



A Checklist for Affiliates

Section 1: Corporate Records

- Is there a current and legible copy of these documents maintained in a permanent location?
 - Articles of incorporation
 - Bylaws
 - Federal tax recognition letter (or copy of national organization's letter if covered by a Group Exemption)
 - Copies of IRS tax filings for the past 5 years
- Do the articles of incorporation and bylaws accurately describe your current mission and purpose?
- Are you registered with your Secretary of State (if required) and, if so, is your registered agent and officer list current?
- If you are incorporated, are you filing annual reports and paying an annual filing fee?
- If non-profits are eligible for a tax exemption in your state, have you filed the necessary paperwork and are currently listed as tax-exempt in your state?
- Have you forwarded copies of these documents to the SECA office to be maintained in the permanent affiliate files?

Meetings and Minutes

- Do you have a system for permanently retaining all minutes from board, committee and annual meetings?
- Do you remit copies of your board and annual meeting minutes to the SECA office at the end of your fiscal year?
- Do you approve minutes of the previous meeting at each board meeting and note this in the record?
- Do your minutes reflect votes on motions, containing both positive and negative votes as well as abstentions?

The Board of Directors

- Is your list of members of the Board current and is it revised immediately as information changes?
- Do you have an Executive Committee? If so, do your by-laws give the Committee authority to act on behalf of the Board and, if so, under what circumstances?

- Do you follow parliamentary procedure in your meetings?
- Is an agenda prepared in advance for any meeting and distributed to members prior to the meeting date?
- Does your Board host an annual membership meeting if required by your by-laws?
- If so, is notice provided to membership as outlined in your by-laws?

Records

- Does the affiliate have a location in which to maintain permanent records?
- If you have employees, are you maintaining personnel files which contain:
 - An application
 - A copy of the employee's resume
 - Tax withholding forms
 - Signed I-9 form
 - Any forms (drug free workplace, emergency notification, etc.) that your policies require
 - Copies of annual performance evaluations
- Do you maintain employee files for at least one year after resignation or termination?
- If you have contract staff, do you have a copy of his/her contract on file?
- Do you maintain financial records for a minimum of 3 years per IRS regulations?
- Does your affiliate have a conflict of interest policy?

Financial Management

- Is the affiliate meeting all reporting requirements for tax-exempt organizations?
- Do you conduct an annual financial review/audit with an outside auditor?
- Do you have insurance that would cover any type of misuse of funds?
- Do you have stated financial policies for handling receipts, disbursements and investments?
- If the affiliate solicits donations, are you registered with your Secretary of State (if required)?
- Do you develop an annual budget and does the board review and adopt that budget at the beginning of each fiscal year?
- Are monthly/quarterly financials presented to the full Board?
- Do you have a finance committee that oversees the budget and financial systems of the affiliate?
- Do you have reserves and are they invested according to policy?
- Are payroll and withholding taxes being routinely submitted to the IRS and state?

Employees

- If you have employees, is there an employee manual?
- Do you have written personnel policies?
- Are job descriptions available?

- Are references checked before hire?
- Are annual evaluations conducted and is a process for those evaluations defined in your policies and procedures?
- Do you have a defined correction and termination process?
- Do you have anti-discrimination statements included in your policies and procedures?

Contractors

- If contractors are hired as business managers, do you have a clearly defined contract which outlines responsibilities and expectations?
- Does your contract clearly delineate the criteria required to distinguish a contractor from an employee?
- If the business manager is related to or has a business relationship with a member of the Board of Directors, was the relationship disclosed prior to approval and did the interested director abstain from the discussion and vote?

Conferences

- Is there a signed contract with the venue that will host the affiliate's annual conference? This contract will typically cover the room block, food and beverage minimums and any additional expenses such as space for exhibits and amenities.
- Has the contract been presented to the Board of Directors for approval prior to signature?
- Are proposals solicited and reviewed prior to signing contracts for Audiovisual and exhibit services?
- Is there a clear understanding of any contractual cancellation, damage and attrition clauses?
- Has a budget for the conference been reviewed and adopted by the Board of Directors?
- Are keynote and featured speakers required to sign presentation contracts that clearly delineate what fees and expenses are covered under the contract?
- Does the affiliate have insurance coverage for the conference?

Special Events

- If special events are held such as family activity days, does the affiliate have sufficient insurance coverage for the event?
- Are memoranda of understanding developed with partners in the event?
- Are considerations for adults/children with disabilities built into the event?

Insurance

- Does the affiliate have adequate general liability coverage if maintaining an office?
- Is nonprofit director and officer, association professional liability or other similar insurance maintained?

Membership

- Do the bylaws establish membership criteria?
- Does the affiliate clearly market membership options to members?
- Is the SECA membership portal prominently displayed on the affiliate website?
- Does the affiliate have a clear explanation of the affiliate membership structure available on its website?
- Does the affiliate maintain membership databases?
- Does the affiliate provide proof of membership?
- Does the affiliate routinely provide membership updates to the SECA office on the scheduled dictated by the SECA office if membership databases are maintained in the state?

Communications

- Does the affiliate have a regularly scheduled system of communication with members?
- Does the affiliate publish a newsletter/journal?
- Does the affiliate have a designated newsletter/journal editor?
- Are copies of the newsletter/journal routinely sent to the SECA office to be posted on the Affiliate/Board Resources page of the SECA website?
- Does the affiliate utilize articles and materials published by SECA?
- Does the affiliate ensure that no copyright materials or photos are utilized in its communications without permission of the copyright holder?
- Does the affiliate strive to ensure that no discriminatory or inappropriate material is included in its communications?
- Does the affiliate ensure that all early childhood practice information conforms with DAP?