Web presence in keeping with applicable laws, government regulations, and industry best practices.

☐☐ALA Department of Minnesota electronic media guidelines will address appropriate participation in electronic communications, social media, and Internet representation of the American Legion Auxiliary and/or the American Legion Auxiliary Department of Minnesota, both personally as well as when one is acting in an official capacity on behalf of the ALA.

☐☐Guidelines will reflect and promote the importance of the ALA's role and opportunities in social media and Internet communities for conveying the organization's identity – the world's largest women's patriotic service organization – and the organization's mission and relevance – to serve United States veterans, military, and their families at home and abroad.

☐☐The *American Legion Auxiliary Branding Guide* issued by the American Legion Auxiliary National organization will include details regarding usage of the American Legion Auxiliary emblem, name, and trademarks, and written and design elements reflecting same.

☐☐The *American Legion Auxiliary Branding Guide* will be maintained for free download to members at the ALA national website www.ALAforVeterans.org.

Addendum

Policy Background and Rationale

With an ever-increasing move from traditional media to electronic platforms, many organizations and individuals are turning to social media for word-of-mouth communication and marketing because of its ease of use and instantaneous results. Because of the tremendous growth in Internet-based communication media, countless conversations take place online daily about the American Legion Auxiliary and the American Legion Auxiliary Department of Minnesota. We want and encourage our organization's members and entities to join those conversations, accurately representing our organization and sharing the positive spirit of our brand so that the American Legion Auxiliary is here to fulfill our mission for future generations.

This electronic media policy is intended to guide participation in electronic communications, social media, and Internet representation of the American Legion Auxiliary and the American Legion Auxiliary Department of Minnesota, both personally as well as when you are acting in an official capacity on behalf of the ALA. The purpose of this policy is simply to protect the organization as well as the individuals who are using electronic media to increase awareness about the value of the ALA.

In keeping with the vision of the American Legion Auxiliary 2019-20 Strategic Centennial Plan, it is critical we always remember **who we are** – the world's largest women's patriotic service organization, and that **what we do** – serve veterans, the military, and their families, can be enhanced greatly by sharing **why we matter** through responsible engagement in social media and Internet communities.

To grow and strengthen our entire organization, the American Legion Auxiliary and American Legion Auxiliary Department of Minnesota needs to take advantage of the fact that more people are communicating via websites and social media, and we want the ALA's electronic presence to be fun and up to the highest standards. It is important we develop and maintain a cohesive, true and proper American Legion Auxiliary image. This policy is about caring for our brand and our reputation; it is for everyone's protection – individual members as well as the organization.

If you have any questions about this policy, please contact the American Legion Auxiliary Department of Minnesota office: American Legion Auxiliary Department of Minnesota, State Veterans Service Building, 20 W 12th Street – Room 314, St. Paul, MN 55155; call 651-224-7634 or (toll free) 888-217-9598; or email: deptoffice@mnala.org.

Reference

The American Legion Auxiliary Department of Minnesota Electronic Communications, Internet and Social Media Policy is based upon the American Legion Auxiliary National Policy for Electronic Communications, Internet and Social Media approved by the National Executive Committee on 2/22/2015. The National policy is set for review in 2017.

The National policy was developed collaboratively with representatives of The American Legion and Counsel General. Questions regarding the American Legion Auxiliary National policy can be directed to ALA National Headquarters Communications Division at (317) 569-4500, ALAHQ@ALAforVeterans.org, or 8945 N. Meridian St., Indianapolis, IN 46260.



American Legion Auxiliary

A Community of Volunteers Serving Veterans, Military, and their Families

POLICY #21

PROCESS OF DEPARTMENT OFFICE SUBMITTING THE ANNUAL IRS FORM 990

This policy establishes the procedures and time frame to make sure that the Annual IRS Form 990 is filed so that the Department of Minnesota American Legion Auxiliary remains in compliance.

All paperwork and reports needed to complete the Form 990 as compiled by the Department Secretary and Treasurer must be turned into the Auditors by September 1 each fall. When this paperwork has been turned in, the Department President, Department Secretary, and the Department Treasurer shall sign off, along with the Auditing Firm auditing our Form 990 to verify this has been done.

The meeting with the Risk and Compliance committee, Department President, Department First Vice-President, Department Second Vice-President, Department Secretary, Department Treasurer, and the Auditing Firm will need to take place the middle of December via a virtual meeting. Minutes of this meeting need to be completed by the Risk and Compliance Secretary and given to the Department Secretary within two weeks of the meeting. This step should also be signed off on by the above Department Office members and the Risk and Compliance committee.

The Department Executive Committee will need to hold a virtual meeting before the end of January so that the Risk and Compliance committee can present their findings pertaining to the audit for approval. Once the approval is obtained, the above Department Office member and the Risk and Compliance Chairman should sign off and the Auditing Firm should file the Form 990 so that it is filed before the deadline date of January 31st.

The final 990 filing form must be signed by the Department President, Department Secretary, and Department Treasurer before it is filed.

American Legion Auxiliary Department of Minnesota

State Veterans Service Bldg. - 20 W. 12th St. Suite #314 – St. Paul, MN 55155 | P: (651) 224-7634 | F: ((651) 224-5243 | (888) 217-9598
deptoffice@mnala.org | Website: www.mnala.org



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

DEPARTMENT APPOINTMENT ACCEPTANCE FORM

American Legion Auxiliary Mission Statement

In the spirit of service, not self, the mission of the American Legions Auxiliary is to support The American Legion and honor the sacrifice of those who serve by enhancing the lives of our veterans, military and their families, both at home and abroad. For God and Country, we advocate for veterans, educate our citizens, mentor youth, and promote patriotism, good citizenship, peace and security.

In accepting the Department appointment to serve the American Legion Auxiliary, I agree to:

Serve Honorably and Dutifully

Complete the term of the committee appointment

Serve actively as a steward for the Department and National organization and fulfill my obligations as requested by the Department President

If a member of the Department committee, fulfill my obligations as requested by the Department Chairman

Attend meetings and events and complete Department and National assignments.

Avoid conflict by serving the organization as a whole rather than any special interest group or constituency.

Avoid the appearance of conflict of interest that might embarrass the organization and disclose any support the mission, purposes, goals, policies and programs of the American Legion Auxiliary.

Serve as an example of civility with the highest integrity to foster a more welcoming culture.

Communicate Appropriately and Timely

Prepare concise informative bulletins, reports and other communication in a timely manner.

Communicate positively and provide timely feedback to fellow committee members and Unit representatives.

Support the Financial Health of the Department Organization

Assist the ALA by raising support through my personal influence with others.

Actively participate in fundraising and special program events as assigned.

____ Yes, I accept the Department Appointment(s) and agree to these expectations.

____ Yes, I pledge to fulfill my responsibilities and support membership and fundraising.

Name _____

Appointment _____

Signature _____ Date _____



American Legion Auxiliary

Department of Minnesota
State Veterans Service Building
20 W 12th St. #314 St Paul MN 55155
Telephone 651-224-7634 Fax 651-224-5243
Toll Free 1-888-217-9598
Email – deptoffice@mnala.org
Website - www.mnala.org

Date: March 27, 2017

From: Sandie Deutsch

To: Education Chairman Diane Hayes
Past Presidents Parley Chairman Chris Ronning

Ladies, at our March 4, 2017 Executive Committee Meeting I was asked to send a letter to each of you as you are the two that determine our scholarship awardees for this year. I have a little issue in the office and that is that I have folders from 4 years ago sitting here where students have been awarded scholarships never claimed them. The Executive Committee would like the two of you to come up with a time frame that students have to come to the Auxiliary to claim their awards. In my mind, if the student doesn't have the schools submit their transcripts in two years of the award, it should be null and void. That is just in my mind, it is up to you to determine the time frame. There are no Standing Rules or anything for this type of thing. I will come up with a Department Policy defining this as soon as the two of you get this taken care of.

Thank you for your help with this. I know right now you are extremely busy reading and going through this years applications.