

# **Jackson County United Way Certified Community Partners Standards and Policies**

**2017**



Jackson County  
United Way

## Checklist of Certified Community Partner Standards and Policies

Jackson County United Way (JCUW) is respected as a grant-making organization that requires adherence to the highest standards of financial, program and management accountability.

Nearly 4,000 contributors depend upon its evaluation system to ensure that every dollar invested in community programs and initiatives is being used effectively and efficiently, and is delivering measurable results that improve our community and peoples' lives.

**Any non-profit organization or program that accepts Jackson County United Way funding will be held to the following standards and policies:**

- \_\_\_\_\_ **Outcomes Measurement & Outcomes-Based Funding (Pages 3-4)**
  - Develop and conduct program-level outcome measurements
  - Outcomes will fit into at least one of JCUW's impact areas: Education, Health, or Financial Stability
  - Report the results of their outcomes measurement to JCUW semi-annually
  
- \_\_\_\_\_ **Monitoring and Reporting Requirements (Pages 5-6)**
  - Formal and informal contacts by JCUW
  - Forms that community partners must provide
  - Financial requirements
  
- \_\_\_\_\_ **United Way Certified Community Partner Marketing Standards (Pages 7-8)**
  - Services JCUW will provide certified community partners
  - Required certified community partners marketing standards
  
- \_\_\_\_\_ **United Way Certified Community Partner Volunteer Policy (Page 9)**
  - Required volunteer standards
  - Encouraged volunteer standards
  
- \_\_\_\_\_ **Certified Community Partner Memorandum of Understanding (Pages 10-11)**
  - Partner Support
  - United Way Support
  
- \_\_\_\_\_ **Organization Designation Policy (Page 12)**
  
- \_\_\_\_\_ **Community Partner Financial Accountability & Audit Review (Pages 13-14)**
  - Standards of fiscal accountability
  - Audit Review
  
- \_\_\_\_\_ **Program Status Monitoring Criteria (Page 15)**
  - Definitions of "Minimum Expectations"

*The Certified Community Partner Standards & Policies are subject to change at any time. Jackson County United Way is responsible for communicating changes to certified community partners; once notified, the community partner is responsible for complying with the standard or policy. The most up-to-date document can be found on JCUW's website at [www.jacsy.org](http://www.jacsy.org).*

## Outcomes Measurement & Outcome-Based Funding

Outcomes measurement provides the framework for replication and sustainability of program successes, expedient remediation of program weaknesses in a continuous quality improvement context and the highest level of service accountability of meeting the goals of the Impact Agenda. JCUW uses results to evaluate the effectiveness of programs and in making investment decisions. Outcomes measurement helps certified community partners improve their services, raise funds, recruit volunteers and maintain credibility. JCUW's goal is to partner with provider organizations in outcomes measurement, creating a community of learning, responsive service provision and maximum return on investment.

Certified community partners are responsible for implementing and managing a useful, feasible and accurate outcomes measurement system. Data is to be used for reporting results to JCUW and for improving program design. Certified community partners will be evaluated on their ability to track and report on outcomes and implement program improvements based on outcomes, enhancing participant's success and satisfaction.

### Evaluation Philosophy of Jackson County United Way

Outcomes measurement not only evaluates the impact programs have on the community, but also guides continuous learning and improvement.

Certified community partners are expected to:

- a) Develop and conduct program-level outcome measurements that evaluate the services provided and the impact of those services on participants;
- b) Use the JCUW required impact areas (Education, Health and Financial Stability);
- c) Summarize and analyze evaluation data for use in improving program quality and results for participants; and
- d) Report the results of their outcomes measurement to JCUW within the stated timeframes and in the Results Based Accountability (RBA) format.

### Investments and Outcome Alignment

JCUW funding is contingent on the program's ability to demonstrate that they have implemented the interventions and services as proposed, served the projected number of unduplicated participants and units of service, and demonstrated outcomes that are consistent with the goals of the Impact Agenda.

*Programs will develop and report on program-specific outcomes and performance measures within the 3 Impact areas.*

### Revisions to Outcomes

Program-specific outcome results will be reported and reviewed at identified points during the investment cycle:

- a) Mid-year reporting for each investment year (July 15);
- b) Year-end reporting for each investment year (January 15).

Approved outcomes statements and performance measures should remain constant across the funding cycle. Changes to the outcome statements and performance measures can be made only after communicating with JCUW.

If a program experiences a significant change in focus that necessitates a change in any aspect of the program or Results Based Accountability (RBA) model; the certified partner must notify JCUW prior to

implementing any changes. In circumstances where the program change significantly decreases the likelihood that expected outcomes will be achieved or the outcomes will no longer contribute to JCUW's impact areas, program funding may be discontinued.

#### **Accountability**

Certified community partners are held accountable for program proposed performance measures, as well as track participants and collect outcomes data longitudinally over the funding cycle.

#### **Use of Data and Materials**

All data, results and materials submitted to JCUW through the proposal and/or reporting processes are considered the property of JCUW. JCUW reserves the right to aggregate program results with other similar programs to use in marketing, fundraising materials, presentations, and with permission, to develop "best practices" materials to be shared with other organizations.

#### **Training and Technical Assistance on Outcomes Development**

JCUW provides training and individualized technical assistance to community partners to help them develop, fine-tune or revise their outcome measurements.

## Monitoring and Reporting Requirements

Jackson County United Way (JCUW) collects data and documentation from partners at least two times per calendar year. This important information allows us to communicate with the community-at-large, donors, grantors and the Board of Directors about the value of their investments and the work of our certified community partners.

The monitoring and reporting requirements are as follows:

### Formal and Informal Contacts by JCUW Staff and Volunteers

- 1) JCUW staff and/or members of the Community Partner Development Committee will conduct one-on-one meetings with the community partner director and board member to review the certification assessment.
- 2) JCUW will monitor program performance by conducting formal site visits to observe activities in operation, tour facilities, discuss program progress and meet program and management staff and volunteer leadership. Site visits will be scheduled in advance with certified community partners and be conducted at a time convenient to the operation of the program. JCUW also provides technical assistance by the Community Partner Development Committee at a community partner's request and at the direction of Community Investment Review Team.
- 3) Informal contacts throughout the year allow JCUW to maintain a positive working relationship with certified community partners so that monitoring is not limited to a one-time event. Examples of informal contacts includes attendance of JCUW staff at community partner events, e.g., annual meetings and open houses; JCUW and funded partner staff serving on community committees and coalitions; and attendance of funded partner staff at JCUW events, e.g., training, funded partner meetings, fundraising and annual events.

### Reporting Requirements for All Organizations and Programs

Programs must provide annually the most up-to-date information as follows:

- a) Federal 501(c)(3) Determination Letter.
- b) Signed Counterterrorism Compliance Form.
- c) Registered with the United Way 2-1-1 South Central Indiana database and has updated the organization's information in the database within the last year.
- d) Current Board roster, with length of service, email addresses, officers, and meeting schedule.
- e) Documentation that the Board conducts periodic strategic planning and operates in accordance with that plan.
- f) Annual Report with mission statement.
- g) Proof of insurance.
- h) Organizational Chart, with staff names & contact information.

### Financial Requirements

- i) Most recent audited/reviewed financials in accordance with the following guidelines (*see also Organization Financial Accountability & Audit Review Policy pages 13-14 for more detail*):

Type of Financial Audit/Review	Total Annual Revenue
Audit	\$500,000 and greater
Independent Financial Review	\$100,000—\$499,999
Board-approved Financial Statement	\$99,999 and less

- j) Year-end financials, financial ratio sheet, 2-year Community Partner budget and budget variance report.
- k) Last Internal Revenue Service Form 990 or 990-EZ, Federal Tax Return for Charitable Organizations as filed.

### Agreements and Reporting Requirements

- l) Signed Conflict of Interest Form (Each Community Partner Board member is required to sign a Conflict of Interest Form annually that will be kept with the Community Partner.)
- m) Signed Community Partner Certification Checklist & Assessment Form.
- n) Signed Partner MOU
- o) Compliance with the JCUW Certified Community Partner Standards & Policies.
- p) Mid-year and Year-end Reporting. (This includes outcome reporting as well as a client story.)

In addition, community partners must notify JCUW, within 30 days, about any new pertinent financial or organizational information that may have significant adverse effect on the organization's status.

### **Mid-Year and Year-End Reports**

JCUW will notify all certified community partners of the due date for the mid-year and year-end reports on an annual basis. Notification will be made by email to the Executive Director and Program Director for each funded program of record. A report for each funded program must be completed.

Following the year-end report due date, the Community Investment Review Team will contact Executive Directors and/or Program Directors to schedule a mandatory site visit.

The site visit will include, but is not limited to, discussing program successes, challenges or problems, budget issues, projected targets, outcomes and performance measures. JCUW may also schedule site visits at other times to monitor program success and stability or review data in support of outcome reporting.

## United Way Certified Community Partner Marketing Standards

When Jackson County United Way (JCUW) volunteers decide to invest in a program’s services, they are doing so on behalf of JCUW donors. JCUW’s marketing efforts with certified community partners provide mutual benefits and are essential to demonstrate the power of our partnership.

JCUW provides certified community partners with support such as enhancing access and public awareness, increasing public recognition and providing resources. Specific supports include:

- a) Financial investment in programs.
- b) Access and public awareness enhanced through JCUW campaigns, special events, Campaign Kick-off, Days of Service and United Way 2-1-1.
- c) Public recognition through media and marketing efforts. JCUW proactively seeks out media opportunities tied to the results that are achieved and features its funded partners in newsletters and print/electronic/digital/social media materials provided to potential and ongoing investors.
- d) Networking and sharing of best practices.
- e) “Message training” on the work JCUW and its certified community partners do together to bring community change and on the benefits of partnering with JCUW.
- f) Advocacy and volunteer resources.
- g) Resources, such as board training, management training and professional development.
- h) Outcome measurement training and technical assistance.

JCUW requires certified community partners to meet certain partnership marketing standards.

### Expectations for Partnership Marketing Standards

<b>Logo Usage</b>	<p><b>Include the JCUW logo on:</b></p> <ul style="list-style-type: none"> <li>• Organization/program newsletters</li> <li>• Brochures for JCUW-funded programs</li> <li>• Annual reports</li> <li>• Web sites (with link to: <a href="http://www.jacsy.org">www.jacsy.org</a>)</li> <li>• Facebook – logo not necessary but link is recommended</li> </ul>
<b>Client Outcome Success Stories</b>	Submit annually a minimum of two client success stories for each funded program tied to results the program is achieving supporting the impact work in education, health, and financial stability.
<b>Web site</b>	Identify Jackson County United Way partnership with logo on home page and provide a reciprocal link to <a href="http://www.jacsy.org">www.jacsy.org</a>
<b>Conduct an annual JCUW Workplace Campaign</b>	Actively solicit employees and complete an annual campaign
<b>Participate in Awareness &amp; Education Efforts</b>	<p><b>Upon request:</b></p> <ul style="list-style-type: none"> <li>• Provide speakers, displays and/or tours in support of the annual campaign or other donor education efforts</li> <li>• Collaborate in media efforts/approaches</li> <li>• Mention Jackson County United Way funding partnership in news releases and social media contacts</li> </ul>

<b>Partnership Marketing Efforts are Expected</b>	<b>Be Present &amp; Attend:</b> <ul style="list-style-type: none"><li>• Campaign Kick-off</li><li>• Annual Meeting</li><li>• Participate in JCUW a Day of Service</li></ul>
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Include JCUW’s Executive Director on the organization and program mailing list to receive any communications or marketing materials that normally go to volunteers and donors.

Please note that there will be ongoing follow-up by the Community Partner Development Committee with partners that do not comply with the required partnership marketing standards. Any partner with specific concerns about how to comply can contact JCUW’s Executive Director.

Electronic logo files will be available on our website ([www.jacsy.org](http://www.jacsy.org))



## **Certified Community Partner Volunteer Policy**

Jackson County United Way (JCUW) not only provides funding for certified community partners, but resources as well. One of these resources is volunteers. As such, this section of the policy details the purpose of a volunteer management program and provides guidelines in establishing a program. JCUW suggested all certified community partners establish a volunteer program with a budgeted line item.

A volunteer program would help each community partner to:

- a) Plan and utilize additional resources (volunteers) for seasonal work.
- b) Recruit and use volunteers to perform daily tasks.
- c) Free staff to focus on programs/direct service to the population served.
- d) Help with community partner's primary and secondary work.

A well-organized volunteer management program should have, but not limited to, the following key elements in place:

- a) A documented plan that directs the goals and activities of the volunteer program.
- b) Clearly defined goals and measurable outcomes.
- c) A trained staff member to manage the volunteer program.
- d) Conduct annual volunteer management audit and use the findings to evaluate and update the volunteer program. The JCUW Volunteer Center can help facilitate the audit.

The certified community partner is encouraged to post their volunteer opportunities on <http://www.volunteermatch.org>. If the community partner requires assistance in publishing their volunteer opportunities on the above mentioned website, the JCUW Volunteer Center can post for them.

Notify the JCUW Volunteer Center of volunteer opportunities for publication in the local newspaper as well as being posted on the JCUW website. The certified community partner can promote their volunteer opportunities/projects with the JCUW Volunteer Center.

## **Certified Community Partner Memorandum of Understanding**

With the Shared Vision of delivering the highest quality and most effective services that benefit the community as a whole;

### **As the Partner Organization, we agree:**

- We will be an Indiana not-for-profit corporation to which contributions are tax deductible under IRS code 501(c)(3) and provides needed human services on a non-discriminatory basis.
- We will be governed by a volunteer board, which operates without ethical or legal conflicts of interest.
- We will be in compliance with all state and federal laws and requirements for public disclosure and filing of financial reports, including an annual independent audit or review.
- We will participate in an annual review process for UW funding. All documentation to be considered for funding will be returned to the United Way office before the stated deadline.
- All presentations of facts, finances and services to be rendered under this funding relationship are true, accurate and auditable, and reflect actual costs with separate and identifiable income and cost items.
- We will cooperate with other agencies in planning and coordinating community services to eliminate duplication and gaps in services to provide balanced and effective service to the community.
- We will meet at least once annually to consult and collaborate with United Way on matters to common interest in an effort to achieve the best interests of the community as a whole.
- It will not infringe upon the financial rights of other United Way partner organizations by any program, public relations or fund raising activity which impedes the United Way's ability to attract the maximum resources for all funded relationships.
- Workplace financial campaigns through payroll deduction gifts shall not be allowed at any time during the year with the exception of national emergencies.
- We will portray our close working relationship with United Way through active co-branding efforts in a way that enhances the United Way's visibility and reputation.
- Conducting an internal United Way campaign encouraging Board members, staff, and volunteers to participate in the United Way annual campaign through their companies; neither encouraging nor discouraging designations, participating in campaign presentations and offering tours of our organization if requested and possible.
- We will complete and return an annual report with actual program results from January -December.
- We will promote the annual campaign by participating in campaign speaking engagements and other communitywide United Way events.
- We will comply with the capital campaign policy. A capital campaign is any public fund drive, the funds for which shall be used for capital expenses or improvements as opposed to an operational expense. All requests for capital fund drives shall be made in writing to the United Way office before January 1st of each year for any fund drive happening in the next 18 months. The President of the United Way Board will refer all requests to the Capital Project Review Committee for review, analysis, and approval.

Failure to comply with the above agreement may result in decrease of funding or money held in escrow until an agency complies.

### **The United Way agrees:**

- It does, and will continue to, respect the autonomy of all partner organizations and its right to control all internal management and governance decisions.

- It will continue to be in compliance with all state and federal laws and requirements for public disclosure and filing of financial reports, including an annual independent audit or review.
- It will continually seek ways and means of maximizing resources available for needed services.
- It will raise dollars through an annual fundraising campaign.
- It will annually review funded partners through the Community Investment Process and make regular payments. In the event that United Way either fails to receive sufficient pledges or payments from its campaign, United Way reserves the right to reduce or eliminate any or all fund distribution decisions.
- It will aggressively utilize outcomes, results and accomplishments of partner organizations and their programs in marketing a unified community impact campaign. United Way acts as a responsible steward by fully informing contributors of the fund distribution and use of funds. If Partner Organizations fail to produce outcomes, results, and accomplishments; United Way reserves the right to reduce or eliminate any or all fund distribution decisions.
- It will consider local existing agencies first when new program initiatives are started. United Way acts as a responsible steward by eliminating duplication and gaps in services while encouraging collaboration and coordination with Partner Organizations.

**Both agree:**

This agreement shall remain in effect until modified by mutual agreement of both parties or until revoked by either party. This agreement may be revoked by either party any time prior to January 1<sup>st</sup> of the calendar year by providing 30 days' notice to terminate this agreement. In such case, the Partner Organization shall not receive the fund distribution for that given year. The party to whom notice of termination is given shall have the right to a hearing before the governing board of the other party to request reconsideration of any such revocation.

This agreement has been read by all board members and approved at a meeting of the governing body of this Partner Organization held on \_\_\_\_\_(date) and at a meeting of the United Way Board held on \_\_\_\_\_(date).

Jackson County United Way

Partner Organization Name: \_\_\_\_\_

\_\_\_\_\_  
Board President

\_\_\_\_\_  
Board President

\_\_\_\_\_  
Executive Director

\_\_\_\_\_  
Executive Director

Date \_\_\_\_\_

Date \_\_\_\_\_

## Organization Designation Policy

The purpose of the annual fundraising campaign is to develop and enhance the resources available to Jackson County United Way's (JCUW) Investment Fund. Community volunteers then invest those resources strategically in our county in order to create lasting, measurable change on the most pressing issues facing families and individuals. JCUW promotes investing in the Investment Fund as the most effective way to invest in the community above any form of designated giving.

The process by which JCUW manages designations to other non-profit organizations is as follows:

- JCUW honors donor designations to any 501(c)(3) organization. This excludes church operating and/or capital campaigns, private school tuition, private school capital campaigns, political action committees, political campaigns and individuals. To be eligible to receive your gift the non-profit must meet Jackson County United Way criteria based on 501 (c) 3 not-for-profit status and compliance with the USA PATRIOT Act. If a chosen agency is ineligible, or your information is incomplete or illegible, we will make every reasonable effort to contact you. If we are unable to reach you, your contribution will go toward the general campaign fund. However, no oversight is provided by JCUW on the use of designated funds, and the community partner designated by the donor may use the designated funds in the manner it sees fit (salaries, training, program services, etc.).
- Donor designations to JCUW certified community partners are included as part of their Community Partner investment funding, not in addition to it. Any such gift will be among those "first dollars" that the United Way will be investing with that community partner. Should there be more designations to any particular agency in a given year than what the United Way investment equals, that agency will receive the greater amount.
- To protect the privacy of our donors, JCUW will not release the names of individuals who check the appropriate box on the pledge form signifying their desire to remain anonymous.
- A 10% processing and fundraising fee will be withheld to cover uncollectable pledges and processing costs on designations.
- JCUW will pay the designated non-profit on an annual basis. If their threshold exceeds \$1,000 they will be paid twice (April & October) based off what is collected.

Collections on pledges of cash, credit card, stock or check made through December 31<sup>st</sup> for the fall campaign will be paid to the designated Community Partner in April of the following year.

- Organizations are *not* permitted to solicit direct contributions during any JCUW sponsored presentation, campaign or fundraising event. Additionally, organizations are *not* permitted to request designated gifts through the JCUW fundraising campaign.

## Community Partner Financial Accountability & Audit Review

### Financial Accountability

Any funding provided by Jackson County United Way (JCUW) is contingent upon the organization's continued compliance with JCUW financial reporting as outlined below. In addition, organizations must notify JCUW, within 30 days, about any new pertinent financial information that may have significant adverse effect on the organization's financial status.

Standards of fiscal accountability in a well-run organization include, but are not limited to:

- a) Demonstrates ability to obtain diverse funding (diverse funding is defined as receiving less than a guideline of 50 percent of the program's revenue from JCUW and having secured several different funding sources).
- b) Well-defined budgeting and financial forecasting, reporting and monitoring procedures, including long-range funding plans.
- c) Realistic and balanced program budget with reasonable costs for providing services.
- d) Significant deficit or surplus of revenue to expenses in any JCUW funded program, on actual annual reports, require an explanation that addresses the cause for the difference for each line item with a significant change in amount.
- e) Timely financial reports and history of clean audits (internal or external).
- f) Financial reports (audit, financial statement and IRS Form 990 or 990-EZ) are submitted to JCUW.
- g) Addresses Management & Internal Control Letter recommendations.
- h) Active and knowledgeable board committees (finance, audit) setting, monitoring and evaluating overall financial management governance policies.

### Audit Review

To maintain accountability for our donors' investments, JCUW requires that all certified community partners submit annually a financial report. While JCUW strongly recommends each community partner conduct a full audit, the level of financial reporting is dependent on the organization's total annual revenue, i.e., actual prior year's total revenue, as noted below. However, if an Audit or Financial Review is conducted independent of JCUW requirements, a copy of the audited or reviewed financial statements and a copy of the IRS Form 990 or 990-EZ are required.

### Guidelines for Annual Audit or Review

- a) The managing organization must conduct and submit to JCUW an official annual financial audit or review in accordance with the following guidelines:
  - i. **Organization with total annual revenue of \$500,000 and greater** possesses documentation that its finances are subjected to an **annual audit** conducted by an independent Certified Public Accountant in accordance with Generally Accepted Accounting Principles (GAAP) and both the standards of the American Institute of Certified Public Accountants (AICPA) and the Standards of Accounting and Financial Reporting for Voluntary Health and Welfare Organizations.
    1. If required, organization must also submit to JCUW Circular A-133 Audit.
    2. Organization must also submit to JCUW the management & internal controls letter issued by the auditing firm **and** the organization's official response addressing the recommendations stated therein.
  - ii. **Organization with total annual revenue of \$100,000 to \$499,999** possesses documentation that its finances are subjected to an **annual Report of**

**Independent Financial Review** conducted by an independent Certified Public Accountant in accordance with AICPA standards. As this represents the minimum standard, the organization may voluntarily conduct an audit in accordance with section a(i) above.

iii. **Organization with total annual revenue of \$99,999 and less** possesses documentation that its finances are subjected to an annual review by the Board of Directors as indicated by a Board-approved Annual Financial Statement. As this represents the minimum standard, the organization may voluntarily conduct either a Report of Independent Financial Review or an audit in accordance with the specifications contained in section a(ii) or a(i) above, respectively.

1. The Organization must provide certification of the Board's approval of the financial statement, on official stationery, signed by the Board Chair/President.
- b) Organization's documentation of financial audit or review for the last completed fiscal year, conducted in accordance with sections a(i), a(ii) or a(iii) above, indicates fiscal solvency. In the case of an audit, the auditor's opinion is "unqualified" and the audit report is free of any major management citation.
  - c) Provide unaudited year-end financial statements.
  - d) Organization's documentation of the last Internal Revenue Service Form 990.

## Program Status Criteria

To fulfill Jackson County United Way's (JCUW) accountability to donors and as a condition of funding, community partners are required to adhere to the Funded Partner Standards & Policies in its entirety.

Program funding is contingent upon the certified community partner's alignment to one of the JCUW impact areas, compliance with all funding directives, implementation of the program as proposed, ability to demonstrate identified outcomes and compliance with JCUW's Certified Community Partner Standards & Policies.

### Program Status

JCUW volunteers and staff work together in monitoring investments. To ensure consistency and clear communication, JCUW has developed a new process for monitoring program status.

The status reflects evaluation at a specific point in time, and is fluid based on program performance. The criteria for program status are:

#### Minimum Expectations (all must apply)

- Program meets **all** requirements in the Certified Community Partner Standards & Policies and other funding-related requirements.
- Resources are adequate to deliver the program as proposed.
- Activities are productive, efficient and effective as confirmed by positive outcomes.
- Outcome results are defined and measured, or explanations are adequate to justify a shortfall and a plan of action is in place.
- Program activities and outcomes continue to contribute to the Impact areas.
- The outcome measurement system including data collection tools are utilized as planned and accurate results are reported.
- No significant issues with the financial audit or other financial reports exist.
- All reports are completed and submitted on time.
- The Executive Director or Lead Volunteer Chair of the community partner attends two Jackson County United Way meetings/trainings during the year. A Board member must attend at least one of the meetings/trainings.

Trigger mechanisms for Community Partner/program's recertification or funding review include, but are not limited to:

- Change in program scope.
- Change in funding structure.
- Percent of program/Community Partner funding by JCUW.
- Significant change in staff and/or board membership.
- Loss of resources that affect service delivery.
- Significant issues with the program's quality or effectiveness of services.
- Outcome results are significantly below proposed targets and insufficient or inadequate information is provided to justify the situation.
- Significant issues with the financial audit/review.