



**CENTRAL IOWA CHAPTER**

**Policies and Procedures Manual**

**Current Revision July 28, 2015**

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## 1. Introduction - About this Manual

### 1.1. Definitions

Board of Directors (BoD) – governing body of the PMI-CIC that consists of elected officers and appointed Directors.

PMI Global Operations Center (GOC) – main or central PMI global service center (headquarters) located in Newtown Square, Pennsylvania (outside of Philadelphia) USA.

PMI-CIC Bylaws – document required by PMI and Iowa law that shall embody general policy provision relating to the management and operation of the PMI-CIC.

PMI-CIC Charter with PMI – documented agreement between PMI (Global) and the PMI-CIC that formally recognizes and charters the PMI-CIC as an independent, affiliated organization and outlines the responsibilities of the PMI-CIC and PMI to one another.

PMI Component – umbrella term that refers to a local chapter or Communities of Practice (CoP). Communities of Practice are knowledge-driven websites where members can engage through blogs, wikis, discussion boards, shared document areas and opinion polls.

Policy – a business rule, requirement or principle that that governs or guides the operation of the Project Management Institute (PMI) Central Iowa Chapter (CIC).

Procedure – describes the processes, activities, steps and instructions through which the terms and requirements of a policy is implemented or enforced.

### 1.2. Purpose

The PMI-CIC Policies and Procedures Manual describes the Project Management Institute (PMI) Central Iowa Chapter's (CIC) policies for operation and the procedures to fulfill these policies.

The policies and procedures of the PMI-CIC shall be subject to and not in conflict with the current PMI's Bylaws, all policies, procedures, rules or directives established or authorized by PMI, the PMI-CIC's Charter Agreement with PMI as well as the PMI-CIC Bylaws.

### 1.3. Organization

Policies and procedures are organized by the PMI-CIC Board functional areas and by other key Chapter functions performed or overseen by the President, President-Elect and Immediate Past President. These include, but are not limited to:

- Communications & Marketing
- Membership & Volunteerism
- Operations
- Professional Development
- Treasury & Finance
- Charter Renewal
- Nominations
- Elections
- Auditing
- Strategic Planning
- On-boarding/Transition of Board Members
- Annual Reporting

Each policy that is documented needs to have the following elements:

- Title
- Definition of terms used in the policy or associated procedures
- Creation Information (Author and Date Prepared/Approval with Date Approved)
- Brief statement defining or describing the policy or procedure
- Background/Rationale, where applicable or useful, to provide context and history as to its importance and/or why it was created
- Purpose
- Scope & Exclusions (where or to whom the policy or procedure applies or affects)
- Timeframes, where applicable or useful
- Responsibilities by position, role, or individual
- Budget Impacts (Operating or Program/Project budget items, estimated \$\$ amounts), where applicable or useful
- Revision History

The optional elements listed below can also be included with a policy:

- Measurements or Success/Effectiveness Criteria
- Forms, Records, Attachments, Templates
- References & Resources (e.g. website links)

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A procedure is generally associated with a policy, and consequently, is documented with the policy it supports. Each procedure that is documented needs to have the following elements:

- Title
- Individual steps, activities or instructions that need to occur
- Timeframe or condition as to when the steps, activities or instructions need to occur
- Who is responsible for performing the steps, activities or instructions

Procedures can also include flowcharts, process diagrams, etc. that aid in understanding the documented procedure. Should a procedure need to be documented without an associated policy, the above policy elements, where applicable, should also be included.

### **1.4.Responsibilities**

Each policy and procedure is owned by the responsible Board officer, who collaborates with the President-Elect to craft, review, revise and bring forward to the Board for its review and approval. Each Board officer is accountable to help ensure that policies and procedures are followed for their area of responsibility. The President-Elect or designate shall include approved policies and procedures in the PMI-CIC Policies and Procedures Manual. The President-Elect will ensure that all policies and procedures are reviewed periodically to ensure relevance.

### **1.5.Approval & Dissemination**

Policies and procedures are required to be approved by a simple majority of the Board voting officers comprising a quorum, in the manner specified in Article V- Board of Directors, Section 14 of the PMI-CIC Bylaws, before they can take effect. Upon Board approval, the policy or procedure shall be included in the PMI-CIC Policies and Procedures Manual and posted on the Chapter website by the President-Elect or designate.

Any accompanying documents for each policy or procedure listed under the Forms and Records section should be posted to the specified location by the owner of the policy or procedure.



### 1.6. References & Resources

- PMI Governance documents (e.g. Bylaws, Articles of Incorporation, Policies and Procedures, etc.) at:  
<http://www.pmi.org/AboutUs/Pages/Governance.aspx>
- PMI Policies Manual available at PMI Community Leadership Site at:  
<http://leadership.vc.pmi.org/Share/Documents.aspx> under the “Policies” subfolder within the “Documents” folder.
- PMI-CIC Governance documents (i.e. Chapter Charter, Bylaws, Position Descriptions) on PMI-CIC home web page at:  
<http://www.pmi-centraliowa.org> under the “ABOUT US” tab.
- PMI-CIC Policies & Procedures Manual can be found in the “Policies & Procedures” folder under the Board Members area of the PMI-CIC website: <http://www.pmi-centraliowa.org>.

## 2. Communication & Marketing

### 2.1.Policy: Chapter Meeting Sponsorship

<b>Prepared By:</b> Ajit Kumar, V.P. Communication & Marketing and Norm Veen, Trustee	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 31 October 2013	<b>Date:</b> 12 December 2013
<b>Prepared By:</b> Mandy Lapley, Director of Marketing, and Craig Hinson, V.P. Communication & Marketing	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> July 7, 2015	<b>Date:</b> September 8, 2015

#### 2.1.1. Definitions

Conflict of Interest – see currently approved version of PMI-CIC Bylaws

PMI-CIC Chapter Meeting – monthly meeting hosted by the PMI-CIC seven to nine times during the year. These meetings provide: 1) programs that are relevant about project management and are of interest to the Chapter membership, 2) opportunity to network with others in the project management profession in the Central Iowa area, 3) information to the Chapter membership of current happenings and events, and 4) Professional Development Units (PDUs) to meet Continuing Certification Requirements.

PMI-CIC Chapter Meeting Sponsorship Agreement – written agreement signed by the sponsor and the PMI-CIC that contains the specific terms of agreement for a particular Chapter Meeting sponsorship.

Sponsor – individual, corporate entity, educational institution or vendor that donates cash (i.e. sponsorship) for a PMI-CIC Chapter Meeting in return for recognition, visibility and public acknowledgement of its support.

#### 2.1.2. Background

As requests came to the PMI-CIC BoD to sponsor Chapter Meetings, it became necessary to establish a uniform approach to such sponsorships with the objectives and restrictions stated in this policy.

### 2.1.3. Purpose

The purpose of this policy is to provide guidance to the PMI-CIC BoD when soliciting or being solicited for Chapter Meeting sponsorships and recognizing sponsors. The objectives of this policy are to: 1) establish a uniform process for Chapter Meeting sponsorships, 2) ensure adherence to applicable tax regulations, 3) promote the profession and practice of project management through sponsorships, and 4) prevent conflict of interest.

### 2.1.4. Scope & Exclusions

This policy applies solely to the sponsorship of PMI-CIC Chapter Meetings and excludes all other PMI-CIC events (e.g. Professional Development Day, Workshops, etc.). It does not represent policies that govern advertising.

### 2.1.5. Policy Statement

#### 2.1.5.1. Eligible Parties

PMI-CIC Chapter Meeting sponsorships are open to any individual, corporate entity, educational institution or vendor who is interested in furthering the practice of project management. The sponsor will be reviewed for acceptance and fit by the VP of Communications & Marketing prior to acceptance of donations.

#### 2.1.5.2. Sponsorship Benefits

The PMI-CIC Chapter Meeting Sponsorship provides eligible parties:

- The opportunity to demonstrate a commitment to the practice and profession of project management by providing support for, and involvement in, the PMI-CIC
- The opportunity to showcase their organization, products and services to the PMI-CIC community in a smaller setting, specifically by:
  - A separate table to display information about their organization and its products and services
  - Distributing pre-approved materials to individual attendees including any giveaway items
  - Promoting their organization and its products and services for a specified length of time

#### 2.1.5.3. Sponsorship Request, Approval & Payment

Sponsors should submit their request no later than fifteen (15) days before the desired Chapter Meeting date to the VP of Communications & Marketing. The VP of Communications & Marketing will review the details of the sponsor's request against the objectives and restrictions defined in this policy. Upon satisfactory review of the sponsorship, the VP of Communications & Marketing will inform the BoD of this sponsorship to elicit the necessary disclosures. If there is no conflict of interest, the sponsor will be sent the PMI-CIC Chapter Meeting Sponsorship Agreement to sign and return with payment of \$500.00 or other mutually agreed upon amount. The President or the VP of Operations will sign the returned agreement with signed copies sent to the sponsor and VP of Communications & Marketing, who will archive the agreement in the appropriate location on the PMI-CIC website.

### 2.1.5.4. Disclosures

When a sponsor is recommended either directly or indirectly, all Board members shall disclose past, present and future relationships with the sponsoring entity or its primary sponsor representative.

In the interest of full disclosure, the Chapter Meeting Sponsorship policy and information about specific sponsorships shall be made available to the membership.

### 2.1.5.5. Restrictions

The PMI-CIC *shall not*:

- Endorse products or services of any other organization (except PMI or PMI Components)
- Co-brand products, services or events of any other organization (except PMI or PMI Components)
- Enter into an agreement with a sponsor or organization that neither promotes the project management profession nor abides by the PMI Code of Ethics and Professional Conduct
- Provide access to the PMI membership directory as a sponsor benefit
- Agree to mass distribution to PMI-CIC members as a sponsor benefit
- Include email advertising as a sponsor benefit
- Accept "in-kind" sponsorship (when a sponsor offers products or services in lieu of money)

Tax regulations permit the PMI-CIC to receive sponsorship income tax-free if what is given the sponsor in return for payment is an

acknowledgement of thanks or recognition. This acknowledgement or recognition can take a variety of forms such as:

- Sign or banner in the room where the sponsored Chapter Meeting is taking place
- Printed or displayed appreciation in a Chapter Meeting program or slide show
- Verbal thanks expressed by volunteers during the Chapter Meeting
- Acknowledgment or recognition may list the sponsor's name, logo, address, telephone number and a list of its products and services
- The sponsor can distribute samples of its products or giveaway items at the sponsored Chapter Meeting

Although there are few restrictions on the format of the acknowledgement or recognition, the PMI-CIC *shall not*:

- Make qualitative judgments on the sponsor's organization, products and services
- Use comparative language or language that implies some level of quality in the acknowledgment or recognition
- Ask Chapter Meeting attendees or the public to buy the sponsor's products or services (even a statement such as "please patronize our sponsors" could turn the sponsorship into advertising or an endorsement, thereby jeopardizing the tax-free nature of the sponsorship payment)

### 2.1.6. Responsibilities

#### Board of Directors (BoD):

- Disclose past, present and future relationships with Chapter Meeting sponsoring entities or their primary sponsor representative.

#### VP of Communications & Marketing:

- Serve as the PMI-CIC Board administrator for Chapter Meeting sponsorships. These duties include:
  - Review sponsor requests for suitability per this policy
  - Elicit disclosures from the BoD related to sponsor requests
  - Approve sponsor requests—soliciting the BoD's input and approval as needed
  - Obtain necessary signatures for the Chapter Meeting Sponsorship agreement and distribute signed copies

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- Collect sponsorship payment and route to VP of Treasury & Finance for deposit

### President or VP of Operations:

- Review and sign on behalf of the PMI-CIC the Chapter Meeting Sponsorship Agreement, thereby obligating the Chapter to the terms therein.

### **2.1.7. Budget Impacts**

The PMI-CIC will receive \$500.00 or other mutually agreed upon cash payment for each Chapter Meeting sponsorship. Any additional costs incurred by the sponsor or the PMI-CIC as a direct result of the sponsorship, shall be paid by the sponsor.

### **2.1.8. Forms & Records**

- The PMI-CIC Chapter Meeting Sponsorship Agreement form and signed agreements can be found in the “Meetings & Workshops” folder under the Board Members area of the PMI-CIC website: <http://www.pmi-centraliowa.org>.

### **2.1.9. References & Resources**

- Example sponsorship policies were obtained via the Internet from the PMI Buffalo, Northeast Wisconsin (PMI-NEW) and Washington D.C. (PMIWDC) Chapter websites and excerpts from these policies were used in drafting the PMI-CIC Chapter Meeting Sponsorship policy.
- PMI Code of Ethics and Professional Conduct: <http://www.pmi.org/About-Us/Ethics/Code-of-Ethics.aspx>

### **2.1.10. Revision History**

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	10/31/2013	Initial Release		Board (12/2013)
2.0	7/9/2015	Update so it is consistent with bylaws and current practice	Craig Hinson, VP of C&M; Mandy	Board (9/2015)

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<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
			Lepley, Director of Marketing	

### 2.2.Policy: Newsletter Publication

<b>Prepared By:</b> Venkateshwara Gupta, V.P. Communication & Marketing and Kevin Brehm, Director of Newsletter	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 22 March 2010	<b>Date:</b>
<b>Prepared By:</b> Craig Hinson, V.P. Communication & Marketing and Sunil Bulusu, Director of Newsletter	<b>Approved:</b> See board meeting minutes
<b>Date:</b> July 28, 2015	<b>Date:</b> September 8, 2015

#### 2.2.1. Definitions

Balanced Scorecard (BSC) Objective – see definition under Strategic Alignment Planning and Reporting (SAPR) policy in Strategic Planning section.

Content – represents articles, events (e.g. Chapter meetings, workshops, Professional Development Day, etc.), new members who have recently joined the PMI-CIC and those that have recently acquired PMI® certification, volunteer opportunities, sponsor information and other information beneficial to the Central Iowa project management community.

Core Service – see definition under Strategic Alignment Planning and Reporting (SAPR) policy in Strategic Planning section.

**All the files specific to newsletters are stored in the Media Manager of our CMS (Joomla).**

#### 2.2.2. Policy Statement

The PMI-CIC will publish a newsletter to its membership and other interested parties as appropriate on a monthly basis or as specified in the PMI-CIC's Strategic Alignment Scorecard (SAS).

### 2.2.3. Purpose

The purpose of this policy is to help ensure the PMI-CIC is communicating on a regular basis to its membership and other parties as appropriate on upcoming Chapter and PMI events, training and other information beneficial to PMI-CIC stakeholders. This policy supports PMI®'s Balance Scorecard Objective to "Make PMI a customer centric organization" through the Core Service of "Communications with Members".

### 2.2.4. Scope

This policy and the procedures described within apply to the PMI-CIC Board of Directors, primarily to the Board officers, the Director of Newsletter, Director of Communications and Director of Website.

### 2.2.5. Timeframes

PMI-CIC will publish a newsletter once a month or as specified in the PMI-CIC SAS. Responsible parties will adhere to the deadlines as specified in the applicable procedures.

### 2.2.6. Responsibilities

#### VP of Communications and Marketing:

- Provide oversight for the newsletter process and approve newsletter.

#### Director of Newsletter:

- Solicit content from the BoD and others as appropriate by specified deadline and provide the means and the process to do so.
- Aggregate articles into the newsletter, distribute for review and approval and send approved newsletter for publishing by specified deadlines.

#### Board of Directors (BoD):

Submit content for the newsletter to the Director of Newsletter. The BoD may also be asked to review content and provide feedback by a specified deadline.



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### Board Officers:

- Submit content for the newsletter to the Director of Newsletter. The Board Officers may also be asked to review content and provide feedback by a specified deadline. Initial review of any submitted content would be done by Director of Newsletter and then if requested, it will be reviewed by the VP of Communications and Marketing and other BoD members.

### Director of Communications:

- If requested by the Director of Newsletter, the Director of Communications will email or distribute electronically the final, approved newsletter to the PMI-CIC membership and other interested parties as appropriate by the specified deadline.

### Director of Website:

- If requested by the Director of Newsletter, the Director of Website will Post the newsletter to the PMI-CIC website and update membership and certification statistics on the website.

### Director of Social Media

- If requested by the Director of Newsletter, the Director of Social Media will update appropriate on Social Networks.

## 2.2.7. Budget Impacts

None

## 2.2.8. Procedure: Publish Newsletter

<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>Before the 2<sup>nd</sup> Thursday of each Month</b>	<b>1. Send a Request to Content Providers for Content /Articles (for next upcoming month newsletter)</b>	Director of Newsletter
<b>Before the 20<sup>th</sup> of each Month</b>	<b>2. Send a Reminder to Content Providers for Content /Articles (for next upcoming month newsletter)</b>	Director of Newsletter
<b>2<sup>nd</sup> Thursday</b>	<b>3. Receive Request for Content/Articles</b>	Content Providers amd

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
of each Month		Board of Directors
Before the 20 <sup>th</sup> of each Month	<b>4. Submit Content/Articles (for next upcoming month newsletter)</b>	Content Providers and Board of Directors
Between 20 <sup>th</sup> and 25 <sup>th</sup> of each Month	<b>5. Aggregate Content/Articles (for next upcoming month) into Newsletter Format</b>	Director of Newsletter
25 <sup>th</sup> of each Month	<b>6. Distribute Newsletter Draft for Review and Approval</b> <b>6.1. The Director of Newsletter will email the members from the BoD and Communications and Marketing Team.</b>	Director of Newsletter
Before Last Day of each Month	<b>7. Review and provide feedback to Director of Newsletter and VP of Communications and Marketing</b>	Board of Directors
	<b>7.1. Any last minute changes/revisions should be directly emailed to the Director of Newsletter with a copy sent to VP of Communications and Marketing. Based on the extent of the change, the article would be either edited/removed from the newsletter. If it is removed, it will be added back to the pipeline for the subsequent newsletter.</b>	Content Providers and Board of Directors
	<b>7.2. VP of Communications and Marketing approves newsletter.</b>	
1 <sup>st</sup> of each Month	<b>8. Distribute approved newsletter to membership and other interested parties</b>	Director of Newsletter
1 <sup>st</sup> of each Month (End of Procedure)	<b>9. Post Newsletter to PMI-CIC Website</b>	Director of Newsletter

**2.2.9. Success Criteria**

Successful execution of the Newsletter Publication Policy is evidenced by the following:

- Newsletter is published to the PMI-CIC membership and other interested parties as appropriate by the specified deadline on a consistent basis, i.e. once a month or as specified in the PMI-CIC SAS.

- Newsletter meets the needs of the Central Iowa project management community as much as possible and meets the objectives and targets specified in the PMI-CIC SAS.

**2.2.10. Forms & Records**

- None

**2.2.11. Revision History**

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	3/31/2010	Initial Release		
2.0	7/17/2015	Updates to flow diagram and other edits	Sunil Bulusu	Board (see meeting minutes)
2.1	7/28/2015	Updates to simplify process	Craig Hinson	Board (see meeting minutes)

**3. Strategic Planning**

**3.1. Policy: Strategic Alignment Planning and Reporting (SAPR)**

<b>Prepared By:</b> Norm Veen, President-Elect & Director of Strategic Planning	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 15 March 2010	<b>Date:</b> 12 December 2013

**3.1.1. Definitions**

Balanced Scorecard (BSC) – method used to translate PMI’s mission and strategies into objectives and measures, organized around four perspectives or categories:

- *Stakeholder Intimacy* – provide value to stakeholders (manifested in results from other perspectives)
- *Internal Business Processes* – how we operate to fulfill the vision or what we must excel at

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- *Culture and Capabilities* – how we improve our competency or how we better ourselves
- *Resources* – leverage people, time and \$\$\$ to achieve objectives

The four perspectives listed above are further broken down into BSC Strategic Objectives or areas of focus against which components' (e.g. PMI-CIC) initiatives can be aligned and measured using the Strategic Alignment Scorecard (SAS).

Charter Renewal – annual process to be completed by each chapter to provide the required documentation, demonstrating that the chapter has satisfied the minimum standard performance established by PMI. This process is to be completed by February 28<sup>th</sup> of each year or as required by PMI.

Core and Extended Services – services components deliver to provide value to their members. Core services must be provided by the components whereas Extended services are additional services that a component may provide. Each service has a description, a measure and a minimum level to be provided, which is documented in the Catalog of Core and Extended Services. The Catalog is not an exhaustive list of services but a resource tool to help guide components on what they can provide to their membership and community.

Mission – statement that defines the core purpose of the PMI-CIC organization, that is, why it exists. Mission provides focus for those internal to the organization, primarily the PMI-CIC BoD, who develops the strategy and decides on initiatives, objectives, targets and measures to ensure they are consistent and aligned with the PMI-CIC's purpose.

Strategic Alignment Scorecard (SAS) – reporting tool used by components to align initiatives (i.e. services, projects and products) with PMI BSC Strategic Objectives and measure their results against defined targets. The SAS is required to be reported annually to the PMI GOC as part of the Charter Renewal process.

Strengths, Weaknesses, Opportunities, and Threats (SWOT) Analysis – assessment done at the PMI-CIC's annual Strategic Planning Session. This assessment answers the following questions as it relates to each of the above:

- Strengths – What do we do well and what advantages do we have?
- Weaknesses – In what areas do we need to improve?
- Opportunities – What opportunities are present that we should pursue?
- Threats - What do we face that may endanger the pursuit of our mission?

Value Proposition – benefits or value the PMI-CIC offers its stakeholders

(see current PMI-CIC Strategic Plan for what constitutes its stakeholders). Value proposition provides focus on the needs of the Central Iowa project management community at large in order that the PMI-CIC strategy addresses these needs.

Vision – a word picture of what the PMI-CIC intends ultimately to become. Vision is more concrete, less abstract, than the mission statement. Vision provides context and meaning to help clarify which initiatives the PMI-CIC should undertake.

### 3.1.2. Policy Statement

The PMI-CIC BoD will complete SAPR on an annual basis and report the results to PMI GOC in the manner specified.

### 3.1.3. Background

In 2006, the PMI (Global) Board of Directors led an initiative to assist components in aligning their objectives to PMI's Strategic Plan. The goal was to ensure that all PMI chapters were working together towards advancing the interests of the PMI stakeholders within their areas of operation, both geographically and virtually.

In 2007, PMI also introduced a set of core and extended services, with target metrics, designed to help communities deliver consistent value to their members. These services and metrics were defined by PMI and Member Advisory Group (MAG) volunteers following the completion of the Community Transformation Project (CTP) as a result of a member needs assessment. The services document, originally introduced to components as the Performance Management Framework (PMF), is now known as the Catalog of Core and Extended Services.

### 3.1.4. Purpose

Beginning in 2009, PMI requires that each PMI component perform, at least annually, strategic planning and alignment and report its results to the PMI Global Operations Center (GOC) via the Strategic Alignment Scorecard (SAS) for the Charter Renewal. SAPR is a means for PMI to ensure that all components are aligned to the PMI Strategic Plan and the Balanced Scorecard (BSC) objectives. A community is aligned when each of the services received by its members is associated with a PMI Strategic Plan Objective. The result is enhanced member value while supporting the overall direction of PMI, which is normalization and growth of member value worldwide.

### **3.1.5. Scope**

This policy and the procedures described within apply to the PMI-CIC Board of Directors, primarily to the Board officers and the Director of Strategic Planning.

### **3.1.6. Timeframes**

PMI-CIC conducts SAPR annually in the months of January and February when the PMI-CIC Board begins a new year. The completed strategic planning documents must be submitted to the PMI-CIC Board of Directors for review before the February BoD Meeting so the final results can be reported as part of the Charter Renewal process completed by February 28<sup>th</sup>.

### **3.1.7. Responsibilities**

The Director of Strategic Planning and the President are responsible to drive SAPR. The other Board officers and appointed Directors also participate in strategic planning and are responsible for providing actuals against targets for initiatives in their respective area for the preceding year and to provide input into the initiatives and targets for the current and succeeding years in order to complete the SAS. The BoD can, at its discretion, involve other members and non-members in strategic planning.

### **3.1.8. Budget Impacts**

The annual Strategic Planning Session will have a \$75-\$100 impact to the PMI-CIC Operating Budget for food, drink and materials for those participating in the session.

### **3.1.9. Procedure: Complete SAPR**

<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>December</b>	<b>1. Prepare for Annual Strategic Alignment Planning and Reporting (SASR) Procedure:</b>	
	1.1. Review any changes from PMI GOC concerning PMI's Strategic Plan, SAPR and the SAS template. Incorporate any pertinent changes in PMI-CIC's strategy materials and this procedure as appropriate.	Director Strategic Planning
	1.2. Schedule Strategic Planning Session for PMI-CIC BoD for mid-January (normally a face-to-face 3-4-hour session on a Saturday morning, food/drink for this should be budgeted in Operating Budget)	Director Strategic Planning

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	1.3. Update the PMI-CIC SAS Master spreadsheet to record final results of the current year so a four-year historical view is presented. Prior years can be placed in other tabs of the PMI-CIC SAS Master spreadsheet for archival purposes. Update the PMI-CIC Strategic Plan presentation with the current year results. These materials are for the BoD to use for the Strategic Planning Session.	Director Strategic Planning
	1.4. Create a Strategic Planning Session agenda document that incorporates creation/update of the PMI-CIC SWOT and BSC planning / brainstorming exercises.	Director Strategic Planning
	1.5. Create PMI-CIC BSC Planning Worksheet for the coming year that shows current year results and a placeholder for initiatives for the coming year with targets, owners, and due dates. This worksheet is organized by the following Strategic Areas: 1) Members – What value do we bring to our members? 2) Volunteers – What are our volunteer needs & expectations? 3) Operations – What are the key projects and priorities for the new year? 4) Financials – What are our revenue and expenses expected for the new year?	Director Strategic Planning
<b>Early January before Strategic Planning Session</b>	1.6. Distribute the PMI-CIC Strategic Plan presentation, PMI-CIC SAS Master spreadsheet, Strategic Planning Session Agenda and Planning Worksheet to the PMI-CIC BoD and schedule and conduct a PMI-CIC strategy orientation session (via a conference call) for new and existing BoD members to cover the strategy presentation and the SAS prior to the Strategic Planning Session. Post prior year PMI-CIC Strategic Plan presentation with updated results for the prior year on the public PMI-CIC website area.	Director Strategic Planning
<b>Mid- January</b>	<b>2. Conduct Strategic Planning Session with PMI-CIC BoD:</b>	<b>Facilitated by Director Strategic Planning</b>
	<b>2.1.</b> Review PMI-CIC’s mission & vision (internally focused) and value proposition (externally focused) so participants understand how they relate to strategy.	Director Strategic Planning
	<b>2.2.</b> Review prior year’s SWOT analysis and update accordingly based on session discussion.	BoD
	<b>2.3.</b> Complete Planning Worksheet – review and document prior year’s results and determine present year’s initiatives & targets against BSC Strategic Objectives.	BoD
	<b>3. Finalize, Approve and Report Results:</b>	

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>Before February BoD Meeting</b>	<b>3.1.</b> Update SWOT Analysis, SAS, Strategic Plan presentation, and Planning Worksheet documents based on strategic planning session and other feedback from PMI-BoD. Distribute these completed documents to PMI-CIC BoD and post to the Strategic Planning folder under the Board Members area of the PMI-CIC website.	Director Strategic Planning
<b>February BoD Meeting</b>	<b>3.2.</b> Vote to approve PMI-CIC SWOT Analysis and initiatives for the coming year.	President & Board Officers
<b>By February 28th</b>	<b>3.3.</b> Use the updated PMI-CIC SAS Master spreadsheet for the prior year information to complete the Operational Performance section of the Charter Renewal.	Immediate Past President
<b>May – July</b>	<b>4. Receive and Review Feedback from PMI GOC Chapter Satisfaction Survey</b>	
	<b>4.1.</b> Present survey results to PMI-CIC BoD when received from PMI-GOC.	President
	<b>4.2.</b> Incorporate results into SAS and Strategic Plan presentation for current year. Post current year Strategic Plan presentation on the public PMI-CIC website area.	Director Strategic Planning
<b>During the Year</b>	<b>5. Monitor and Record Results:</b>	
	<b>5.1.</b> Present periodic status on SAS targets as warranted to PMI-CIC BoD.	Director Strategic Planning
	<b>5.2.</b> As accomplishments and events occur that pertain to the SAS, record results and document evidence of these (in case SAS is later audited by PMI GOC).	Director Strategic Planning

**3.1.10. Success Criteria**

Annual SAPR has successfully completed as evidenced by the following:

- Strategic Planning Session held with BoD and SWOT Analysis and SAS updated
- Membership satisfaction survey completed and recorded in SAS
- Final SWOT Analysis and SAS approved by BoD officers



- SAS reported to PMI GOC via the Charter Renewal process

**3.1.11. Forms & Records**

- The PMI-CIC Strategic Planning documents used in this procedure can be found in the “Strategic Planning” folder under the Board Members area of the PMI-CIC website: <http://www.pmi-centraliowa.org>.
- The PMI-CIC’s current Strategic Plan can be found on the PMI-CIC home web page at: <http://www.pmi-centraliowa.org> under the “ABOUT US” tab.

**3.1.12. References & Resources**

- Niven, Paul R., Balanced Scorecard Step-by-Step for Government and Non-Profit Agencies, Wiley, John & Sons, Inc., 2008, ISBN-13: 9780470180020
- PMI Strategic Planning materials on SAPR, SAS, Catalog on Core and Extended Services & Business Planning available at PMI Component Leadership Community site at: <http://leadership.vc.pmi.org/Share/Documents.aspx> under various “Strategic” subfolders under “Toolkit” within the “Documents” main folder.

**3.1.13. Revision History**

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	3/1/2010	Initial Release		
1.1	5/31/2013	Revision to align with Charter Renewal Process	Norm Veen	Board (12/2013)

**4. Treasury & Finance**

**4.1.Policy: Investments**

<b>Prepared By:</b> Norm Veen, President-Elect	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 3 April 2010	<b>Date:</b> 12 December 2013

### 4.1.1. Definitions

AA Bond Rating - measure of the quality and safety of a bond, based on the issuer's financial condition. More specifically, an evaluation from a rating service indicating the likelihood that a debt issuer will be able to meet scheduled interest and principal repayments. Typically, AAA is highest (best), and D is lowest (worst).

### 4.1.2. Policy Statement

PMI-CIC may not invest or hold Chapter funds in insecure or risky instruments, including uninsured checking and saving accounts, bonds of less than AA rating, or in non-interest bearing accounts, except where necessary to facilitate financial transactions on behalf of the PMI-CIC.

### 4.1.3. Purpose

The purpose of this policy is to help ensure the PMI-CIC is responsible with its financial resources, to provide Board officers investment guidance for PMI-CIC funds, and to support the requirement of Article VIII – Finance, Section 3 of the PMI-CIC Bylaws for the Board to establish policies and procedures to govern the management of PMI-CIC finances.

### 4.1.4. Scope

This policy applies to the management of all PMI-CIC funds.

### 4.1.5. Responsibilities

VP of Treasury & Finance:

- Manage PMI-CIC funds and investments per approved policies.
- Provide Board officers financial statements to review on a monthly basis.

President & Other Board Officers:

- Review financial statements on a monthly basis to validate that funds and investments are managed per approved policies.

**4.1.6. Success Criteria**

Successful execution of the Investments Policy is evidenced by the following:

- PMI-CIC funds are in interest-bearing, insured checking and savings accounts, except where necessary to facilitate financial transactions on behalf of the PMI-CIC.
- If some PMI-CIC funds are invested in bonds, they must have a rating of AA or higher.

**4.1.7. References & Resources**

- Laughlin, Frederic L. and Andringa, Robert C., Good Governance for Nonprofits: Developing Principles and Policies for an Effective Board, AMACOM Books, 2007, ISBN: 9780814474525

**4.1.8. Revision History**

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	4/3/2010	Initial Release		
1.1	6/7/2013	Remove 'preferably'	Dave Hudson	Board (12/2013)

**4.2. Policy: Program & Project Budgets**

<b>Prepared By:</b> Dave Hudson, V.P. Treasury & Finance and Russ Cooner, Director of Budgets	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 15 March 2010	<b>Date:</b> 12 December 2013

### 4.2.1. Definitions

Program or Project Budget – represents in dollars and cents the revenues, if any, and costs or expenses to complete the program or project initiative.

Contingency – a provision in the program or project budget to mitigate risk, usually expressed as a percentage (e.g. 10%, 15%, or 20%) and/or dollar amount of the total budgeted expenses.

### 4.2.2. Policy Statement

Program and Project Managers for PMI-CIC initiatives must have a budget approved by the PMI-CIC Board officers before funds can be disbursed on behalf of the program or project. Changes to an approved program or project budget must also be approved by the PMI-CIC Board officers.

Board approval for program and project budgets requires a simple majority of the Board voting officers comprising a quorum in the manner specified in Article V – Board of Directors, Section 14 of the PMI-CIC Bylaws.

### 4.2.3. Purpose

The purpose of this policy is to help ensure the PMI-CIC is responsible with its financial resources, to provide Program and Project Managers budgetary guidance for PMI-CIC initiatives, and to support the requirement of Article VIII – Finance, Section 3 of the PMI-CIC Bylaws for the Board to establish policies and procedures to govern the management of PMI-CIC finances.

### 4.2.4. Scope

This policy and the procedures described within apply to all initiatives that take the form of programs and projects that the PMI-CIC has decided to undertake.

### 4.2.5. Responsibilities

Program or Project Manager:

- Deliver a proposed budget to the BoD within 30 days after being named to head the initiative or, if appropriate, request “seed” money to

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carry the team until the budget can be prepared and approved (seed money needs to be included in the total budget).

- Use the budget policies, procedures and artifacts provided by the Vice President (VP) of Treasury & Finance (T&F) and the Director of Budgets.

Once the Board officers have approved the budget, the Program or Project Manager is responsible to:

- Track all revenues and expenses against the budget.
- Submit a Profit & Loss (P&L) Statement (as provided in the budget worksheet) to the VP of T&F each month during the life of the project and a final P&L Statement before the Program or Project Team disbands at the end of the initiative.
- Spend responsibly and be cognizant that the Program or Project Team is spending the membership's money.
- Discuss questionable, proposed expenditures with the VP of T&F and/or the Director of Budgets before committing the funds.

### VP of Treasury & Finance & Director of Budgets:

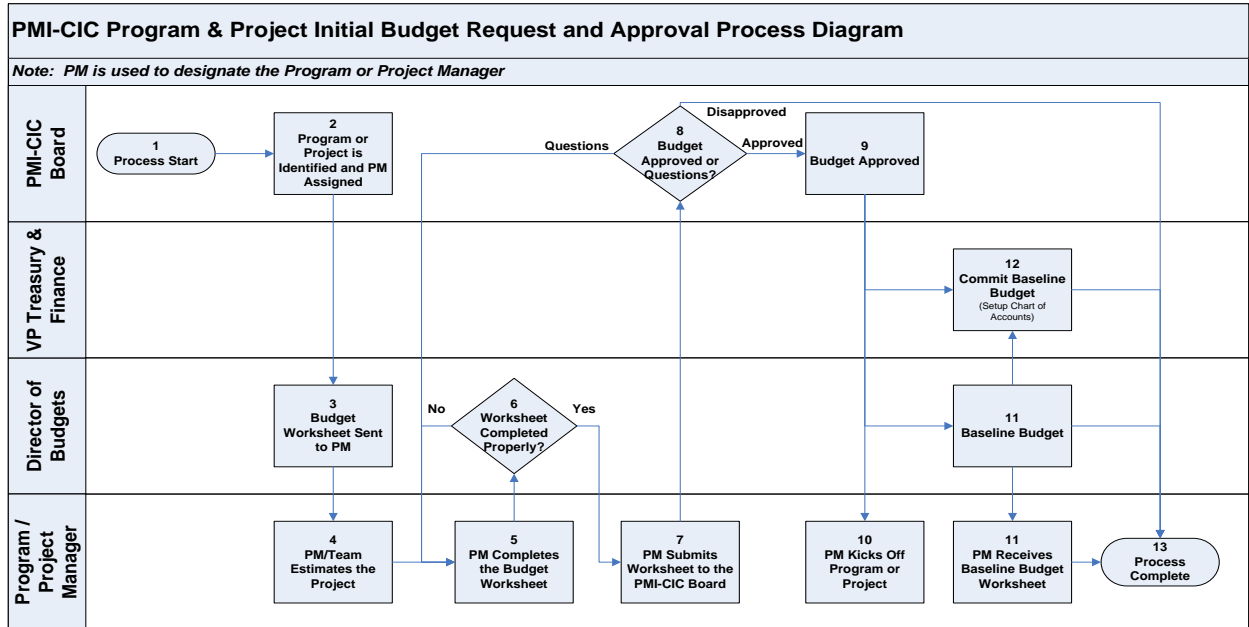
- Educate Program and Project Managers and their teams on the established PMI-CIC financial policies, procedures, budget artifacts and status reports and help to ensure their use.

### Board Officers:

- Review and vote on proposed budgets in a timely manner.
- The Board officers, especially the VP of T&F, have a fiduciary responsibility to the PMI-CIC membership to spend their money in an appropriate and prudent manner. If appropriate, the VP of T&F can challenge how specific budget money was spent. The VP of T&F may choose to bring specific budget spending or reimbursement requests to the attention of the Board officers for discussion, and, if necessary, request a vote if a resolution cannot be found with the person(s) who are requesting expenditure or reimbursement of funds.

### **4.2.6. Procedure: Initial Budget Request and Approval**

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>Program / Project Initiation</b>	<b>1. Initiate Program or Project</b>	BoD
	<b>2. Identify/Approve Program or Project to Proceed and Assign PM:</b> <i>(Note: PM is used to designate the Program or Project Manager throughout this procedure)</i>	
	<b>2.1.</b> Create Program or Project Charter and obtain a volunteer PM to manage the initiative	Board Officers
	<b>2.2.</b> Notify Director of Budgets of the Program or Project approval to proceed	Board Officers
<b>Upon Board Approval to Proceed &amp; PM Assigned</b>	<b>3. Send Budget Worksheet to PM:</b>	
	<b>3.1.</b> Send Budget Worksheet to PM and provide consultation on budget policies and procedures to the PM and Team as needed	Director Budgets
	<b>4. Estimate the Program or Project:</b>	
	<b>4.1.</b> Develop the required estimates to establish the overall budget with a contingency included	PM & Team
	<b>5. Complete Budget Worksheet:</b>	

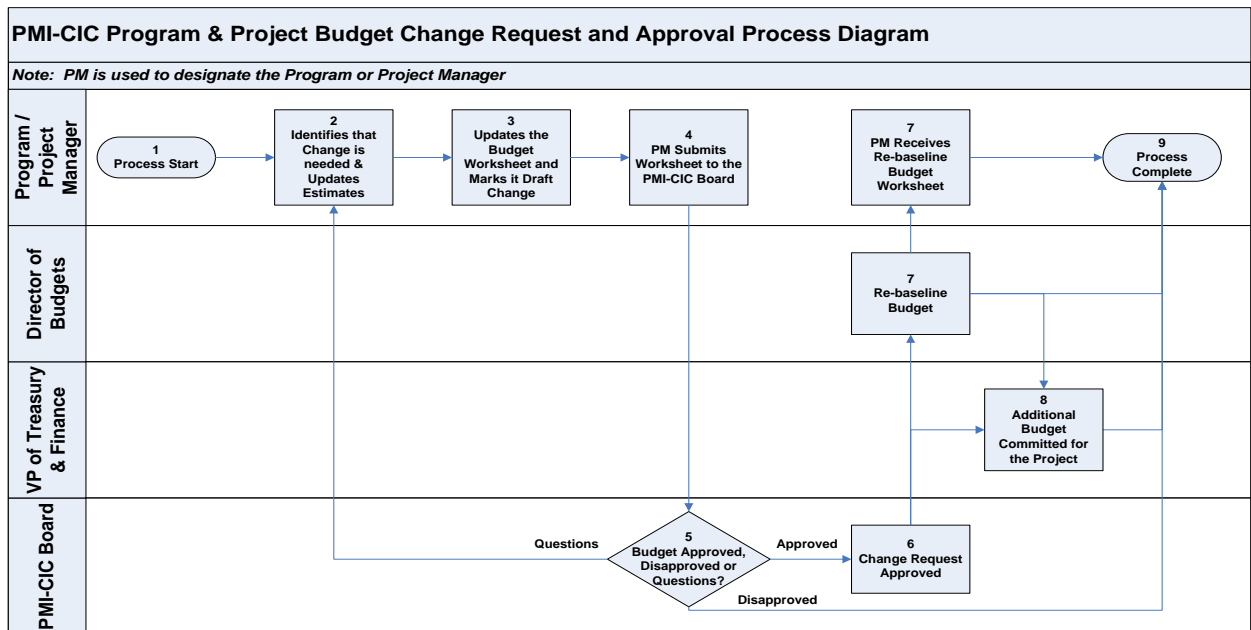
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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	<b>5.1.</b> Complete/update Budget Worksheet and submit to Director of Budgets for review	PM
<b>When PM &amp; Team Complete Estimates &amp; Budget Worksheet</b>	<b>6. Review Budget Worksheet:</b>	
	<b>6.1.</b> Review Budget Worksheet to ensure that it has been completed properly	Director Budgets
	<b>6.2.</b> If Budget Worksheet has not been completed properly, send back to PM and identify issues/errors and work with PM to complete Budget Worksheet properly	Director Budgets & PM
	<b>6.3.</b> If Budget Worksheet has been completed properly, notify PM	Director Budgets
<b>Upon Proper Completion of Budget Worksheet</b>	<b>7. Submit Budget Worksheet to PMI-CIC BoD</b>	
	<b>7.1.</b> Schedule to be put on next BoD meeting agenda to present program or project budget to BoD	PM
<b>Next BoD Meeting (within 30 days of PM Assigned)</b>	<b>8. BoD Review of Program or Project Budget:</b>	
	<b>8.1.</b> Present budget to BoD and answer any questions about the budget	PM
	<b>8.2.</b> If there are questions that cannot be answered at the BoD meeting, return to PM & Team to resolve and resume procedure at step or activity # 5	PM
	<b>8.3.</b> If budget is not approved, the project will be closed (i.e. proceed to step or activity #13)	Board Officers
	<b>9. Approve Program or Project Budget:</b>	
	<b>9.1.</b> PMI-CIC Board Officers approve the program or project budget and notify the VP of Treasury & Finance and Director of Budgets that the budget has been approved	Board Officers

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	<b>9.2.</b> Submit approved budget worksheet to Director of Budgets	PM
<b>Upon Budget Approval</b>	<b>10. Kick Off the Project or Program:</b>	
	<b>10.1.</b> Kick off program or project according to established plan	PM
	<b>11. Baseline Approved Program or Project Budget:</b>	
	<b>11.1.</b> Maintain the approved Budget Worksheet, lock the budget related cells in the worksheet and forward to the PM and the VP of Treasury & Finance	Director Budgets
	<b>12. Commit Program or Project Budget:</b>	
	<b>12.1.</b> Reserve the specified funds and set up the Chart of Accounts for the program or project	VP Treasury & Finance
<b>End of Procedure</b>	<b>13. Initial Budget Request and Approval Procedure Complete</b>	

### 4.2.7. Procedure: Budget Change Request and Approval





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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>Change Trigger Occurs</b>	<b>1. Initiate Change Budget Procedure</b>	PM
	<b>2. Identify Needed Change and Update Estimates:</b> <i>(Note: PM is used to designate the Program or Project Manager throughout this procedure)</i>	
	<b>2.1.</b> Determine if budget change request is needed (if change request is not really needed, end the procedure)	PM & Team
	<b>2.2.</b> Update estimates to reflect needed change	Team
	<b>2.3.</b> Review estimates and work with Team on changes	PM
<b>PM &amp; Team Determine Change Request is Needed &amp; Estimates Updated</b>	<b>3. Update Budget Worksheet:</b>	
	<b>3.1.</b> Based on the updated estimates, update Budget Worksheet, marking all changes in blue and mark the worksheet Draft Change	PM
<b>Budget Worksheet Updates Complete</b>	<b>4. Submit Updated Budget Worksheet to PMI-CIC BoD:</b>	
	<b>4.1.</b> Schedule to be put on next BoD meeting agenda to present program or project budget to BoD	PM
<b>Next BoD Meeting</b>	<b>5. BoD Review of Updated Program or Project Budget:</b>	
	<b>5.1.</b> Present updated budget to BoD and answer any questions about the change request	PM
	<b>5.2.</b> If there are questions that cannot be answered at the BoD meeting, no approval will be received and return request to PM & Team to resolve and resume procedure at step or activity #2	PM
	<b>5.3.</b> If budget change request is not approved, make necessary reductions to put program or project within its budget and procedure ends (i.e. proceed to step or activity #9)	Board Officers (disapproval) PM (reductions)
	<b>6. Approve Updated Program or Project Budget:</b>	
	<b>6.1.</b> PMI-CIC Board Officers approve the change request and notifies the VP of Treasury & Finance and Director of Budgets that the budget change request	Board Officers

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	has been approved	
<b>Upon Budget Approval</b>	<b>7. Re-baseline Updated Program or Project Budget:</b>	
	7.1. Update Budget Worksheet (with version control) and forward to PM and the VP of Treasury & Finance	Director Budgets
	<b>8. Commit Additional Program or Project Budget:</b>	
	8.1. Reserve the additional funds for the program or project	VP Treasury & Finance
<b>End of Procedure</b>	<b>9. Budget Change Request and Approval Procedure Complete</b>	

**4.2.8. Success Criteria**

Successful execution of the Program and Project Budget Policy is evidenced by the following:

- Program/Project Teams follow budget request, approval and reporting procedures properly
- Money is spent prudently and within approved budget
- Program/Project objectives are successfully met

**4.2.9. Forms & Records**

- The PMI-CIC Program/Project Budget Worksheet referenced in these procedures can be found in the “Treasury & Finance” folder under the Board Members area of the PMI-CIC website: <http://www.pmi-centraliowa.org>.

**4.2.10. Revision History**

Revision	Date	Description	Requested By	Approved By
1.0	3/15/2010	Initial Release		Board (12/2013)
1.1	12/11/2014	Reflect Director of Budgets title change from Director of Project Budgets	Board	Board (12/2014)

### 4.3.Policy: Reimbursement of Expenses

<b>Prepared By:</b> Dave Hudson, V.P. Treasury & Finance and Norm Veen, President- Elect	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 15 July 2010	<b>Date:</b> 12 December 2013

#### 4.3.1. Policy Statement

The PMI-CIC is to reimburse individuals for approved, reasonable, proper and necessary expenses incurred in conjunction with approved initiatives of the Chapter.

#### 4.3.2. Purpose

The PMI-CIC has always been dependent upon the contribution of the time and talent from its members and other volunteers without compensation. It is, however, the responsibility of the Chapter to provide reimbursement for out-of-pocket expenses incurred while conducting the formal affairs of the Chapter. It is the intent of the PMI-CIC BoD to compensate the volunteers of the Chapter fairly for their out-of-pocket expenses while exercising fiscal constraint with its financial resources and to support the requirement of Article VIII – Finance, Section 3 of the PMI-CIC Bylaws for the Board to establish policies and procedures to govern the management of PMI-CIC finances.

#### 4.3.3. Scope

This policy applies to cover volunteer out-of-pocket expenses while engaged in authorized work of the Chapter, subject to the related policies and procedures described within this document. The financial liability of the PMI-CIC to any volunteer who incurs out-of-pocket expenses while performing work for the Chapter is limited to the funds authorized by the appropriate Board officer and for which have been properly budgeted.

#### 4.3.4. Responsibilities

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### VP of Treasury & Finance:

- Ensure the policies and procedures relating to reimbursement of out-of-pocket expenses have been followed. May choose to bring specific spending or reimbursement requests to the attention of the BoD for discussion, and if necessary, a vote, if resolution cannot not be obtained with the person(s) requesting reimbursement.
- Approve out-of-pocket expenditures up to \$500.00 and expenditures of \$500.00 or more with the President (this only applies for expenditures that are not part of an approved budget). Write and distribute checks for out-of-pocket expenses twice each month, near the middle and last of days of the month.

### President:

- Approve out-of-pocket expenditures of \$500.00 or more along with VP of Treasury & Finance (this only applies for expenditures that are not already part of an approved budget).

### President-Elect:

- Approve out-of-pocket expenditures of \$500.00 or more for out-of-pocket expenses for the President, as specified, in Article VIII – Finance, Section 6 of the PMI-CIC Bylaws (this only applies for expenditures that are not already part of an approved budget).

### Other Board Officers:

- Ensure Directors within area of responsibility submit out-of-pocket expenses that are approved and properly budgeted.
- Approve out-of-pocket expenditures of \$500.00 or more for out-of-pocket expenses for the President, as specified, in Article VIII – Finance, Section 6 of the PMI-CIC Bylaws (this only applies for expenditures that are not already part of an approved budget).

### Requestor to be Reimbursed:

- Ensure reimbursable expenses have been properly budgeted and/or approved by the appropriate Board officer. If a request item is questionable, discuss proposed expenditure with the VP of Treasury & Finance before committing funds.
- Complete PMI-CIC Expense Report Worksheet to request out-of-pocket expenses and attach detailed receipts and submit these to the VP of Treasury & Finance for reimbursement. Email, with the PMI-CIC Expense Report Worksheet and scanned receipts as attachments, is the preferred method for submitting items for reimbursement.

## 4.3.5. Related Policies

### 4.3.5.1. Non-Reimbursable Expenses

The following are typically non-reimbursable expenses unless the PMI-CIC BoD's approves an exception to the following guidelines. Such exceptions should, whenever feasible, be made in advance of incurring any pertinent expense.

- Alcoholic beverages, except when the BoD has approved their purchase in advance. All such approvals must be noted in the BoD's meeting minutes
- First class and spouse travel
- Upgrades to air travel, car rentals or hotel rooms
- Purchase of clothing, luggage, toiletries and other miscellaneous personal items
- Supplemental travel or car rental insurance
- Fines, penalties or legal fees
- Personal entertainment or recreational expenses

### 4.3.5.2. Cash Advances

Funds are normally reimbursed upon delivery of a paid receipt from a vendor or service provider. It is not the normal policy of the PMI-CIC to make cash advances. The VP of Treasury & Finance may make an exception to this policy in the event of exceptional situations, or if time is of the essence.

### 4.3.5.3. Travel Expenses

The policy of the PMI-CIC is to reimburse individuals for approved, reasonable, proper and necessary travel expenses incurred in conjunction with approved initiatives of the Chapter. It is the Chapter's policy that all travel be conducted in the least expensive manner as possible. Receipts are required for all transportation expenses of \$10.00 or greater.

#### 4.3.5.3.1.1. Mileage Reimbursement

The Chapter will reimburse actual and necessary expenses. This includes mileage in a privately owned vehicle (POV) and related tolls and parking. Mileage

costs will be reimbursed at the current Internal Revenue Service (IRS) approved rate.

### **4.3.5.3.1.2. Parking and Tolls**

The Chapter will reimburse for parking and tolls associated with long distance trips.

### **4.3.5.3.1.3. Air Travel**

The Chapter will reimburse for airfares to approved destinations. Travelers should use the lowest airfares possible and will be reimbursed for special promotional tourism or economy fares as long as these fares do not exceed the lowest available coach fares. Airfare for first class and spouse travel is not reimbursable.

In cases where cancellation fees/penalties are incurred as result of a change of plans, the fees will be reimbursed if there is a valid business reason for the change of plans. Acceptable business reasons include the organization canceling or altering the trip or delays in flight connections. The explanation should be attached as documentation with the PMI-CIC Expense Report Worksheet. In instances where these fees/penalties are incurred without adequate explanation, the cost of the fees/penalties will not be reimbursed.

### **4.3.5.3.1.4. Lodging**

Accommodations that meet business and personal needs and offer good value should be selected whenever possible. Travelers should use standard single room accommodations at medium range hotels whenever possible. Additional room upgrade costs (e.g. suite, executive floor, room with a view, etc.) are not reimbursable. Receipts for all lodging must be attached to the PMI-CIC Expense Report Worksheet and itemized by expense category (hotel, meals, telephone, parking, etc.). Travelers will be reimbursed for actual lodging costs.

### **4.3.5.3.1.5. Hotel Surcharges**

Hotel Internet charges to access e-mail, conduct Chapter business, and other job-related duties while traveling are reimbursable up to \$10.00 per day. Personal phone calls to the traveler's home are not reimbursable, only Chapter related calls are reimbursable. Hotel long distance phone service only should be used as a last resort since these surcharges can be as much as 100% of the actual cost of the call.

### **4.3.5.3.1.6.**

#### **Meals**

Meal reimbursement includes breakfast, lunch and dinner (includes tips). Excluded are alcoholic beverages, entertainment expenses and other types of personal expenses not relating to these specific meals. Reimbursement is not to exceed \$50.00 per day or the per diem limit set by the BoD.

### **4.3.5.3.1.7.**

#### **Automobile Rental**

Automobiles should be rented only when the cost advantages are clearly justified (i.e. the cost of the rental car would be less than using taxis, etc.). Travelers are expected to use one of the lower cost car rental firms. All rental car receipts received by the traveler must be submitted with the PMI-CIC Expense Report Worksheet.

### **4.3.5.3.1.8.**

#### **Ground Transportation**

The Chapter will reimburse for ground transportation. It is recommended that taxicabs be used where possible since they are generally the lowest cost and preferred method of ground transportation.

### 4.3.6. Procedure: Expense Reporting & Reimbursement

<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>Within 30 days of incurred expenses</b>	<b>1. Ensure all expenses to be submitted for reimbursement are substantiated with original receipts:</b>	Requestor to be reimbursed
	1.1. In the event that it is impractical to obtain a required receipt or if such receipt has been inadvertently destroyed, the requestor should furnish a written statement to that effect, as well as an explanation of the expenditure involved	
	<b>2. Complete PMI-CIC Expense Report Worksheet:</b>	Requestor to be reimbursed
	2.1. Show name, mailing address and email address of the person who will receive the check	
	2.2. Give purpose of expenditures (e.g. Attended PMI Region 2 Meeting)	
	2.3. If prior authorization is required, list who authorized expenses	
	2.4. Itemize expenses by date in the categories shown on the Expense Report	
	2.5. Make a copy of Expense Report and receipts for requestor's records	
	2.6. Sign and date Expense Report and attach original receipts and other required documentation to Expense Report	
	<b>3. Submit PMI-CIC Expense Report Worksheet and Receipts to VP of Treasury &amp; Finance:</b>	Requestor to be reimbursed
	3.1. Email, with the PMI-CIC Expense Report Worksheet and scanned receipts as attachments, is the preferred method for submitting items for reimbursement.	
	3.2. If mailing Expense Report, send to "PMI-CIC, P.O. Box 71396, Des Moines, IA 50325"	
<b>Within 2 weeks of receipt of Expense Report</b>	<b>4. Review Expense Report:</b>	
	4.1. Perform due diligence to ensure Expense Report and attached receipts are in order, total correctly and that the expenses have the proper authorization, as	VP Treasury & Finance



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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	appropriate. If reimbursement request is in good order, proceed to step or activity #5.	
	4.2. If there are questions, errors or challenges to the expenses, the VP of Treasury & Finance will contact the requestor for clarification and/or correction. Upon clarification and/or correction, if reimbursement request is now in good order, proceed to step or activity #5.	VP Treasury & Finance and Requestor to be reimbursed
	4.3. If VP of Treasury & Finance and requestor cannot come to resolution on reimbursement, the VP of Treasury & Finance must bring reimbursement request to the attention of the BoD for discussion, and, if necessary, vote on the resolution of the reimbursement request. If reimbursement request is approved, proceed to step or activity # 5. If request is not approved, proceed to step or activity #7)	VP Treasury & Finance and Board Officers
<b>Upon completion of review of Expense Report</b>	<b>5. Approve Reimbursement Request:</b>	
	5.1. Approve and sign Expense Report if under \$500.00 (this approval only applies for expenditures that are not already part of an approved budget)	VP Finance & Treasury
	5.2. If Expense Report is \$500.00 or over, ensure that the President’s approval has been obtained in writing (via either hardcopy or e-mail) and attach to Expense Report (this approval only applies for expenditures that are not already part of an approved budget)	VP Treasury & Finance and President
	5.3. If Expense Report is \$500.00 or over and reimburses the President, ensure that either the President-Elect’s approval has been obtained in writing (via either hardcopy or e-mail) or a simple majority vote of the Board officers, excluding the President, has been obtained (this approval only applies for expenditures that are not already part of an approved budget)	VP Treasury & Finance, President-Elect or Board Officers
<b>Upon Request Approval</b>	<b>6. Issue check for Reimbursable Expenses to Requestor:</b>	
<b>Checks are normally cut twice a month (middle</b>	6.1. Issue check from Chapter checking account and record expenses in appropriate Chart of Accounts	VP Treasury & Finance

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<i>Timeframe and end of the month)</i>	<i>Activity</i>	<i>Responsibility</i>
	6.2. Mail or distribute check to requestor	VP Treasury & Finance
	6.3. File Expense Report & receipts per PMI record retention policy	VP Treasury & Finance
<b>End of Procedure</b>	<b>7. Expense Reporting &amp; Reimbursement Procedure Complete</b>	

**4.3.7. Forms & Records**

- PMI-CIC Expense Report Worksheet referenced in this procedure can be found in the “Treasury & Finance” folder under the Board Members area of the PMI-CIC website: <http://www.pmi-centraliowa.org>.

**4.3.8. Revision History**

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	7/15/2010	Initial Release		
1.1	6/7/2013	Minor ‘Wordsmithing’	Dave Hudson	Board (12/2013)

#### 4.4.Policy: Reserve Funds

<b>Prepared By:</b> John Durman, V.P. Treasury & Finance	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 1 August 2014	<b>Date:</b> 11 September 2014

##### 4.4.1. Definitions

Chapter Expenses – represents in dollars and cents all expenses incurred by the PMI-CIC in a fiscal year (i.e. on-going operating expenses, project and program expenses, and expenses from any other initiatives conducted by the PMI-CIC).

Reserve Funds – represents in dollars and cents PMI-CIC funds designated for use in emergencies to sustain financial operations in the unanticipated event of significant unbudgeted increases in Chapter expenses and/or losses in Chapter revenues.

##### 4.4.2. Policy Statement

The PMI-CIC shall ensure that funds in the amount equal to a minimum of 85% of the annual PMI-CIC expenses, based on an average calculation of the actual Chapter expenses from the prior three years, are held in reserve. Reserve funds should be moved into the PMI-CIC insured savings account.

Reserve funds can only be spent once a business case to do so is presented to the PMI-CIC Board of Directors and approved by a simple majority of the voting officers of the Board.

##### 4.4.3. Purpose

The purpose of this policy is to set aside PMI-CIC funds for use in emergencies to sustain financial operations in the unanticipated event of significant unbudgeted increases in Chapter expenses and/or losses in Chapter revenues, and to support the requirement of Article VIII – Finance, Section 3 of the PMI-CIC Bylaws for the Board to establish policies and procedures to govern the management of PMI-CIC finances.

#### 4.4.4. Scope

This policy applies to the management of all PMI-CIC expenses.

#### 4.4.5. Timeframes

Reserve funds should be reviewed annually each January to ensure the designated amount is held in reserve as defined by this policy. This review should be part of the annual budgeting process conducted by the PMI-CIC Board of Directors.

#### 4.4.6. Responsibilities

VP of Treasury & Finance:

- Manage the PMI-CIC reserve fund per approved PMI-CIC policies.
- Provide Board officers with the average calculation of the actual Chapter expenses from the prior three years to review on an annual basis.
- Make recommendations to the Board officers as to amount that should be held in reserve as part of the annual budgeting process.

President & Other Board Officers:

- Review amount to be held in reserve each year as part of the annual budgeting process and validate that the PMI-CIC reserve funds are managed per approved PMI-CIC policies.

#### 4.4.7. References & Resources

- PMI Rules of the Board (refer to Finance and Budget Chapter) use Rules of the Board link under ‘Quick Links’ at: <http://www.pmi.org/AboutUs/Pages/Governance>.
- Whitepaper on *Maintaining Nonprofit Operating Reserves* provided by PMI can be found in the “Treasury & Finance” folder under the Board Members area of the PMI-CIC website: <http://www.pmi-centraliowa.org>.

#### 4.4.8. Revision History

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	8/1/2014	Initial Release		Board (9/2014)

## 5. Operations

### 5.1. Policy: Event Cancellation & Refunds

<b>Prepared By:</b> Dave Hudson, V.P. Treasury & Finance and Norm Veen, Trustee	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 22 July 2013	<b>Date:</b> 12 December 2013

#### 5.1.1. Definitions

Event – PMI-CIC organized activity by which people register their intention to attend (i.e. registrants) using the process specified by the Chapter.

#### 5.1.2. Policy Statement

##### 5.1.2.1. General Refund Terms and Conditions

Full refunds will be granted to cancellations received in writing up to registration closure for an event so long as the registration was completed through the PMI-CIC registration site or other process specified by the Chapter. A request for refund can be made in writing to [vp.finance@pmi-centraliowa.org](mailto:vp.finance@pmi-centraliowa.org) and [dir-registration@pmi-centraliowa.org](mailto:dir-registration@pmi-centraliowa.org) prior to event registration closure.

Refunds will not be given if the cancellation request is received after registration for the event is closed. The reason for this is that the Chapter will have already locked in the number of meals with the venue and/or other expenses based on the number of registrants at the time of event registration closure.

The refund will be processed by the VP of Treasury & Finance. The refund will be made directly to the credit card used for the initial registration and will take a few days to appear on the registrant's statement.

The Director of Registration will communicate with the person(s) coordinating logistics for the event to ensure that any meals and/or other expenses are not incurred by the Chapter as a result of cancellations.

Questions regarding the PMI-CIC refund policy should be directed to the VP of Treasury & Finance at [vp.finance@pmi-centraliowa.org](mailto:vp.finance@pmi-centraliowa.org).

### 5.1.2.2. Transfer Policy

All individual registrations are fully transferable without fee. A copy of the original registration acknowledgement should be presented by the transferee at the registration desk when attending the event.

### 5.1.2.3. Cancellation of the Event

The PMI-CIC may cancel the event for reasons including, but not limited to, insufficient enrollment, inclement weather, venue or speaker problems, etc. If the PMI-CIC cancels the event, each registrant will be rendered an automatic and full refund.

### 5.1.3. Purpose

This policy is invoked to address the following situations: 1) a registrant cancels their registration for an event, 2) a registrant transfers their registration to another person, and 3) the event is cancelled by the PMI-CIC.

### 5.1.4. Scope

This policy applies to all registrants for any event registered through the PMI-CIC.

### 5.1.5. Responsibilities

#### VP of Treasury & Finance:

- Process approved refunds.
- Address any questions concerning the refund policy.

#### Director of Registration:

- Contact the person(s) coordinating logistics for the event to ensure that any meals and/or other expenses are not incurred by the Chapter as a

result of cancellations.

### 5.1.6. Revision History

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	7/22/2013	Initial Release		Board (12/2013)

<b>Prepared By:</b> Eric Orcutt, President & PMI-CIC Board	<b>Approved:</b>
<b>Date:</b> 20 February 2014	<b>Date:</b>

## **5.2.Policy: Inclement Weather**

### **5.2.1. Policy Statement**

If inclement weather is forecast for the day of any meeting or event hosted by the PMI-CIC, a cancellation decision will be made by the PMI-CIC Board Officers no later than four (4) hours prior to the start of the meeting or event. If the need is urgent to cancel the event before a collective Board decision can be made, the PMI-CIC President or Acting President can unilaterally decide to cancel the event.

The decision to cancel the meeting or event will then be immediately communicated to all impacted participants via email, the PMI-CIC website, and social media as appropriate. Each paid registrant will be rendered a full refund unless the event can be rescheduled in the near future.

### **5.2.2. Purpose**

The purpose of this policy is to help ensure that at no time any member, guest, or invited speaker is endangered as a result of any meeting or event hosted by the PMI-CIC during, or an impending forecast of, inclement weather.

### **5.2.3. Scope**



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This policy applies to any meeting or event hosted by the PMI-CIC.

**5.2.4. Procedure: Perform Event Cancellation Activities**

<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
No Less than 4 Hours Prior to Start of Event	<p><b>1. Email cancellation vote to Board email distribution group and verify applicable Directors are available to perform cancellation tasks or serve as backup if necessary.</b></p> <p><i><u>Note: If the need is urgent to cancel the event immediately, the PMI-CIC President can unilaterally decide to cancel the event.</u></i></p>	Board Officers
Upon Approval to Cancel Event	<b>2. Perform Event Cancellation Activities as Immediately as Possible:</b>	
	<b>2.1.</b> Email decision to cancel event to Board email distribution group	President or Board Officer
	<b>2.2.</b> Email event registration list to Director of Communications, VP of Communication & Marketing, and VP of Treasury & Finance.	Director Registration or VP Operations
	<b>2.3.</b> Send email blast to those on the event registration list notifying them of the cancellation.	Director Communications or VP Communications & Marketing
	<b>2.4.</b> Notify speaker and volunteers associated with the event of the cancellation.	Director Programs or VP Professional Development
	<b>2.5.</b> Post event cancellation notice on Home page of PMI-CIC website.	Director Website or VP Operations
	<b>2.6.</b> Send event cancellation notice via PMI-CIC social media as appropriate.	Director Social Media or VP Communications & Marketing
	<b>2.7.</b> Notify event venue of cancellation. If cancellation fee is incurred, attempt to negotiate a waiver, reduced fee, or a credit toward a future event. Email outcome of venue negotiation and any costs incurred to the Board email distribution group.	Director Logistics or VP Operations

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	<b>2.8.</b> Process refund for paid registrants of the cancelled event.	VP Treasury & Finance
<b>End of Procedure</b>	<b>3. Event Cancellation Activities Complete</b>	

**5.2.5. References & Resources**

- The PMI – New Hampshire Membership Meeting Cancellation Policy was obtained via the Internet and excerpts from this policy were used in drafting the PMI-CIC Inclement Weather policy.

**5.2.6. Revision History**

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	2/20/2014	Initial Release		

## 6. Legal

### 6.1.Policy: Biennial Report

<b>Prepared By:</b> Norm Veen, Trustee	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 3 June 2013	<b>Date:</b> 12 December 2013

#### 6.1.1. Definitions

Articles of Incorporation – certificate of incorporation required by law and filed with the Iowa Secretary of State that denotes the name, purpose, non-profit status, initial Board of Directors, limitations, etc. for the Project Management Institute Central Iowa Chapter, Inc. The PMI-CIC was incorporated under the Iowa Non-Profit Corporation Act under Chapter 504A (Iowa Code, 1999).

Biennial Report – report filed on behalf of the PMI-CIC that is required by the Iowa Secretary of State per Iowa Code Chapter 504 for an Iowa non-profit corporation.

Corporation Members - individuals owning shares of the corporation and have certain powers arising out of those shares owned and are further defined in the corporation's bylaws. The PMI-CIC PMI's bylaws indicate that the corporation (i.e. the PMI-CIC) shall have no such members.

### 6.1.2. Policy Statement

PMI-CIC will provide the necessary information and work with the Chapter's attorney or agent to file the Biennial Report as required by the Iowa Secretary of State per Iowa Code Chapter 504 for an Iowa nonprofit corporation.

### 6.1.3. Purpose

The purpose of this policy is to help ensure the PMI-CIC complies with the legal requirement for an Iowa nonprofit corporation to file the Biennial Report. Failure to submit the Biennial Report may result in the PMI-CIC being administratively dissolved by the Iowa Secretary of State.

### 6.1.4. Scope

The policy described within applies to the PMI-CIC Board officers, primarily to the President.

### 6.1.5. Timeframes

The Biennial Report is required to be filed by April 1<sup>st</sup> of each odd year (e.g. 2011, 2013, 2015, etc.) or as often as directed by the Iowa Legislature. The Chapter's attorney will send a letter to the PMI-CIC mailbox on or around February 1<sup>st</sup> of the filing year requesting the necessary information for the process of filing the Biennial Report.

### 6.1.6. Responsibilities

#### VP of Treasury & Finance:

- Forward any correspondence received at the PMI-CIC mailbox pertaining to the Biennial Report to the President.

#### President:

- Provide the necessary filing information to the Chapter's attorney when requested. Information to be provided include, but are not limited to:
  - Name of the Corporation, its registered office and agent

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- Names of Board Officers (note that the Secretary equates to the President-Elect since this position takes the minutes at Board and Annual Meetings)
- Address of the principal office of the Corporation (use PMI-CIC mailbox address)
- Does the Corporation have members? = No
- Does the Corporation hold an interest in agricultural land in Iowa? = No
- Signed by the PMI-CIC President

### Chapter Attorney or Agent:

Abendroth and Russell Law Firm, P.C.  
2560 73<sup>rd</sup> Street  
Urbandale, IA 50322-4700  
Phone: (515) 278-0623  
Fax: (515) 276-1563  
[www.ARPCLaw.com](http://www.ARPCLaw.com)

- Serves as the agent for the PMI-CIC to file the Biennial Report with the Iowa Secretary of State with the information provided by the PMI-CIC President.

### 6.1.7. Budget Impacts

Since the PMI-CIC is a non-profit corporation, there is no fee for filing the Biennial Report with the Iowa Secretary of State. The Chapter's attorney, in turn, does not charge the PMI-CIC for the process of filing this report.

### 6.1.8. Forms & Records

- Prior Biennial Reports can be found in the "Records Management" folder under the Board Members area of the PMI-CIC website:  
<http://www.pmi-centraliowa.org>.
- The Articles of Incorporation (and its amendments) for the PMI-CIC can be found under the "About Us" area of the PMI-CIC website:  
<http://www.pmi-centraliowa.org>.

### 6.1.9. Revision History

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	6/3/2013	Initial Release		Board (12/2013)

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>

## **7. Compliance**

### **7.1.Policy: Charter Renewal**

<b>Prepared By:</b> Norm Veen, Trustee	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 15 July 2013	<b>Date:</b> 12 December 2013

#### **7.1.1. Definitions**

Charter Renewal – annual process to be completed by each chapter to provide the required documentation, demonstrating that the chapter has satisfied the minimum standard performance established by PMI. This process is to be completed by February 28<sup>th</sup> of each year or as required by PMI. The renewal application is based on the previous year’s operations. The Charter Renewal process is an integral part of the Strategic Alignment, Planning and Reporting (SAPR) process (refer to the Strategic Planning section of this manual for more information on the SAPR process).

Component System (CS) – Web-based tool located on the PMI website that gives volunteer leaders access to important information about their chapter and a wide variety of information that is on record with PMI. The CS is

used to complete the Charter Renewal application.

### **7.1.2. Policy Statement**

PMI-CIC will complete the Charter Renewal application each year and submit it to PMI as instructed.

### **7.1.3. Purpose & Rationale**

The purpose of this policy is to help ensure the PMI-CIC complies with its Charter Agreement with PMI, demonstrating that the PMI-CIC has satisfied the minimum standard Chapter performance criteria established by PMI.

Those criteria shall, at a minimum, include submitting evidence to PMI annually demonstrating that the Chapter has maintained its incorporated/registered status, and has complied with applicable national, federal, state, provincial and other jurisdictional laws and regulations, including, but not limited to, tax and other governmental filings. Such standard performance criteria and documentation, which may be amended by PMI from time to time, will be published annually by PMI GOC and communicated to the Chapter.

Although the provision of core services to a stated minimum level is a requirement of PMI for all Chapters in the event a chapter is not providing the minimum level of core services, PMI will not withhold a Chapter's Charter renewal as long as a plan is put forward by a Chapter for the introduction of the required level of core services over a defined period that is acceptable to PMI.

### **7.1.4. Scope**

The policy described within applies to the PMI-CIC Board officers, primarily to the Immediate Past President.

### **7.1.5. Timeframes**

The Chapter Renewal application is required to be completed and submitted to PMI by February 28<sup>th</sup> of each year or as required by PMI.

### **7.1.6. Responsibilities**

Director of Strategic Planning:

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- Provide the necessary operational performance information for the Charter Renewal application to the Immediate Past President before the February Board meeting.

### VP of Treasury & Finance:

- Provide the necessary financial information for the Charter Renewal application to the Immediate Past President before the February Board meeting.

### President:

- Forward all communications from the PMI GOC concerning the Charter Renewal process to the Immediate Past President.
- Review the completed application, ensure its accuracy, and ensure that it is submitted as required to the PMI GOC.

### Immediate Past President:

- Complete the Charter Renewal application based on the previous year's operations using the CS tool.
- Submit the completed Charter Renewal application, after the President's review, to the PMI GOC as instructed.

### 7.1.7. Forms & Records

- Refer to Frequency Asked Questions (FAQ) document published by PMI GOC each year for the specifics on how to complete the Charter Renewal application. The President would normally receive this publication from PMI GOC and should forward this document to the Immediate Past President.
- Prior approved Charter Renewal applications can be found in the "Records Management" folder under the Board Members area of the PMI-CIC website: <http://www.pmi-centraliowa.org>.

### 7.1.8. Revision History

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	7/15/2013	Initial Release		Board (12/2013)



## 7.2.Policy: Nominations & Elections

<b>Prepared By:</b> Initial draft prepared in 2011 by Jan Post, 2010 Immediate Past President & Norm Veen, Trustee (2013)	<b>Approved:</b> See Board meeting minutes
<b>Date:</b> 31 October 2013	<b>Date:</b> 12 December 2013

### 7.2.1. Definitions

Data Exchange Program (DEP) – the Data Exchange Program is a comprehensive set of products and services provided by PMI to the Chapter Leadership for the purpose of tracking membership, financials and prospects on an ongoing basis. The DEP contains embedded data for a specific component for a specific month and is packaged as a self-extracting Microsoft® Access® program.

Officer Candidate Package – official request given to nominees for elected positions to formally acknowledge their review and understanding of and adherence to the PMI-CIC’s election policy. The Officer Candidate Package is also used to obtain nominees’ biographical and vision statements.

PMI-CIC Board History – historical document that lists all the people that have served on the PMI-CIC Board of Directors (BoD) and their terms of office. The Nominating Committee uses this information to assist them in recruiting member volunteers to serve on the BoD.

PMI-CIC Bylaws – document required by PMI and Iowa law that shall embody general policy provision relating to the management and operation of the PMI-CIC.

PMI-CIC Charter with PMI – documented agreement between PMI (Global) and the PMI-CIC that formally recognizes and charters the PMI-CIC as an independent, affiliated organization and outlines the responsibilities of the PMI-CIC and PMI to one another.

PMI Regional Liaison /Administrator – PMI GOC employee that serves as the Chapter’s contact for support with operational, communication, policy and process matters. PMI organizes its 270+ worldwide chapters into geographic, non-legal administrative regions. The PMI-CIC is part of the North Central North America Region also known as Region 2 (R2).

PMI Rules of the Board – PMI governance document that supplements the PMI (Global) Bylaws. In addition to the PMI-CIC Charter with PMI, the Rules of the Board document was used as a guiding standard for the PMI-CIC policies and procedures for Nominations and Elections.

### 7.2.2. Policy Statement

The PMI-CIC Nominations and Elections policy aligns with the PMI Chapter Election Requirements section as defined in the PMI-CIC Charter with PMI, which reads as follows:

“In accordance with PMI policies, practices, procedures, rules and directives, no funds or resources of PMI or the Chapter may be used to support the election of any candidate or group of candidates for PMI, Chapter or public office. No other type of organized electioneering, communications, fund-raising or other organized activity on behalf of a candidate shall be permitted. The Chapter Nominating Committee, or other applicable body designated by the Chapter, will be the sole distributor(s) of all election materials for Chapter elected positions. The Nominations Committee will clearly outline and communicate the conditions under which a member may run for office, eligibility criteria for elected positions; and procedures for nomination and election, in accordance with the Chapter’s governing documents and PMI’s Chapter Policy Manual.”

Article VI – Nominations and Elections, Section 2 of the PMI-CIC Bylaws defines the PMI-CIC Nominations and Elections policy, which reads as follows:

“The nomination and election of officers shall be conducted annually in accordance with the terms of office specified in Article V, Section 2. All

voting members in good standing of the PMI-CIC shall have the right to vote in the election. Discrimination in election and nomination procedures on the basis of race, color, creed, gender, age, marital status, national origin, religion, physical or mental disability, or unlawful purpose is prohibited.”

### 7.2.3. Background

The guiding Nominations and Elections policy is defined in the PMI-CIC Charter with PMI. Article VI – Nominations and Elections of the PMI-CIC Bylaws defines the PMI-CIC Nominations and Elections policy (Section 2), the PMI-CIC Nominating Committee membership (Section 1), and the Committee activities, rules and restrictions (Sections 3-13).

### 7.2.4. Purpose

The PMI-CIC has defined, developed and implemented policies and procedures to manage PMI-CIC Nominations and Elections in a known, highly ethical, and communicative manner to ensure the Chapter has enabled and met the requirements defined in the Charter between the PMI-CIC and PMI. The PMI-CIC policies and procedures also align to PMI’s guiding documents (e.g. Rules of the Board) for Nominations and Elections for PMI (Global) Board members. The result of what is described in this section is codified in Article VI of the PMI-CIC Bylaws.

### 7.2.5. Scope

The policies and procedures described within apply to the PMI-CIC Board of Directors, the Nominating Committee and are relevant to all PMI-CIC members.

### 7.2.6. Timeframes

The Nominating Committee performs activities throughout the calendar year. Consequently, the Nominating Committee should have a minimum of two appointments to the Nominating Committee approved at the January PMI CIC Board of Director meeting.

**Key dates** for the Nominating Committee include:

- January BoD Meeting – present two appointees for approval by the PMI-CIC Board of Directors to serve on the Nominating Committee for the current calendar year per section 1 of Article VI of the PMI-CIC Bylaws.

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- Throughout the Year – solicit and recruit volunteers from the PMI-CIC membership to serve on the BoD and perform Nominating Committee Due Diligence Review on all potential nominees.
- July - August – develop, distribute and communicate the Call for Nominations to the PMI-CIC membership per Section 6 of Article VI of the PMI-CIC Bylaws.
- September – prepare the Annual Elected BoD nominations slate per Section 6 of Article VI of the PMI-CIC Bylaws. Ready the logistics for the voting process per one of the methods prescribed in Section 4 of Article VI of the PMI-CIC Bylaws.
- September - October – conduct the vote of the membership to elect the applicable Board officers from the Annual Elected BoD nominations slate.
- October – December – prepare the Annual Appointed Nominees slate per Section 8 of Article VI of the PMI-CIC Bylaws.
- November or December BoD Meeting – present slate of Appointed Nominees for approval by the PMI-CIC Board of Directors to serve for the next calendar year per section 9 of Article VI of the PMI-CIC Bylaws.

### 7.2.7. Responsibilities

#### Immediate Past President or Nominating Committee Chair:

- Work with the President to solicit and recruit nominees from the PMI-CIC membership to serve on the Nominating Committee per Section 1 of Article VI of the PMI-CIC Bylaws.
- Chair the Nominating Committee per Section 1 of Article VI of the PMI-CIC Bylaws.
- Perform Nominating Committee Due Diligence Review on all potential nominees.
- Conduct the election process for the Annual Elected BoD nominations slate; and for proposed PMI-CIC Bylaws amendments, when necessary, according to Article XII – Amendments of the PMI-CIC Bylaws and the applicable requirements within the PMI-CIC Charter with PMI.

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- Document and publish election results in the next Chapter newsletter and at the next Chapter meeting following the election as well as on the PMI-CIC website.

### Nominating Committee:

- Facilitate and provide oversight to ensure all PMI guiding documents and the PMI-CIC Charter and Bylaws are followed when conducting the PMI-CIC Nominations and Elections policies and procedures.
- Solicit and recruit volunteers from the PMI-CIC membership to serve on the BoD.

### President:

- Work with the Immediate Past President to solicit and recruit nominees from the PMI-CIC membership to serve on the Nominating Committee per Section 1 of Article VI of the PMI-CIC Bylaws.

### Director of Volunteerism:

- Direct members who are interested in serving on the PMI-CIC BoD to the Immediate Past President or Nominating Committee Chair for follow up.

## **7.2.8. Budget Impacts**

The annual Nominating Committee budget will have a \$50-\$100 impact to the PMI-CIC Operating Budget for food, drink and materials. This could increase to \$500 if an outside service is used to conduct the election voting (usually at a cost of \$0.50 per eligible voting member). It is preferred that the PMI-CIC and Nominating Committee use the voting service provided by PMI for all chapters at no cost. The current PMI online voting subscription service is eBallot from Votenet.

## **7.2.9. Related Policies**

### **7.2.9.1. Due Diligence Review of all Nominees**

PMI-CIC Elected and Appointed BoD positions must be filled by eligible PMI-CIC members in good standing (refer to Article V – Board of Directors, Section 2, and Article VII – Directors and Committees, Section 2, of the PMI-CIC Bylaws, respectively).

The Due Diligence Review provides for validation that all PMI-CIC Elected and Appointed BoD positions are filled by eligible PMI-CIC members in good standing. “Members in Good Standing” shall be defined as PMI-CIC members who have paid both PMI and PMI-CIC dues and appear on the PMI-CIC membership list (refer to Article IV – Membership, Section 1-G, of the PMI-CIC Bylaws). In addition, student members shall not have voting rights and may not hold any elected office in the PMI-CIC (refer to Article IV - Membership, Section 2-B of the PMI-CIC Bylaws).

The Nominating Committee Chair will use the DEP provided by PMI to validate that all nominees are PMI-CIC members in good standing and are eligible to serve on the BoD. The PMI-CIC Board History document is used to validate eligibility for the President and President-Elect officer positions that require prior Board service (refer to Article V, Section 3, of the PMI-CIC Bylaws).

As part of the Due Diligence Review, the Nominating Committee is responsible to help ensure that all nominees understand:

- The information contained in the PMI and PMI-CIC guiding documents related to Nominations and Elections.
- The demands, duties and responsibilities of the position for which they seek to be nominated. Nominees should be selected who conduct themselves in a manner that promotes positive teamwork, collaboration and commitment to fulfill the obligations of the respective office and assume a fiduciary responsibility towards their Board activities.
- That using Board positions for promotion of personal services, or the products and services of any other organization is expressly prohibited.

### **7.2.9.2. Tie Election**

In the event of a tie vote for elected position(s), and should one or more of the tied candidates not concede the election such that only one candidate remains, the candidates’ names and positions will be placed on a new ballot for another election held solely for the tied position(s).

The revote election can be executed per one of the voting methods designated in Section 4 of Article VI of the PMI-CIC Bylaws. The revote election should be conducted as soon as possible after the initial election. The Nominating Committee Chair is responsible for communicating the election results to the membership and for

organizing and implementing the revote election. If the tie cannot be resolved after the revote election is held, the current President, with the simple majority approval of the current voting officers, shall appoint one of the tied candidates to the Board position.

### **7.2.9.3. Write-In Voting**

Write-in voting is not allowed for PMI-CIC elected positions since eligibility cannot be validated for write-in candidates prior to voting. The Due Diligence Review must be performed on all nominees for PMI-CIC elected positions to ensure the requirements for PMI-CIC Nominations and Elections are met as specified in Article VI of the PMI-CIC Bylaws.

### **7.2.9.4. Special Circumstances**

**7.2.9.4.1.** In the event that there are no candidates for a PMI-CIC elected position by the nominations close date, the Nominating Committee can extend the Call for Nominations for a brief time (usually 1-2 weeks) in order to complete the slate of nominees. If the slate cannot be filled after the extension period, the membership vote should proceed for the remaining positions. Vacant Board position(s) can be filled as specified in Section 17 of Article V of the PMI-CIC Bylaws.

**7.2.9.4.2.** Nomination by petition shall be conducted in the manner described in Sections 6 & 7 of Article VI of the PMI-CIC Bylaws. The Nominating Committee Chair will use the DEP to validate that all nominee petitioners are PMI-CIC members in good standing.

### **7.2.9.5. Bylaws Amendments**

The PMI-CIC Bylaws may be amended by a majority vote of the voting membership as specified in Article XII – Amendments of the PMI-CIC Bylaws. Proposed bylaws changes can be voted on with a separate election or within the annual election for officer positions. Notice of proposed changes shall be sent in writing, either by mail or electronically, to the membership at least fourteen (14) days before a vote. The Call for Nominations can be used to communicate proposed bylaws changes to the PMI-CIC membership to meet the notice requirement.

The Immediate Past President is responsible for the election process for proposed PMI-CIC Bylaws amendments. Proposed bylaws changes

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must be submitted to the Chapter’s PMI Regional Liaison / Administrator for review by the PMI GOC before being voted on by the PMI-CIC membership.

**7.2.10. Procedure: Conduct Annual Nomination and Election of Board Officers & Appointed Directors**

<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>January</b>	<b>1. Update PMI-CIC Board History Document:</b>	
	1.1. Update the PMI-CIC Board History spreadsheet with the names and terms of office for all of the prior year’s PMI-CIC Board of Directors (create a new tab for the prior year and update the Alpha tab). Post to the Nominations Committee folder under the Board tab of the PMI-CIC website. The PMI-CIC Board History is used by the Nominating Committee to assist them in soliciting and recruiting member volunteers to serve on the BoD.	Immediate Past President
<b>Before January BoD Meeting</b>	<b>2. Recruit Two Nominees to Serve on the Nominating Committee for the Current Calendar Year:</b>	
	2.1. Inquire if the volunteer(s) from the prior year’s Nominating Committee would want to serve again for the current year.	Immediate Past President
	2.2. Solicit and recruit the needed volunteer PMI-CIC member(s) willing and able to serve on the Nominating Committee. Past BoD members and other members familiar with the workings of the PMI-CIC are good candidates. Note that no current member of the Nominating Committee can be included in the slate of BoD nominees (refer to Section 5 of Article VI of the PMI-CIC Bylaws).	President & Immediate Past President
<b>January BoD Meeting</b>	<b>3. Present Nominating Committee Appointees for Approval:</b>	
	3.1. Present Nominating Committee appointees to the PMI-CIC BoD and motion the Board for their approval.	President
	3.2. Vote to approve Nominating Committee appointees for the current year.	Board Officers
<b>February - March</b>	<b>4. Develop Strategies to Solicit and Recruit Volunteers to Serve on the BoD:</b>	
	4.1. Review the following documents regarding Nominations and Elections in preparation for the current year’s activities:	Nominating Committee



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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	4.1.1. PMI-CIC Charter with PMI (Sections 6, 9, 12 & 14) 4.1.2. PMI-CIC Bylaws (Articles V, VI, VII & XII) 4.1.3. PMI-CIC Policies and Procedures Manual (pertaining to Nominations & Elections) 4.1.4. Prior year's election documentation on the PMI-CIC website (refer to Forms and Records section for specific location)	
	4.2. Work with the Director of Volunteerism to determine how best to solicit and recruit member volunteers to serve on the BoD. Strategies can include brief presentations at Chapter Meetings, newsletter articles, and collaboration with current and former Board members to get their input as to potential nominees.	Nominating Committee
<b>March - December</b>	<b>5. Solicit and Recruit Volunteers to Serve on the BoD:</b>	
	5.1. Contact PMI-CIC members as to their willingness to serve as Board officers and Appointed Directors for the next year or to back fill for unfilled or vacated Board positions in the current year as needed.	Nominating Committee
	5.2. Perform Due Diligence Review of all potential nominees as specified in the PMI-CIC Policies and Procedures Manual.	Nominating Committee Chair
<b>July</b>	<b>6. Prepare the Call for Nominations:</b>	
	6.1. Update the Call for Nominations timeline and communication to reflect the elected Board positions whose term encompasses the coming year (refer to Section 6 of Article VI of the PMI-CIC Bylaws).	Nominating Committee Chair
	6.2. Update the Officer Candidate Package to reflect current year's election timeline.	Nominating Committee Chair
	6.3. Ensure the Nominating Committee's email address (e.g. <a href="mailto:nominationscommittee@pmi-centraliowa.org">nominationscommittee@pmi-centraliowa.org</a> ) is working and ready for the current year's election activities.	Nominating Committee Chair & Director of Website
	6.4. Inform the Chapter's PMI Regional Liaison / Administrator of the PMI-CIC election timeline and request current setup details for using PMI's online voting subscription service.  If another service or method is used, that is consistent with Section 4, Article VI of the PMI-CIC Bylaws, begin necessary preparations.	Nominating Committee Chair
	6.5. For proposed changes, if any, to the PMI-CIC Bylaws that have been approved by the Board:	Immediate Past President /

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	<p>6.5.1. Ensure proposed changes have been sent to the Chapter's PMI Account Manager or Administrator and have been approved by the PMI GOC.</p> <p>6.5.2. Include approved proposed changes in the Call for Nominations communication.</p>	Nominating Committee Chair
<b>August</b>	<b>7. Distribute the Call for Nominations:</b>	
	7.1. Email the Call for Nominations to all PMI-CIC members per the DEP. Please note that although student members are not eligible to vote, they still should receive the Call for Nominations.	Nominating Committee Chair & Director of Communications
	7.2. Publish Call for Nominations in August newsletter and mention in PMI-CIC LinkedIn	Nominating Committee Chair & Director of Newsletter
<b>August - September</b>	<b>8. Receive Nominations:</b>	
	8.1. Receive nominations, perform Due Diligence Review on potential nominees, monitor the Nominating Committee's email mailbox, perform any necessary follow up, answer questions, etc.	Nominating Committee Chair
	8.2. Publish Call for Nominations in September newsletter, mention in PMI-CIC LinkedIn and September Chapter Meeting, and send email blasts to the PMI-CIC membership as warranted.	Nominating Committee Chair & Directors of Newsletter and Communications
	8.3. Send nominees for elected positions the Officer Candidate Package upon successful completion of Due Diligence Review.	Nominating Committee Chair
	8.4. For nominations by petition, use the DEP to validate that all nominee petitioners are PMI-CIC members in good standing.	Nominating Committee Chair
	8.5. Extend the Nominations Close deadline as warranted and email the PMI-CIC membership of the new deadline.	Nominating Committee Chair & Director of Communications
<b>September</b>	<b>9. Prepare Annual Elected BoD Nominations Slate:</b>	
	9.1. Upon receipt of signed Officer Candidate Package from nominees, add nominee to slate of elected Board positions.	Nominating Committee Chair
	9.2. When slate of elected Board positions has been assembled, inform the candidates who will be placed on the ballot and send the necessary ballot information to the Chapter's PMI Regional Liaison / Administrator by the specified date.	Nominating Committee Chair

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
	If another service or method will be used for voting, that is consistent with Section 4, Article VI of the PMI-CIC Bylaws, prepare the ballot and make final preparations to conduct the membership vote.	
<b>October</b>	<b>10. Conduct Vote for Elected BoD Slate:</b>	
	<p>10.1. Email is sent from voting subscription service provider to eligible PMI-CIC members (i.e. student members are excluded from voting) to vote on the elected BoD slate during the time period specified in the Call for Nominations.</p> <p>If the vote is conducted by postal mail, send ballot to all eligible PMI-CIC members and allow for normal postal lead times for receipt and return of the ballot by the voters. If the vote is conducted at the Annual or special meeting of the membership, ensure that only eligible PMI-CIC members receive a ballot.</p>	Nominating Committee Chair & Voting Service Provider (if used)
	10.2. Receive election results from voting subscription service or tally election results if done by postal mail or at the Annual or special meeting of the membership.	Nominating Committee Chair & Voting Service Provider (if used)
<b>November -December</b>	<b>11. Communicate Election Results:</b>	
	11.1. Notify the candidates of the election results as soon as possible after the results have been received or tallied.	Nominating Committee Chair
	11.2. Publish election results in the November and December newsletters and announce at the November Chapter Meeting.	Nominating Committee Chair & Director of Newsletter
	11.3. Present all incoming Board members at the PMI-CIC Annual Meeting (normally held in December)	President & Nominating Committee Chair
<b>October - December</b>	<b>12. Prepare Annual Appointed BoD Nominations Slate:</b>	
	12.1. Complete slate of desired appointed BoD positions as specified in Section 8, Article VI of the PMI-CIC Bylaws. This slate will be voted on by the incoming BoD in January (refer to procedure step #3). Confer with newly elected BoD members for possible nominees.	Nominating Committee
	12.2. Perform Due Diligence Review of all potential appointed nominees as specified in the PMI-CIC Policies and Procedures Manual.	Nominating Committee Chair

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<i>Timeframe</i>	<i>Activity</i>	<i>Responsibility</i>
<b>November or December BoD Meeting</b>	<b>13. Present Slate of BoD Appointed Nominees for Approval:</b>	
	13.1. Present slate of BoD Appointed Nominees (i.e. slate of Directors, Program and Project Managers prepared by the previous year’s Nominating Committee) for the current year to the PMI-CIC BoD and motion the Board for their approval.	President
	13.2. Vote to approve slate of BoD appointed nominees for the current year.	Board Officers

**7.2.11. Forms & Records**

- PMI-CIC Nominations and Elections documents can be found in the “Nominations Committee” folder under the Board tab of the PMI-CIC website: <http://www.pmi-centraliowa.org>.

**7.2.12. References & Resources**

- The 2013 Board of Directors Nominations and Elections Process was obtained via the Internet from the PMI Milwaukee/Southeast Wisconsin Chapter and excerpts from this process was used in drafting the PMI-CIC Nominations & Elections policies and procedures.
- PMI-CIC Governance documents (i.e. Chapter Charter, Bylaws and Position Descriptions) can be found on the PMI-CIC home web page at: <http://www.pmi-centraliowa.org> under the “ABOUT US” tab.
- PMI (Global) Governance documents can be found on the PMI home web page at <http://www.pmi.org> under “About Us” → “Governance Documents”.

**7.2.13. Revision History**

<i>Revision</i>	<i>Date</i>	<i>Description</i>	<i>Requested By</i>	<i>Approved By</i>
1.0	10/31/2013	Initial Release		Board (12/2013)

