

Community Investment Policies and Procedures Manual for United Way of Suwannee Valley Affiliated Agencies

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United Way of Suwannee Valley Mission

United Way of Suwannee Valley unites individuals and resources to build a stronger, healthier, and more compassionate community.

Introduction

United Way of Suwannee Valley is committed to working with local affiliated agencies to safeguard its stewardship responsibilities to investors and the community at large. This commitment requires that a delicate balance be maintained between the affiliated agencies' autonomy and United Way of Suwannee Valley's mission. United Way of Suwannee Valley and its affiliated agencies share a vital community responsibility for addressing human needs through a private and voluntary system of care. The United Way of Suwannee Valley believes that we can advance equity by strategically investing resources to address disparities in communities impacted by structural and institutional racism. United Way of Suwannee Valley's support should reflect the diversity of the community it serves and benchmarking investments based on community demographics. Funding programs and agencies that address structural and systemic inequities are critical. This translates into investments in strategies that explicitly focus on eradicating racial/ethnic inequities based on institutional practices and policies that create and reinforce disparities in education, health, employment, criminal justice, housing and transportation. This allows United Way to report their strategic investments to create system changes and the percentage of our overall investments targeted toward racial equity goals.

In the important process of linking people in need with local, private financial and volunteer resources, certain mutual responsibilities must be met to ensure maximum effectiveness. The purpose of this manual is to define those specific mutual responsibilities that exist between United Way and its affiliated agencies. The policies and procedures contained in this manual may change from time to time, with consultation with partners or at the discretion of United Way, in response to our changing environment. All affiliated agencies are bound by the policies and procedures as they change, provided 60 days' notice of such change is given and a reasonable amount of time allocated for compliance. This manual is intended to create an understanding of the relationship between United Way and the affiliated agencies it supports.

Additional copies may be obtained by contacting the United Way of Suwannee Valley's office or by accessing it on the website at www.unitedwsv.org.

Program and/or grant specific contracts and/or agreements are in addition to those of the Community Investment Policies and Procedures Manual.

I. AFFILIATED AGENCY RELATIONSHIPS

All affiliated agencies must adhere to the stipulations in the Policies and Procedures Manual unless written permission is granted for an exception.

A. Definition of Affiliated Agency

An affiliated agency is any organization which has an ongoing relationship with United Way that is defined and governed by this agreement. Affiliated agencies are eligible to apply for but are not guaranteed program funding through the allocations process. No other definition for affiliated agency may be used to define this relationship.

B. Initial Certification of Affiliated Agency

A nonprofit agency can become an affiliated agency of the United Way of Suwannee Valley by completing the affiliated agency requirements and procedures, as described in Section II and Section VII. After acceptance, affiliated agencies are required to remain in good standing and continue to adhere to the affiliated agency requirements. Non-funded affiliated agencies **must reapply for partnership every three years**. (Funded agencies do so yearly.) A volunteer committee to ensure awareness of agency program services and budget resources as well as appropriateness of continued affiliation will review affiliated agency applications and site visits. The United Way Board of Directors approves all final decisions.

C. Funding Process

The allocations process, which is only open to affiliated agencies, may include but is not limited to, a written application and formal presentation. Volunteers serving on the Community Investment Committee will review all information submitted and make a recommendation for funding to the United Way Board of Directors. The United Way Board of Directors will make all final decisions.

II. AFFILIATED AGENCY REQUIREMENTS

To fulfill our stewardship responsibilities to investors and the community at large, both United Way and all affiliated agencies are required to comply with the requirements set forth below in order to continue a partnership with United Way. These criteria outline mutual expectations between United Way and affiliated agencies.

CRITERIA FOR GOOD STANDING

An affiliated agency considered in good standing must meet all of the following criteria. The agency:

- A. is incorporated or chartered under appropriate local, state or federal statutes.
- B. maintains its recognition by the Internal Revenue Service as an organization exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code as amended and as a publicly supported organization of the type described in Section 170 (b)(1)(A)(vi) and abides by all applicable policies outlined therein.

- C. has an independent local board of voting members serving without compensation that has ultimate authority for the organization's service, administration, financing, and stewardship of funds. The board will have provisions for adequate financial and administrative policies and procedures to assure an effective, economical and efficient operation. The affiliated agency will keep its board of directors informed of all United Way policies and issues. The agency agrees to provide United Way the opportunity to schedule an annual presentation to the agency's board of directors.
- D. has an annual financial audit or review performed by an independent certified public accountant in accordance with Generally Accepted Accounting Principles (GAAP) and the Generally Accepted Government Auditing Standards (GAGAS), if applicable, resulting in the issuance of financial statements in accordance with Generally Accepted Accounting Principles. Management letters must be included along with the audit. If an organization's total revenue is less than \$500,000, a review by a certified public accountant must be done annually. The organization files a form 990 or 990EZ annually, as required.
- E. is issued an unqualified opinion for the agency's financial statements.
- F. does not have significant ongoing financial deficits and/or has evidence of financial support or a board or voting members' approved plan to ensure the affiliated agency continues in operation and meets its obligations and commitments.
- G. maintains an Equal Employment Opportunity Policy in writing as required by governmental funding sources.
- H. maintains a Non-discrimination Policy in writing that outlines how the organization does not discriminate in hiring, service delivery, or volunteer services on the basis of race, religion, gender, sexual orientation, national origin, age, or disability.
- I. is free of any reasonable suspicion of the misuse of funds, engagement in unethical or illegal practices, or violation of applicable laws.
- J. is free of any significant non-compliance issues for other funding sources.
- K. has a clearly-stated organizational purpose consistent with the mission of United Way of Suwannee Valley and is working within one of our three impact areas of Education, Financial Stability and Health.
- L. provides its services to residents within United Way's four-county area of Columbia, Hamilton, Lafayette, and Suwannee counties.
- M. agrees to immediately notify United Way regarding any legal, financial, or organizational matters or changes, including controversial events or issues, which may affect the affiliated agency's ability to operate and/or deliver services.

- N. conducts an annual United Way workplace campaign, which includes presentations made by a United Way staff, board or speakers' bureau member, to be completed by November 15 of each calendar year.
- O. attends any required Speakers' Bureau training for affiliated agencies and is available for speaking engagements to support the United Way campaign efforts.
- P. ensures attendance by the Professional Officer/Executive Director at all mandatory meetings called by United Way.
- Q. proudly features the United Way logo on print material, electronic, and other collateral tools including but not limited to client forms and handouts as well as the organization's stationery, website, brochures, invitations, annual report and others for programs funded by United Way.
- S. displays the United Way logo and signage (to be provided by United Way) in the lobby of the corporate office and all subsidiary locations.
- T. Quarterly Reports are due 30 days after each quarter. For each day that the quarterly report is late, the same number of days will delay the allocation check being prepared.

III. CAMPAIGN STANDARDS

It is expected that all affiliated agencies will actively participate in the annual United Way campaign immediately upon becoming affiliated. An affiliated agency will permit its name to be used by United Way in connection with its campaign. It is also expected the United Way will be informed of any contributions received by the affiliated agency which, in the judgment of the affiliated agency, are generated by the United Way campaign.

IV. UNITED WAY COMMITMENTS

United Way commits to its affiliated agencies that it will to the best of its ability:

- A. Organize, direct, and conduct an aggressive and cost-effective annual United Way campaign which reaches all segments of the community and maximizes unrestricted giving and commitment to the voluntary system to support local health and human services, programs, collaborations, or other special initiatives designed to address community needs.
- B. Establish an annual fundraising goal with due regard for the community's needs, community fundraising climate, and local economy.
- C. Allocate and award campaign proceeds through systems that honor donor-restricted contributions, encourage opportunities for collaboration and cooperation among service providers, and use a representative group of responsible citizen volunteers to assess the community's needs and the affiliated agencies' capacity to effectively deliver services.

- D. Promote United Way funded and non-funded affiliated agencies through its development and communication activities.
- E. Provide a variety of supportive services aimed at increasing the capacity of the human service system to respond to community needs which may include, but not limited to, United Ways of Northeast Florida 2-1-1 information and referral services, advocacy, community initiatives, collaboration building, and human service planning and research.
- F. Conduct a periodic investigation and analysis of the human service needs of the service area.
- G. Promote volunteerism and the importance of the system of voluntary not-for-profit services in the enhancement of the quality of life in our community.

V. REVENUE GENERATING ACTIVITIES

United Way seeks to maximize the total dollars available to address the needs of our community. United Way encourages funded and non-funded affiliated agencies to develop revenue-generating activities that do not compete with or jeopardize the local United Way campaign. Therefore, United Way encourages collaboration between the funded and non-funded affiliated agencies and United Way to generate funds that will help meet the health and human service needs of our community.

The following policies are designed to maintain the strongest possible annual United Way campaign and allow the funded and non-funded affiliated agencies the flexibility to conduct its own essential fundraising activities.

- A. The funded and non-funded affiliated agencies may develop and implement a diverse revenue stream that may include, but not limited to, the following types of activities.
 1. Fees for service
 2. Governmental grants
 3. Independent foundation gifts
 4. Bequests, legacies and other deferred gifts
 5. Out-of-area contributions
 6. Year-round sales of affiliated agency's products
 7. Donated gifts-in-kind
 8. Internet fundraising
 9. Unsolicited gifts
- B. Funded and non-funded affiliated agencies are expected to support the United Way as described in Section III. Funded and non-funded affiliated agencies may not:
 1. Conduct direct employee workplace-based campaigns (outside of raising funds within their organization to benefit only their organization) at any time during the year.
 2. Participate in federated campaigns.
 3. Solicit donor-designated donations through United Way.

4. Malign the United Way staff, board, or organization for any reason, including decisions regarding funding, appeals, or compliance.

- D. If a funded or non-funded affiliated agencies fails to comply with the policies listed above, the appropriate volunteer committee will evaluate the affiliated agency's non-compliance, taking into consideration relevant factors. The committee may issue a written reprimand or may recommend a sanction that may include, but not limited to:
 1. Suspension of allocation payment(s)
 2. Termination of agreement

It shall be a condition of continued partnership that the affiliated agency demonstrate in writing to the United Way Board President and Executive Director the specific measures that will be taken to prevent further violations in the future.

VI. DONOR DESIGNATION PROGRAM

United Way of Suwannee Valley's Donor Designation Program was created by the United Way Board of Directors to provide individuals with the option of directing part or all of their contributions to other United Ways or specific eligible agencies.

United Way operates under the designation payment system known as "first dollar," which is the method for allocating to member agencies without the fluctuations which could result from donor designations. First Dollar counts any designations to member agencies toward the allocation, so the total amount available to meet the presented budget need is considered with both allocated and designated funds.

VII. AFFILIATION PROCEDURE

- A. A nonprofit organization wishing to apply for affiliation may initiate the process through a written or telephone request to United Way. Upon receipt of such request, United Way will provide the organization basic information. The organization must then file its completed application by December 1 of the year prior to that in which it wishes to participate. (See the Schedule in this manual.)
- B. United Way staff will conduct an initial screening of the application. An agency submitting an application which does not include all requested documentation will be informed in writing of same, and the application will not be processed. If not completed and/or corrected and returned by January 15, the application becomes invalid.
- C. The Community Investment Committee will meet to review the application and to conduct a site visit.
- D. The recommendation of the committee relative to agency affiliation will be elevated to the Executive Committee of United Way. The Board of Directors takes final action on the recommendation. The decision of the Board of Directors will be communicated in writing to the applicant agency. If affiliation is denied, an agency may reapply during the next

scheduled cycle provided the deficiencies, which resulted in the denial of affiliation, have been corrected.

VIII. SANCTIONS FOR NON-COMPLIANCE OF FUNDED OR NON-FUNDED AFFILIATED AGENCIES

United Way reserves the right to suspend its partnership with an affiliated agency during the term of this agreement in instances in which this agreement is violated and/or until the violation is corrected. Additionally, United Way may terminate this agreement immediately if, in the opinion of the United Way, the affiliated agency mismanages or makes improper use of funds.

- A. Affiliated agencies which are not complying with the provisions set forth in this agreement may be subject to progressive action to alleviate the compliance issue, beginning with a written communication to the affiliated agency's Chief Professional Officer, noting the violation, expected corrective action, and time-frame for such.
- B. If the time frame to correct the violation expires without a resolution, the United Way Executive Director will send written notice of the violation to the affiliated agency's Chief Professional Officer and Chief Volunteer Officer/Board President, as well as to the Chief Volunteer Officer/Board President of the United Way. Within five (5) days of receiving this notice, the affiliated agency's Chief Professional Officer must rectify the situation and/or submit in writing the intended corrective action plan, including timeframe, to United Way.
- C. If the violation and/or concerns are not resolved within the time frame noted above, the United Way Executive Director will address the issue through a letter to the affiliated agency's Chief Volunteer Officer/Board President, with a copy of the letter sent to the affiliated agency's Chief Professional Officer. The affiliated agency will have 30 days to address and/or rectify the situation. United Way, at its sole discretion, may extend the time for the affiliated agency and board to address the concerns.
- D. After 30 days of non-response or unacceptable corrective action, the process for terminating the agency's affiliation with United Way may be initiated.

IX. TERMINATION OF PARTNERSHIP AGREEMENT OF FUNDED OR NON-FUNDED AFFILIATED AGENCIES

In its stewardship role, United Way assures investors their contributions are distributed for needed services and used in the most effective and efficient manner and that affiliated agencies are well vetted. United Way is also cognizant of the autonomy of affiliated agencies and their volunteer resources. These broad responsibilities are translated into policies and agreements. All affiliated agencies are reviewed periodically for compliance with these policies and the terms of agreement. These reviews may disclose issues serious enough to warrant consideration of probation or termination of the partnership.

A. CRITERIA FOR TERMINATION OF FUNDED OR NON-FUNDED AFFILIATED AGENCIES

Events leading to termination of the agreement between United Way and an affiliated agency include, but not limited to, the following:

1. Voluntary withdrawal by the affiliated agency from a United Way contract, as submitted in writing. If an affiliated agency wishes to withdraw from the partnership, it may do so at any time. However, if the request is made after July 1, it may not be feasible to remove the affiliated agency from United Way literature until the end of the current fiscal year.
2. Material non-compliance with the terms of United Way's Policies & Procedures Manual or other agreements entered into with United Way.
3. Determination that the programs supported by the affiliated agency no longer provide service(s) appropriate for United Way support.
4. Lack of service delivery to client population.
5. Failure to provide for the health and safety of affiliated agency's clients and/or employees.
6. Lack of leadership and direction by affiliated agency's board of directors.
7. Severe ongoing financial deficits with a lack of evident financial support or a board approved plan to ensure the affiliated agency continues in operation and meets its obligations and commitments under the agreement.
8. Determination that any director, officer, employee, or agent of the affiliated agency, acting in an official capacity with respect to the affiliated agency, has or may have violated any law that applies to the operation or maintenance of the affiliated agency.
9. Failure to follow requirements or recommendations of United Way or any licensing or governmental bodies.
10. Failure to correct deficiencies identified by United Way.
11. Engaging in activities that fail to support the mission or image of United Way or that create negative publicity or a harmful perception of United Way.
12. Reasonable suspicion of the misuse of funds.
13. Engagement in unethical or illegal practices.
14. Violation of applicable laws.
15. Loss of tax-exempt status under Section 501(c)(3) of the Internal Revenue Code.
16. Engagement in activities that jeopardize the provision of funding or services to our community.
17. Failure to comply with United Way identification requirements pursuant to II. D, Q. & S.
18. Failure to comply with the requirements as outlined under the United States Patriot Act.
19. Failure to comply with the requirements as outlined under the Sarbanes-Oxley Act.
20. Willful misrepresentation by the affiliated agency of material fact(s) that had a bearing upon United Way's partnership decision.

B. PROCESS FOR TERMINATION CRITERIA FOR TERMINATION OF FUNDED OR NON-FUNDED AFFILIATED AGENCIES

1. Once concerns are raised about the affiliated agency's compliance with applicable policies and procedures, terms of the agreement between United Way and the affiliated agency or the above criteria, the United Way Admissions and Community Investment Committee will examine the situation. United Way reserves the right to contact, share, and/or compare information with other funders. The Admissions and Community Investment Committee, through the Executive Director, will notify the affiliated agency in writing of United Way's concerns and request a meeting with the affiliated agency's representatives, including appropriate affiliated agency staff and board members.
2. During this meeting the Admissions and Community Investment Committee and the United Way executive director will explain United Way's concerns and hear the affiliated agency's responses. A remediation or compliance plan and a timetable for remedying identified problems, deficiencies, or concerns will be developed by the affiliated agency. The remediation or compliance plan will be communicated to the Admissions and Community Investment Committee for review. A decision will be communicated to the affiliated agency in writing. The affiliated agency will have up to 30 days from the receipt of this written notice to agree in writing to immediately commence implementation of the plan.
3. If the affiliated agency does not comply with the provisions of the plan, fails to submit the appropriate documentation, or is unable to reach the agreed upon outcomes within the established time period under the remediation or compliance plan, the Admissions and Community Investment Committee may recommend placement of the affiliated agency on probation until satisfactory progress with implementation of the plan has been achieved.
4. Termination of the partnership shall be considered if the affiliated agency fails to take positive remedial actions to satisfy the identified problems, deficiencies, or concerns. If termination is recommended by the Admissions and Community Investment Committee, the affiliated agency will be notified in writing and will have 30 days from receipt of the letter to file a written appeal.
5. The Admissions and Community Investment Committee will review the affiliated agency's appeal and determine whether or not to proceed with termination procedures. The committee has 45 days from the date of its decision to submit a recommendation for termination to the United Way Board of Directors. The United Way Board will address the termination at its next scheduled meeting. The affiliated agency will be notified of the Board's decision within five (5) working days.

C. UNITED WAY LOGOS AND IDENTIFICATION

Upon termination of the Agreement for any reason, the funded or non-funded affiliated agency must immediately cease use of all United Way logos and materials that designate

the agency as affiliated with United Way. In light of costs, affiliated agencies may not be removed from current campaign materials.

X. CHARITABLE PURPOSES

Nothing in this agreement shall be interpreted to require United Way to distribute funds to an affiliated agency where it appears, in the reasonable judgment of the United Way Board of Directors, that such funds will not be used for charitable purposes.

XI. INDEMNIFICATION

To the extent provided by law, the agency agrees to indemnify and hold harmless United Way from liability of any injuries, damages, omissions, commissions, actions, causes of actions, claims, suits, judgments and damages accruing, including court costs and attorney's fees, as a result of services performed or not performed, or any negligent act by the affiliated agency, or any action arising out of the agency's agreement with United Way.

XII. AMENDMENTS

The policy of United Way is to apply the spirit of this document uniformly to all affiliated agencies and to consider requests for modification of a specific element's application for a specific affiliated agency. While there is no intention to make exceptions to the spirit of the policies and procedures outlined in this manual, it is reasonable to anticipate that among the many participating organizations of varying size, location, program and level of United Way support, a few accommodations may need to be considered.

A. CONSIDERATION OF AMENDMENTS

The United Way Board of Directors will consider amending a contract with an affiliated agency for such accommodations in relation to the following criteria:

1. Uniqueness of circumstance(s).
2. Feasibility of granting the same accommodation to other affiliated agencies in similar circumstances.
3. Impact of the accommodations on United Way's objectives of maintaining effective community partnerships.

B. PROCESS FOR REQUESTING AN AMENDMENT

1. To request consideration of an amendment to any part of a contract with United Way, the affiliated agency's chief professional officer/executive director must make clear the grounds for an exception in a letter addressed to United Way's Executive Director. In this letter specific reasoning for why this accommodation is requested, along with anticipated effects on United Way, should be clearly outlined in detail.

2. United Way's Executive Director will review the affiliated agency's request and formulate a recommendation to be presented to the United Way Board of Directors for final approval. The recommendation may be approval of the request, with or without contingencies, denial of the request, or a suggestion for the affiliated agency to alter its plan of action so as to not violate any agreements or contracts with United Way.
3. The United Way Board of Directors' decision will be communicated by United Way's Executive Director in writing to the affiliated agency's Chief Professional Officer/Executive Director within ten (10) days of the United Way Board of Directors decision.
4. Any affiliated agency that does not receive approval from the United Way Board of Directors and proceeds with prohibited actions lacking United Way's approval shall be considered in direct violation of its agreement and subject to sanctions for non-compliance as outlined in the Policies & Procedures manual.

XIII. OTHER STANDARDS

United Way requires adherence to the policies and procedures outlined in each of the following:

A. Sarbanes-Oxley Act

The Sarbanes-Oxley Act was signed into law on July 30, 2002 and introduced highly-significant legislative changes to financial practice and corporate governance regulation. It introduced stringent new rules with the stated objective "to protect investors by improving the accuracy and reliability of corporate disclosures made pursuant to the securities laws." The Act covers corporate governance, financial reporting standards and record keeping and is intended to promote corporate honesty and improve investor confidence in the financial markets. It also introduced a number of regulations that govern the practices of non-profit organizations.

Non-profit organizations are required to have an independent and competent audit committee which will hire, set compensation, and oversee the auditing firm's activities. The committee is also responsible for setting the rules and processes for complaints concerning accounting and internal control practices. Included in the Act are also a series of policies governing the issuance of audited financial statements.

The Act makes it a crime to alter, cover up, falsify or destroy any documents (or persuade someone else to do so) to prevent their use in an official proceeding. Intentional document destruction must be turned into a process that is monitored, justified and carefully administered.

The Act also provides new protections for whistleblowers and criminal penalties for actions taken in retaliation against whistleblowers.

For more information, visit www.sarbanes-oxley-forum.com

B. HIPAA

HIPAA is the acronym for the Health Insurance Portability and Accountability Act of 1996. The Centers for Medicare and Medicaid Services (CMS) is responsible for implementing provisions of HIPAA.

The Administrative Simplification provisions of the Health Insurance Portability and Accountability Act of 1996 (HIPAA, Title II) require the Department of Health and Human Services to establish national standards for electronic health care transactions and national identifiers for providers, health plans, and employers. It also addresses the security and privacy of health data. Adopting these standards improves the efficiency and effectiveness of the nation's health care system by encouraging the widespread use of electronic data interchange in health care.

C. United States PATRIOT Act

The Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act of 2001 (USA PATRIOT Act, or USAPA) introduced legislative changes which increased the surveillance and investigative powers of law enforcement agencies in the United States. President Bush signed the final bill, the USA PATRIOT Act, into law on October 26, 2001.

XIV. COMMUNITY INVESTMENT COMMITTEE

A. Duties and responsibilities

1. To propose admission of affiliated agencies according to the Affiliated Agency Requirements in the Community Investment Manual.
2. To propose the allocation of funds to affiliated agencies, based upon an annual review and evaluation of agency programs and their budgets as well as on community needs and resources.
3. Subject all actions to the Executive Committee and/or Board of Directors for approval.

B. Membership

The Community Investment Committee shall consist of not less than the number of affiliated funded agencies plus the chair. Members are identified by the Community Investment Committee and approved by the Executive Committee. Committee members are identified from among United Way of Suwannee Valley donors to ensure all participants maintain a vested interest in the efficient and effective application of community funding available for human services. Committee members serve terms of three (3) years.

C. Functions

1. To assign annually a liaison member of the committee to each affiliated funded agency. The committee chair will serve as the liaison to those agencies which are affiliated non-funded agencies.
2. Liaison members will be responsible for a thorough knowledge of their assigned agencies.
3. The agency will be notified of this assignment and encouraged to keep the liaison informed on activities of the agency, such as by receiving the agency newsletter, notices of functions and any other matters which the agency deems of interest to the committee.
4. The liaison shall be prepared to report on the assigned agency prior to the agency presentation at the Community Investment Committee agency presentations.
5. Meet annually with each affiliated funded agency to review programs and their budgets as part of the allocations process. Meet with non-funded affiliated agencies at three (3) year intervals to ensure awareness of agency program services and budget resources as well as appropriateness of continued affiliation.

D. Schedule

December 1	Deadline for receipt of applications from new agencies applying for certification for next United Way of Suwannee Valley fiscal year
March 1	Distribution by United Way of agency funding application materials
April 1	Deadline for receipt by United Way of agency funding application
April – May	Community Investment Committee conducts agency program and budget presentations
May	Community Investment Committee Chair, or his/her designee, presents the committee recommendations for agency funding allocations to the United Way of Suwannee Valley Executive Committee. Letters notifying the agencies of their tentative allocations are sent to agencies.

The agency has ten (10) days in which to appeal the recommendation of the Community Investment Committee. Appeals are heard by the Executive Committee at its June meeting. The Community Investment Committee will deliver its final recommendation, including any revisions resulting from any agency appeals heard by the Executive Committee to the Board of Directors for the board's decision at its July meeting.

July The Admissions and Community Investment Committee Chair, or his/her designee, presents the committee recommendations to the United Way of Suwannee Valley Board of Directors for the board's review and approval

September 30 The first distribution of quarterly allocations payments will be made.

E. Allocation Procedure

1. The Finance Committee will review the funds available for allocation after deducting administration and fundraising expenses, designations to non-affiliated agencies and projected shrinkage. The overall United Way budget, including the amount budgeted for agency allocations, will be approved and adopted by the Board of Directors.
2. Affiliated agencies requesting an allocation of funds will submit an application in the format provided by United Way by April 1 of each year. Agency submissions must have the formal approval of the agency's governing body and be signed by the board president or chair.
3. All applications that are received past the deadline will automatically receive a 25% reduction from their allocation request for that particular submission. This includes applications that do not have all of the components corrected by the due date provided. If the application is submitted further than 24 hours after the due date, it will not be accepted at all.
4. When submitting the application, the Executive Director of the agency is required to sit with a United Way representative to review the application to ensure completeness. Missing items are still required to be submitted on time to avoid the 25% penalty, therefore, for those agencies where the Executive Director is not located in our service area, it is highly recommended that they mail those in as early as possible and schedule a call with the United Way representative to review.
5. Agency budgets submitted to United Way will be based on the funding year of July through June.
6. Agency budget submissions will be reviewed by United Way staff such that agency budget notes are provided to the agency and the Community Investment Committee to assist the agency in responding to questions which may arise at the agency presentations.
7. Agency budget submissions, budget notes, and agency responses submitted to the budget notes will be provided to all Community Investment Committee members for their preparation for the agency presentations.

8. In April and/or May the committee will conduct agency presentations. The submitted budgets are the basis for discussion at these presentations. The executive director and one board member must attend the presentations in person. The committee may permit a virtual presentation due to unforeseeable circumstance. A special and unforeseen request to present virtually may be requested of the committee by an agency.
9. Officers of the agency, other board members and staff personnel needed to address budget and program questions are expected to represent the agency at these conferences. At a minimum each agency is required to include board member representation at the presentation.
10. The Community Investment Committee will determine its recommendations for agency allocations. The committee reserves the right to waive any sanctions previously stated based on unforeseeable circumstances. These recommendations will be presented to the Executive Committee. Upon Executive Committee approval of the committee's recommendations for allocations, each agency will receive a tentative notice of funding.
11. The agency has ten (10) days in which to appeal the decision of the committee. (See above Schedule section.)
10. The agency quarterly financial report will reflect a final budget, approved by the agency's governing body and based on the allocation funding. Quarterly financial reports are due within the month following each quarter.
12. United Way will make quarterly payments in the amount of one-fourth of the year's allocation at the end of each calendar quarter.

XV. ALLOCATION PAYMENT POLICIES

Quarter Due		Quarter Paid	
1st	October 31	1st	December 31
2nd	January 31	2nd	March 31
3rd	April 30	3rd	June 30
4th	July 31	4th	September 30

- A. United Way reserves the right to withhold any payment if the participating agency does not adhere to the policies set forth in this manual or for any other deviation from the Articles of Agreement.
- B.** Quarterly Reports are due 30 days after each quarter. United Way reserves the right to delay the payment of a quarterly allocation to any agency that does not submit its quarterly financial report on a timely basis (within the month following the end of the

quarter). The allocation payment may be delayed for no more than the number of days the quarterly report was delayed.

- C. Any funded agency that does not conduct a workplace campaign by November 15th and reported to the United Way by December 15th will receive a 5% reduction in allocation which will be removed from the second quarter allocation.
- D. All affiliated agencies will maintain a current file in the United Way office of the documents required for affiliation. These documents include a copy of the current year Florida certificate of registration in accordance with Chapter 496, Florida Statutes regarding the Solicitation of Charitable Funds Act; current list of board members; IRS 990; annual audit, if applicable; and bylaws if amended from those in the agency's United Way file. Note: Agencies with a total annual operating budget less than \$500,000 are exempt from submitting an audit.

XVI. POLICY ON EARLY RELEASE OF AGENCY ALLOCATIONS CHECKS

United Way of Suwannee Valley funded agencies may experience a financial crisis and advise the United Way office or the agency's Community Investment Committee liaison, or the financial crisis may be apparent upon receipt and review of an agency's quarterly financial report. Should an agency experience a financial crisis or have one identified by United Way, a request for the early release of an agency allocation may be expressed.

The process for handling such a request is as follows.

The agency expresses its financial crisis to the United Way office or to its Admissions and Community Investment Committee liaison. Alternately, the Admissions and Community Investment Committee liaison may identify the crisis upon review of the agency's quarterly report and resultant communication with the agency.

If the request is received by the United Way office, the agency will be referred to its Admissions and Community Investment Committee liaison to secure relevant information regarding the nature of the financial crisis and plans to recover from the crisis. The agency's liaison will advise the United Way office of the results of the agency contact such that the request can be documented in an email which shall be elevated to the Admissions & Community Investment Committee chair.

The committee chair may elect to discuss the situation with the liaison or with the United Way office staff or may elect to conduct a meeting with the agency to include all parties.

The committee chair, having consulted the liaison, United Way office staff, and, if necessary, agency representatives, will collaborate to make a decision regarding the early release of an agency's quarterly allocation. If the decision of the committee chair is favorable, a check to the agency will be released as soon as practical.

This decision will be reported to the Executive Committee or Board of Directors, depending on the meeting schedule, to keep the Executive Committee and Board of Directors apprised of aberrations from the normal and customary distribution of agency allocations.

Follow up communications between the agency and the liaison will be conducted to ensure the agency's recovery from its financial crisis.

XVII. EMERGENCY FUNDING

The United Way Admissions and Community Investment Committee may maintain a small contingency fund each year, as the United Way budget and agency funding demands allow, for use in meeting acute emergencies.

A. Policy

It is the policy of United Way that annual allocations to funded agencies shall provide the maximum possible amount within the total United Way funds available.

B. Criteria

Allocations from the United Way's contingency fund shall be made in relation to the following criteria and subject to the availability of money in the very limited fund.

1. The item of expense must be unexpected, have been unforeseeable at budget preparation time and so essential that without additional funds from the contingency fund, the agency's program would be seriously impaired.
2. The agency shall demonstrate that funds for this purpose are not available from any other source, including reserves or capital funds of the agency, and that the expenditures cannot be postponed until the next annual budget request has been submitted and acted upon.
3. An agency shall be limited to seeking emergency funding once every three (3) years.

C. Procedures

A funded affiliated agency may apply for an allocation from the contingency fund in accordance with the following procedures:

1. Submit a letter of request and updated budget information.
2. Indicate the amount needed with a clear and thorough statement of justification.
3. If repairs or replacement of buildings or equipment are involved, the agency will secure and include in the request bids on the work to be done from three reputable firms and indicate which bid it prefers to accept.

4. The Board of Directors or the Executive Committee of the agency will approve the request before it is submitted.
5. The Admissions and Community Investment Committee will meet, confer and/or meet with the agency and its appropriate staff and/or board members, as it deems necessary and make a recommendation to the United Way Executive Committee within fifteen (15) business days of the receipt of the request.
6. The agency will be promptly notified in writing of the Executive Committee's decision.

Scoring of Applications/Requests for Proposals

Beginning with the FY20-FY21 Request for Proposal (RFP), the Community Investment Team will be utilizing a Scoring Rubric. This rating guide will help them assess a proposal's strengths, weaknesses and alignment with the funding priorities of the United Way of Suwannee Valley. Proposal scores are tools in the process, and importantly are not the sole factor by which funding award determinations are made.

The below scale will be used to guide ratings of each review category:

- Fails to Meet Expectations - Incomplete response. No alignment between the response provided and the core components of the rating category.
- Meets Expectations - Clear response which adequately responds to most of the core components of a rating category.
- Exceeds Expectations - Exceptionally clear and cogent. Fully responds to all core components of the rating category.

XVIII. ATTACHMENTS

- A. Application
- B. Articles of Agreement
- C. Notification of Supplemental Fund Raising
- D. UWSV Allocation Scoresheet

UNITED WAY OF SUWANNEE VALLEY, INC.

APPLICATION

Please answer all items which are applicable to your organization. If you are unable to answer in the space provided, attach additional sheets. (Type or print in ink.)

1. Name of organization _____
2. Address _____ City _____ State _____ ZIP _____
3. Agency Phone number _____
4. Tax ID number _____
5. Date organized in this community _____
6. All names, other than above, under which the agency solicits contributions

7. Purpose of organization _____

8. Type of legal entity _____
Where organized _____ Date _____
9. What is the name of the agency's national organization, if applicable?

10. Has this organization ever been enjoined or prohibited from soliciting contributions in any state, including Florida? Yes _____ No _____ If answer is Yes, explain fully; _____

11. Principal source of revenue for local agency to date _____

12. How have local solicitations been made? (i. e. personal contact, direct mail, telephone, etc.)

13. If the agency is requesting funds, for what purpose will contributions be used? (Be specific as to programs and add pages as needed.)

14. Has this organization used the services of a professional fundraiser?
Yes _____ No _____ Name: _____
15. Name and address of agency board president _____
Address _____ City _____ State _____ ZIP _____ Phone _____

16. Name and address of executive director/chief professional officer or person having responsibility for budgeting funds _____

Address _____ City _____ State ____ ZIP ____

Phone _____ Email _____

17. Does the agency invest in equity training for staff? Yes _____ No _____

18. What actions does the agency take in order to reach underserved populations? _____

19. What is the percentage of people serviced who are Black and Indigenous People and People of Color (BIPOC) served from July 2022 through June 2023? _____

20. ATTACH:

(11) copies of packet, each 3 ring hole punched, and in order:

1. Application
2. Balance Sheet
3. Agency Budget Worksheet, Pages 1-3
4. Worksheet 1
5. Supporting Schedule 2
6. Dollars / Clients per county
7. Outcome Logic Model – N/A 2022

Additionally, please submit only (1) copy of the following:

6. Anti-Terrorist Agreement, PATRIOT Act form
7. Board of Directors Roster
8. Copy of current bylaws
9. Copy of last certified public accountant's statements of the agency's financial report – Audit and 990 showing no compliance or funding issues
10. Equal Opportunity policy
11. 501©3
12. Copy of the non-discrimination policy
13. Florida Solicitation Permit or exemption
14. Articles of Agreement
15. Notification of Supplemental Fund Raising

CERTIFICATION

I/WE CERTIFY the information furnished in this statement and in all continuation sheets attached hereto is true and correct to the best of my/our knowledge.

Typed name of Board President

Signature of President

DATE: This _____ _ day of _____, _____.

UNITED WAY OF SUWANNEE VALLEY
ARTICLES OF AGREEMENT

This agreement, entered into this _____ day of _____, _____, between United Way of Suwannee Valley, Inc., herein referred to as United Way, and _____, herein after referred to as Agency.

It is mutually agreed this Agency has elected and does hereby agree to join with United Way in a collaborative effort of community fundraising for agencies serving Columbia, Hamilton, Lafayette and Suwannee counties through the provision of services addressing health, education, and financial stability. Refer to the Community Investment Manual for a full explanation of all responsibilities outlined in this agreement.

The Agency is an active participant in the annual community fundraising campaign. Agency will cooperate with and give proactive support to United Way and the community fundraising campaign, making available volunteer and professional leadership and other services and information that may be helpful to assure success of the campaign. Agency's full name and logo may appear on any educational and campaign material used in the community fundraising campaign. Agency will, whenever possible, identify itself as a member agency. Agency may not use United Way's donor files to secure names for fundraising purposes; likewise, United Way may not have access to donor files of Agency for fundraising purposes.

Designated funds for the Agency shall be considered as a part of general contributions.

The Agency represents it is a nonprofit organization to which contributions are deductible under State and Federal tax laws; maintains a current registration for the period of this Agreement with the office of the Secretary of State in accordance with the provisions of Chapter 496, Florida Statutes, the Solicitation and Charitable Funds Act; has on file a letter stating it is tax exempt under 501(c)(3) IRS Code; is governed by an unpaid Board of Directors with financial and administrative policies which assure adequate internal controls.

A notification of Supplemental Fund Raising should be submitted before plans for the fundraising event are implemented. Normal agency newsletters will be allowed to carry a small paragraph for membership notices to existing members during the United Way campaign period. Fundraising during the United Way campaign period directed by agencies' national office will be excluded from this policy. United Way's interest is to avoid campaigns that would adversely affect everyone's ability to raise funds.

Publicity materials produced locally by the Agency will be consistent with appeals for the United Way.

The Agency agrees to maintain its internal financial and accounting records in accordance with the "Standards of Accounting and Financial Reporting for Voluntary Health and Welfare Agencies." The Agency also agrees to provide a copy of the latest agency audit by a Certified

Public Accountant, unless exempt. If exempt, financial reports must be prepared by a qualified accountant.

The Agency shall present its financial information to United Way on forms prescribed by United Way.

The Agency agrees to maintain a current file in the United Way office at all times of the following documents:

- A. IRS 501(c)(3) tax exemption letter
- B. Florida Certificate of Registration in accordance with Chapter 496, Florida Statutes regarding the Solicitation of Charitable Funds Act
- C. Articles of Agreement
- D. Non Discrimination Policy
- E. Current list of Board Members
- F. Annual Audit, if applicable
- G. IRS 990
- H. Anti-Terrorism Patriot Act Form

By reference, all provisions outlined in the Policies and Procedures Manual for United Way of Suwannee Valley Affiliated Agencies shall be construed to be part of this agreement.

President - Agency

President - United Way

Signature, President - Agency

Signature, President - United Way

Date _____

Date _____

UNITED WAY OF SUWANNEE VALLEY, INC.
NOTIFICATION OF SUPPLEMENTAL FUNDRAISING

Agency Name _____

Type of Fund Raiser _____

Beginning Date _____ Ending Date _____

Projected Revenue \$ _____

Projected Expense \$ _____

Net Gain \$ _____

Was Revenue from this Fundraiser presented on agency budget as projected income?

Yes _____ No _____

If answer is no, specify the need for unbudgeted revenue.

Staff Commitment (number) _____

(hours) _____

Volunteer Commitment (number) _____

(hours) _____