Standards of Excellence
Document Checklist

Required Documents for Affiliation

Refer to the list below for a complete overview of documents required for submission through the NAMI Standards of Excellence process (for independent, 501(c)(3) organizations). Subsequent pages of this document provide details about specific requirements for each of these documents, as well as suggested elements and helpful tips.

☐ Mission Statement
☐ Articles of Incorporation
☐ Certificate of Incorporation
☐ Bylaws
☐ Legal Review Letter for Bylaws
☐ Board Operating Policies & Procedures
☐ Code of Ethics
☐ Compensation Policy
☐ Confidentiality Policy
☐ Conflict of Interest Policy
☐ Document Retention Policy
☐ Diversity, Inclusion & Nondiscrimination Policy
☐ Whistleblower Policy
☐ Advocacy Contact
☐ Board Meeting Minutes
☐ Board of Directors Contact List
☐ Staff Directory and Contact Information
☐ Membership Application
☐ Proof of Registration as a State Public Charity
☐ IRS 501(c)(3) Tax Determination Letter
☐ IRS 990 Forms
☐ Financial Audit/Review/Compilation
☐ Directors & Officers Insurance
☐ General Liability Insurance
☐ Logo
☐ Letterhead
☐ Brochure
☐ Newsletter
☐ Website URL & Screenshot
☐ Programs, Signature
☐ Programs, Other
☐ Endorsement Letter from NAMI State Organization
MISSION STATEMENT
- Statement must be in alignment with NAMI mission
- Your mission statement should be short (as little as one impactful sentence, no more than a paragraph), clear, compelling, and easy for people to remember.

ARTICLES OF INCORPORATION
- Original “Articles of Incorporation” document
- If the Affiliate’s name has changed over time, be sure to include the amendment to the “Articles of Incorporation” that provided for this name change (filed with the Texas Secretary of State’s office)
- Articles of Incorporation typically contain:
  - Organization name
  - Address
  - Names of Incorporators
  - Statement of Purpose
  - Indication that the organization is not-for-profit
  - Notation that the organization will not engage in prohibited political and legislative activity
  - Instructions for distribution of assets upon the dissolution of the organization

CERTIFICATE OF INCORPORATION
- Provide a copy of the official certification document from The State of Texas (which includes the seal image and signature of the Secretary of State)
- If your Affiliate has not yet filed for incorporation, you can access Form 202 (Certificate of Formation - Nonprofit Corporation) at:
  www.sos.state.tx.us/corp/forms/202_boc.pdf
- Form 424 (Certificate of Amendment), which can be used for name changes, can be accessed at:
  www.sos.state.tx.us/corp/forms/424_boc.pdf
- For questions regarding these documents, contact the Texas Secretary of State’s Office at: 512-463-5578

BYLAWS
- Mission statement
- Membership (definition, privileges, dues, voting procedures)
- Financial parameters (fiscal year, contracts, checks)
- Meetings (annual, regular, special, notice of)
- Board of Directors (qualifications, term, nomination process, vacancies, removal, general powers, limitations of power)
- Directors’ meetings (annual, regular, special, quorum, duties, consent to corporate action)
- Officers (president, vice president, secretary, treasurer)
- Indemnification of officers, directors, employees, agents
- Seal or statement indicating that you do not have a seal
- Notice of meetings
- Incorporation of Robert’s Rules of Order
- Committees (executive, standing, other)
- Position descriptions, if affiliate has paid staff
- Adherence to proper use of “NAMI” name
- Organizational independence
- Non-discrimination
- Dispute resolution
- Revision of amendments
- Dissolution

To view the NAMI Affiliate Bylaws Check List, Affiliate Sample Bylaws Language chart, and a sample bylaws document, visit the “Organizational Structure” page of the NAMI Texas SOE website: www.namitexas.org/soe.

LEGAL REVIEW LETTER FOR BYLAWS
- Provided by a Texas lawyer (he or she does not have to specialize in nonprofit law)
- Indication that bylaws adhere to all relevant Texas state laws
- Instructions on any necessary revisions for total compliance
- Please have your lawyer submit the letter on official letterhead, complete with name, credentials, and contact information.
Includes the following policies: Code of Ethics; Compensation; Confidentiality; Conflict of Interest; Document Retention; Diversity, Inclusion & Nondiscrimination; and Whistleblower

Is in accordance with sound nonprofit practices and state laws

To view sample Board Operating Policies & Procedures, visit the NAMI Texas SOE website at www.namitexas.org/soe.

Although the policies listed below are part of your Board Operating Policies and Procedures, you will also need to include them as separate documents on the Profile Center.

- Set of standards the affiliate uses to conduct business
- Concrete examples of expected, exemplary behavior
- Instructions in the event that someone in the organization violates the Affiliate’s Code of Ethics

Outline of situations in which compensation is acceptable versus unacceptable

If your Affiliate has an Executive Director on staff, include your process for how you determine appropriate compensation (i.e. comparison of salaries at similar organizations in your region)

Procedures for compensating paid staff, contractors, and participants in programs requiring consumer stipends (i.e. IOOV)

Definition and explanation of situations that are classified under the Conflict of Interest Policy

Requirement to disclose all potential conflicts of interest

Procedure for recusing oneself from participation in decisions and/or actions that fall under this category

Instructions in the event that someone in the organization violates the Affiliate’s Conflict of Interest Policy

Method(s) by which documents will be retained

Guidelines for retention periods of each type of document

Mentions the following groups, at minimum: race, culture, ethnicity, age, religion, socio-economic status, sexual orientation, gender, gender identity and disability

Addresses the collection of demographic information

Safeguards that are in place to protect those who speak up about violations of conduct and policies within the organization

It is also recommended that the document use a numerical system to organize items and include a procedure for board member nominations, a dispute resolution process, a gift acceptance policy, financial policies and procedures, and other relevant information.

Unlike bylaws, changes to the Board Operating Policies & Procedures only need to be voted on by the Affiliate’s Board (not the membership).

Descriptions regarding privacy and appropriate disclosure of information to other people/entities

Even if your Affiliate consists entirely of volunteers, this is an opportunity to state in writing that volunteers should not expect compensation for their time and efforts.

This is also an opportunity to emphasize your Affiliate’s diversity philosophy and approach to outreach efforts.
Contact information for the identified leader at your Affiliate who serves as the main contact for all public policy-related inquiries

Include all Board meeting minutes from the past 12-month period (If your Affiliate held 12 meetings within the past year, you should submit 12 Board meeting minutes; if your Affiliate held 4 meetings within the past year, you should submit 4 Board meeting minutes.)

- Date of the meeting
- List of Board members in attendance
- Note about whether or not a quorum was established
- Record of board actions (such as approvals, delegations of authority, etc.)
- Indication on all meeting minutes that the documents have been approved

Just a reminder - You are not permitted to go back and revise meeting minutes after official approval of the documents.

If past Affiliate minutes are only missing one of the four required components of the Board meeting minutes (noted to the left), but your three most recent minutes include ALL required components, you can still be eligible for approval of your minutes (despite the 12-month parameter).

Current list of all Board members
- Contact information for each member (address, phone number, email address)
- Notation of positions (President, Treasurer, etc.), as applicable

Make it clear in the document which individuals are part of your paid staff versus volunteers.

For paid staff, list everyone’s name, title, and contact information (phone number and email address)
For your most active volunteers, include basic contact information and their roles as if they had paid titles (For example, a volunteer assisting with your website could be listed as a “Website Developer”)

A “member” should be defined as “someone who accepts NAMI’s mission and pays dues in accordance with NAMI’s policies.”
- Only two membership options should appear on your form:
  - Regular ($35) and Open Door ($3)
- State that they are also members of NAMI and NAMI Texas
- Include opt-out options for members to self-select which information and correspondences they wish to receive
- Have a place to check (or opt out of) voluntary demographic info

If you have an electronic membership form, include an image of it as part of this item.
PROOF OF REGISTRATION AS A STATE PUBLIC CHARITY

- Provide the most recent copy of this official document from The State of Texas (which includes the seal image and signature of the Secretary of State); in Texas, this is often referred to as a “Certificate of Fact”

For questions about this document, contact the Texas Secretary of State’s Office at: 512-463-5578

IRS 501(c)(3) TAX DETERMINATION LETTER

- Provide the official IRS letter indicating that your Affiliate organization is exempt from Federal Income Tax

For questions about this document, contact IRS Tax Exempt and Government Entities Customer Account Services at: 877-829-5500

IRS 990 FORMS

- Provide recent copies of Form 990, Form 990-EZ, or Form 990-N (as applicable)

If your Affiliate is seeking 501(c)(3) status for the first time, please submit a document indicating that information, along with Form 990, Form 990-EZ, or Form 990-N (as applicable) after it has been filed for the first time (i.e. 2012).

If your Affiliate is a 501(c)(3) organization but has not been consistently submitting Form 990, 990-EZ, or 990-N to the IRS, please submit a document indicating this (including any relevant reasons why it has not been submitted in years past). Then, submit your very next Form 990, 990-EZ, or 990-N to the NAMI Profile Center.

Beginning with the 2010 tax year:
- If your incomes are less than $50,000, submit Form 990-N (“ePostcard”) to the IRS
- If your incomes are less than $200,000 AND your assets are less than $500,000, submit Form 990-EZ to the IRS
- If your incomes are greater than or equal to $200,000 OR your assets are greater than or equal to $500,000, submit Form 990 to the IRS

FINANCIAL AUDIT/REVIEW/COMPILATION

- Please submit financial paperwork according to the following:
  - If annual expenses are less than $50,000, please submit a financial compilation by an independent CPA
  - If annual expenses are between $50,000-$200,000, please provide a financial review by an independent CPA
  - If annual expenses exceed $200,000, please provide a financial audit conducted by an independent CPA

If your Affiliate receives grant funding that requires an audit to be conducted, you must conduct an audit, regardless of your expenses.

DIRECTORS & OFFICERS INSURANCE

- Summary page for proof of coverage
- Coverage must be under your Affiliate’s name

NAMI has arranged for low-cost insurance for Affiliates through a partnership with Cooley & Darling Insurance Agency. For more information about this option, visit the “Insurance & Risk Management” page of the NAMI Texas SOE website (www.namitexas.org/soe) or contact them directly at: 703-881-0113.

GENERAL LIABILITY INSURANCE

- Summary page for proof of coverage
- Coverage must be under your Affiliate’s name
LOGO

☐ It must include the following components: the grassroots emblem, “NAMI,” “National Alliance on Mental Illness,” a vertical line in the middle, and the Affiliate’s name

☐ Spacing of all components must match the alignment requirements, as indicated on the NAMI Identity website

☐ Affiliate name must be in Berkeley Bold font

☐ The logo should appear in NAMI Blue & Yellow/Gold or NAMI Blue or black or white

☐ If a tagline is included, it must read “Find Help. Find Hope.” (You are not required to add the tagline.)

To download your Affiliate’s logo set:
1. Visit www.nami.org/identity
2. Click on “NAMI State Organization and NAMI Affiliate Logos”
3. Click on “Get Your Affiliate Logo” (in the red circle)
4. Click on “Texas”
5. Select your Affiliate from the list and download the logo set to your computer

LETTERHEAD

☐ Includes the correct version of the logo (see guidelines above)

☐ Uses NAMI Blue, NAMI Yellow or NAMI Gold, black, and white as the predominant colors

☐ If a tagline is included, it must read “Find Help. Find Hope.” (You are not required to add the tagline.)

☐ Contact information follows the NAMI Editorial Style Guide formatting

The NAMI Editorial Style Guide can be accessed via a link on www.nami.org/identity

BROCHURE

☐ Includes the correct version of the logo (see guidelines above)

☐ Uses NAMI Blue, NAMI Yellow or NAMI Gold, black, and white as the predominant colors

☐ If a tagline is included, it must read “Find Help. Find Hope.” (You are not required to add the tagline.)

☐ Content follows the NAMI Editorial Style Guide formatting

☐ If your Affiliate’s brochure includes a membership form, make sure it meets the requirements in that category, as well

The NAMI Editorial Style Guide can be accessed via a link on www.nami.org/identity

NEWSLETTER

☐ Includes the correct version of the logo (see guidelines above)

☐ Uses NAMI Blue, NAMI Yellow or NAMI Gold, black, and white as the predominant colors

☐ If a tagline is included, it must read “Find Help. Find Hope.” (You are not required to add the tagline.)

☐ Content follows the NAMI Editorial Style Guide formatting

☐ If your Affiliate’s brochure includes a membership form, make sure it meets the requirements in that category, as well

☐ Submit your Affiliate’s most recent newsletter

Affiliates should aim to produce at least two newsletters (or e-newsletters) in each calendar year.

WEB SITE URL & SCREENSHOT

☐ Includes the correct version of the logo (see guidelines above)

☐ Uses NAMI Blue, NAMI Yellow or NAMI Gold, black, and white as the predominant colors

☐ If a tagline is included, it must read “Find Help. Find Hope.” (You are not required to add the tagline.)

☐ Content follows the NAMI Editorial Style Guide formatting

To take a “screenshot” using a PC:
Press the Print Screen key [PrtScr] and paste the image into an editing program, such as Microsoft Paint.

To take a “screenshot” using a Mac:
Hold down Shift + Command and press the “4” number key. Drag across the screen to specify parameters. As you release the mouse button, the image will appear on the desktop.
PROGRAMS, SIGNATURE

- Affiliate currently offers at least one NAMI Signature program
- Document lists all NAMI Signature programs offered during the past year

NAMI Signature Programs Include:
- Family-to-Family
- Peer-to-Peer
- Basics
- Provider Education
- Connection Recovery Support Group
- Family Support Group
- In Our Own Voice
- Hearts & Minds
- Parents and Teachers as Allies

PROGRAMS, OTHER

- If your Affiliate offers programs in addition to NAMI Signature programs, you will need to provide a list of these programs
- For all NAMI Texas programs, you do not need to provide additional materials
- For each program that is not a NAMI Texas program, the Affiliate should provide supporting materials (such as program descriptions, advertisements, brochures, hand-outs, evaluations, etc.)
- All Affiliate-based programs should be in alignment with the NAMI mission of support, education, and/or advocacy.

NAMI Texas Programs Include:
- Partnerships
- Visions for Tomorrow
- Great Minds Think Alike
- Operation Resilient Families

ENDORSEMENT LETTER FROM NAMI STATE ORGANIZATION

Once all of your documents have been uploaded to the Profile Center, NAMI Texas will review your information. When everything is in place for the final process, NAMI Texas will provide your Affiliate with an Endorsement Letter, which verifies the relationship and recommends your official affiliation with NAMI through this process.