



United Way
of Racine County

2011

Community Investment Policies & Procedures Manual

United Way of Racine County

2000 Domanik Drive, Racine, Wisconsin 53404

Phone: 262-898-2240

Fax: 262-898-2241

www.unitedwayracine.org

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SECTION I. UNITED WAY OF RACINE COUNTY

A. ORGANIZATION OVERVIEW

A1. Mission

United Way of Racine County improves lives and creates lasting community change in partnership with local organizations.

United Way of Racine County will work to achieve its mission in accordance with United Way Worldwide (UWW) Standards of Excellence that provide benchmarks for best practices in five areas of operation:

- **Community engagement and vision** - working with formal and informal leaders to develop a shared vision and goals for a community, including the identification of priority issues affecting the overall well being of its citizens.
- **Impact strategies, resources and results** - creating "impact strategies" that address the root causes and barriers of a community's priority issues; mobilizing essential assets such as people, knowledge, relationships, technology and money; effectively implementing impact strategies; and evaluating the effectiveness of impact strategies in fostering continuous improvement.
- **Relationship building and brand management** - developing, maintaining and growing relationships with individuals and organizations in order to attract and sustain essential assets.
- **Organizational leadership and governance** - garnering trust, legitimacy and support through leadership and overall management.
- **Operations** - providing efficient and cost-effective systems, policies and processes that enable the fulfillment of the mission, while ensuring the highest levels of transparency and accountability.

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A2. Code of Ethics

Leading by Example
UNITED WAY OF RACINE COUNTY CODE OF ETHICS
Approved by board of directors, September 2009

United Way of Racine County is committed to maintaining and modeling the highest ethical standards. Our organization's ability to achieve its mission and provide leadership and exemplary programming mandates behavior from its employees and volunteers that is above reproach and fully transparent.

The Code of Ethics is based on our mission and guided by our fundamental core values:

Effectiveness, Transparency, Compassion, and Inclusiveness:

- **Effectiveness.** United Way of Racine County believes in being effective in every aspect of the organization by measuring its operations in accordance with benchmarks and best operational practices. Effectiveness includes meaningful and measurable progress based on clearly stated objectives in fundraising, community investment, community leadership and organizational accountability.
- **Transparency.** United Way of Racine County honors and respects its contributors by ensuring the work and records of the organization are open to all who have a vested interest. While fully respecting the autonomy of other non-profit partners, it is incumbent upon United Way to assure accountability and transparency of fiscal stewardship and non-profit governance practices of its own business and those organizations and other partners where a funding relationship exists.
- **Compassion.** United Way of Racine County is built on our community's compassion and caring for family members, friends and neighbors who need support to be the best they can be. In all aspects of its operations, United Way's compassion is best measured through its commitment to honest and informed relationships with donors, volunteers, staff, partner providers and beneficiaries of services relative to outcomes that improve people's lives.
- **Inclusiveness.** United Way is open to any individual who may have something to offer in support of its mission. United Way believes that the diversity of the community should be

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reflected in the organization itself (staff and volunteers) and throughout the partnerships that make up the United Way community.

The success of the United Way system and our reputation depend upon the ethical conduct of everyone affiliated with our organization. Board members, volunteers, staff and representatives set an example for each other and for partner organizations, by their pursuit of excellence in high standards of performance, professionalism and ethical conduct.

We are mindful that these core values must be clearly articulated, communicated and continuously reinforced. In addition, more detailed policies, guidelines, explanations, definitions and examples are often needed to bring these values into actual practice. Much of what is outlined in this code relative to employees is reflected in detail in United Way's Personnel Policies and Procedures and in the Code of Conduct for United Way Professionals. While no document can anticipate all of the challenges that may arise, the Code of Ethics can communicate key guidelines and will assist United Way of Racine County Board members, staff, volunteers and representatives in making good decisions that are ethical and in accordance with applicable legal requirements.

PERSONAL AND PROFESSIONAL INTEGRITY

A personal commitment to integrity in all circumstances benefits each individual as well as the organization. We therefore:

- Strive to meet the highest standards of performance, quality, service and achievement in working to fulfill our mission.
- Communicate honestly and openly and avoid misrepresentation.
- Promote a working environment where honesty, open communication and minority opinions are valued.
- Exhibit respect and fairness toward all those with whom we come into contact.

ACCOUNTABILITY

United Way of Racine County is responsible to its donors, partner providers, system partners, and program participants in the community who have placed faith in our organization. To uphold this trust we:

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- Observe and comply with all laws and regulations affecting United Way of Racine County as a non-profit entity.
- Promote good stewardship of United Way of Racine County resources, including donations, grants and other contributions that are used to pay for community program services, fundraising expenses and operating expenses.
- Refrain from using organizational resources for non-United Way purposes.
- Practice transparency in all appropriate financial and programmatic reporting to all donors and the community at large.

SOLICITATIONS AND VOLUNTARY GIVING

The most responsive contributors are those who have the opportunity to become informed and involved. We therefore:

- Promote voluntary giving in dealing with donors, partner providers and vendors.
- Refrain from any use of coercion in fundraising activities.
- Promote educational and informative strategies that engage volunteers, donors and potential donors in encouraging giving.

INCLUSIVENESS AND EQUAL OPPORTUNITY

United Way of Racine County is an equal opportunity employer and is committed to the principle of diversity. We therefore:

- Value, champion and embrace diversity in all aspects of United Way of Racine County activities and respect others without regard to race, color religion, creed, age, gender, national origin or ancestry, marital status, veteran status, sexual orientation or status as a qualified disabled or handicapped individual.
- Support affirmative action and equal opportunity programs.
- Refuse to engage in or tolerate any form of discrimination or harassment.

CONFLICTS OF INTEREST

To avoid any conflict of interest or the appearance of a conflict of interest which could tarnish the reputation of United Way of Racine County or undermine the public's trust, United Way of Racine County Board members, staff, volunteers, and representatives should:

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- Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of United Way.
- Ensure that outside employment and other activities do not adversely affect the performance of their United Way of Racine County duties or the achievement of United Way of Racine County's mission.
- Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of United Way of Racine County and not for personal gain or interest.
- Decline any gift, gratuity or favor in the performance of United Way of Racine County duties (promotional or recognition items of nominal value excluded if value is less than \$25)
- Decline the offer of any food, transportation, lodging or entertainment unless directly related to United Way business.
- Refrain from influencing the selection of staff, consultants or vendors who are relatives or personal friends or others affiliated with or employed by such a person where such influence could create an actual or appearance of impropriety.
- Not use confidential information for personal gain for any person.

UNITED WAY OF RACINE COUNTY VOLUNTEERS...

- Should not knowingly take any action or make any statement intended to influence the conduct of United Way of Racine County in such a way as to confer any financial benefit on themselves, their immediate family members or any organization in which they or their immediate family members have a significant interest as stakeholders, directors or officers. On occasion, a statement or proposal for action in the best interests of United Way may be a response to a need identified in normal daily operations through the volunteer and professional network that is integral to the mission that could result in some business being conducted with those who also volunteer for the organization. Any such business shall be fully transparent and approved by executive committee for any transactions exceeding \$1,000 annually.
- Should disclose all known conflicts or potential conflicts of interest in any matter to the President, Board Chair or Committee Chair who respectively will address the possible conflict with the appropriate committee or Board. Upon the request of the Board Chair or

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committee chair, member who has possible conflict will withdraw from the meeting room during any discussion, review and voting in connection with such matter.

CONFIDENTIALITY AND PRIVACY

Confidentiality is a hallmark of professionalism. Therefore, we should:

- Ensure that information about the relationship or treatment of United Way agencies, about pledges or contributions of companies or individuals, and about volunteers is treated as confidential information.
- Ensure that any information which is confidential, privileged or nonpublic is not disclosed inappropriately.
- Select the privacy rights of all staff and volunteers in the performance of their United Way of Racine County duties.

POLITICAL CONTRIBUTIONS

United Way of Racine County encourages individual participation in civic affairs. However, as a charitable organization, United Way of Racine County may not make contributions to any candidate for public office or political committee and may not intervene in any political campaign on behalf of or in opposition to any candidate for public office. We therefore:

- Refrain from making any contributions to any candidate for public office or political committee on behalf of United Way of Racine County.
- Refrain from making any contributions to any candidate for public office or political committee in a manner that may create the appearance that the contribution is on behalf of United Way of Racine County.
- Refrain from using any United Way of Racine County organizational financial resources, facilities or personnel to endorse or oppose a candidate for public office.
- Clearly communicate that we are not acting on behalf of the United Way of Racine County organization if we are identified as an official of United Way of Racine County while engaging in political activities.
- Refrain from engaging in political activities in a manner that may create the appearance that such activity is by or on behalf of United Way of Racine County.

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GUIDANCE AND DISCLOSURE

Board members, staff, volunteers and representatives are encouraged to seek guidance from the President, Board Chair, Treasurer, Vice-Chair Personnel and/or Executive Committee concerning the interpretation or application of this Code of Ethics. Any known or possible breaches of the Code of Ethics should be disclosed.

Reports of possible breaches will be handled in the following manner:

- All reports of possible breaches will be treated in confidence to the extent that the organization's duty to investigate and the law will allow. If confidentiality cannot be maintained, the individual disclosing the possible breach will be notified.
- All reported breaches will be investigated and, if needed, appropriate action taken based upon the policies of the organization.
- Retaliation against a person who suspects, and in good faith, reports a breach will itself be treated as a separate breach of the Code.
- United Way of Racine County affirms prompt and fair resolution of all reported breaches.

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B. PERSONNEL

B1. 2010-11 United Way of Racine County Board of Directors

Chair: Francisco Sanchez, JPMorgan Chase Bank
Treasurer/Vice-Chair Finance: Thomas Burke, Modine Manufacturing
Vice-Chair – Community Investment: Paul Rohling, Community Volunteer
Vice-Chair– Labor Advisory: Jeff Van Koningsveld, IBEW Local 430
Vice-Chair –Personnel: Denise Wilcox, Twin Disc
Vice-Chair-at-Large & First Vice-Chair: Robert O’Brien, Extendicare Health Services, Inc.
Vice-Chair-at-Large: Kevin W. McCabe, M.D., SC Johnson
Vice-Chair-at-Large: Alicia Tanguma, Community Volunteer
Vice-Chair-at-Large: Scott Terry, Fuel Media Group LLC
Immediate Past Chair: Greg Anderegg, SC Johnson
2010 Campaign Chair: John Erskine, Racine Federated

Andrew (Drew) Abram, InSinkErator
Milous Adams, Community Volunteer
Tom Berger, AFSCME Council 40
Susan Boland, Wheaton Franciscan Healthcare- All Saints
Maria Campbell, SC Johnson
Bruce Duerr, Great Northern Corporation
Jennifer Eastman, Merchants Moving and Storage
Ethel Gates, Community Volunteer
Mark Geisler, North America Value Chain
Mike Goebel, Community Volunteer
Carmen Castro, UMOS
Daniel E. Horton, S. C. Johnson
Keontay Jackson, US Bank
Ray Koukari, Jr., Gateway Technical College
Cristie Leto, Racine Federated
Jeff McKeown, Express Employment Professionals
Steve McLaughlin, University of Wisconsin-Parkside
Guadalupe (Wally) Rendon, Educators Credit Union
Debra Rudan, Lee Hecht Harrison
James Shaw, Racine Unified School District
John Siegert, Design Partners
Chris Terry, Carpetland USA Flooring Center,
Dave Titus, M & I Bank
Jim Walker, Case IH Agricultural Business, N.A.
Leslie Winger, Aurora Health Care

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B2. United Way Staff

Dave Maurer, President and Chief Professional Officer
262-898-224

davemaurer@unitedwayracine.org

Marisol Beauford, Communications Specialist
262-898-2253

mbeauford@unitedwayracine.org

Michelle Brown, Campaign Administrator
262-898-2242

mbrown@unitedwayracine.org

Colleen Benkendorf Western Racine County Associate
262-492-7115

cbenkendorf@unitedwayracine.org

Alicia Gollaz, AFA Family Coach
262-456-4701

agollaz@afaracine.org

Susan Gould, Vice President - Community Impact
262-898-2243

sgould@unitedwayracine.org

Marie Hargrove, Community Initiatives Administrator
262-898-2244

mhargrove@unitedwayracine.org

Jill Hartmann, Executive Assistant
262-898-2245

jhartmann@unitedwayracine.org

Barb Jopke, Vice President - Finance and Administration
262-898-2246

bjopke@unitedwayracine.org

MaryBeth Kallio, Community Investment Administrator
262-898-2247

mkallio@unitedwayracine.org

Star Marquez, AFA Family Coach
262-456-4701

smarquez@afaracine.org

Joan Meyerhofer, Western Racine County Associate
262-902-4430

jmeyerhofer@unitedwayracine.org

Kimberly Payne, AFA Project Facilitator
262-898-2250

kpayne@unitedwayracine.org

Michael Pilger, VP-Marketing and Resource Development
262-898-2249

mpilger@unitedwayracine.org

Jessica Safransky, Youth As Resources Coordinator
262-898-2251

jsafransky@unitedwayracine.org



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Tamekia Shaw, AFA Family Coach
262-456-4701

tshaw@afaracine.org

Ashley Staeck, Research and Evaluation Specialist
262-898-2254

astaeck@unitedwayracine.org

Ron Thomas, AFL-CIO Labor Liaison/Community Services Director
262-898-2252

ronthomas@unitedwayracine.org

Racine Office	2000 Domanik Drive	53404	262-898-2240 FAX 262-898-2241
Burlington Office	615 N. Pine, Suite 101	53105	262-902-4430
AFA Office	1220 Villa Street	53403	262 456-4701

SECTION II. COMMUNITY INVESTMENT

A. COMMUNITY INVESTMENT OVERVIEW

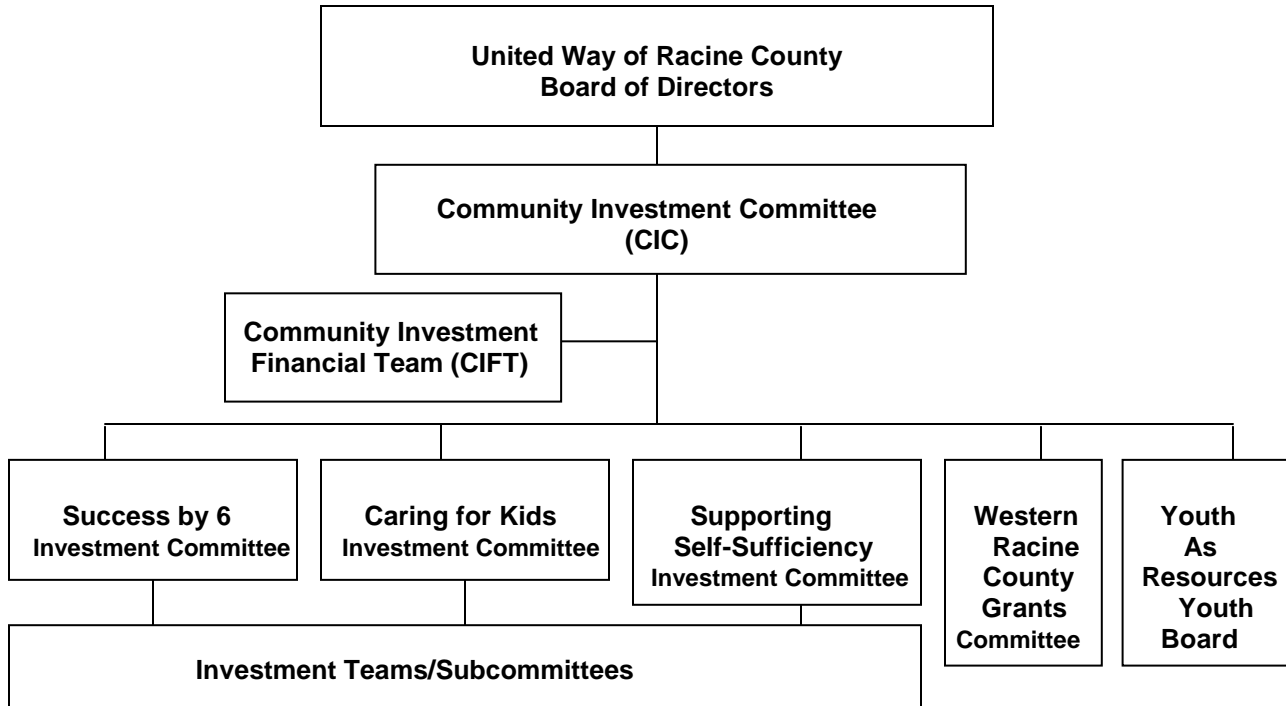
United Way of Racine County improves lives by funding programs that provide services to Racine County residents and by initiating and supporting special programs that inform and educate. On an annual basis, United Way of Racine County provides funding to programs that work to achieve specific participant or client outcomes within United Way's investment areas: Success by 6, Caring for Kids and Supporting Self-Sufficiency.

United Way also invests in special projects and provides assistance through funds allocated by the Community Investment Committee. These investments include improved technology and information throughout the community investment process and among partner providers; continuous learning and support for the effective measurement of outcomes; training and development for community investment volunteers, staff, partner providers and the human service community that supports United Way of Racine County's core strategies; and grants to partner providers for emergency capital needs.

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A1. Committee Structure

Community Investment Organizational Chart



The **Community Investment Committee** is co-chaired by the Board VP of Community Investment and an appointed co-chair; CIC membership includes investment committee co-chairs, United Way board members, and other community volunteers as appointed.

The **Community Investment Financial Team (CIFT)** helps oversee the fiscal accountability of United Way partner providers by reviewing their budgets, financial reports and audits.

Investment committees have co-chairs who work in partnership with the Vice President - Community Impact and Administrator of Community Investment; membership includes one or two financial advisors from CIFT, at least one additional United Way staff member, and numerous community volunteers. Key investment committees are **Success by 6, Caring for Kids and Supporting Self-Sufficiency**.

Investment Teams are formed based on the number of programs being reviewed within a particular committee and involve at least three investment committee members and a United Way staff member.

The **Western Racine County Grants Committee** funds a limited number of programs and encourages the delivery of needed social services to residents west of I94 in Racine County.

Youth As Resources is an investment committee comprised mostly of school-age youth who determine grants awarded to youth-designed, youth-led community service projects.

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A2. Job Descriptions

i. Community Investment Committee (CIC)

Purpose of Committee:

To provide leadership and oversee the community investment process for programs and projects receiving United Way of Racine County funding. Individual CIC members may also be serving as chair/co-chair for other United Way committees.

Reports to:

United Way of Racine County Board of Directors

Staffed by:

Vice President - Community Impact; Community Investment Administrator

Committee Member Responsibilities:

1. Attend Community Investment Committee meetings.
2. Review applications and requests for Effective Connections and Wadewitz Fund dollars.
3. Review funding recommendations from investment committees and ensure responsible stewardship and accountability for funds allocated by United Way.
4. Assist in addressing any investment committee concerns regarding partner providers, specifically when programs are not adhering to the community investment policies and procedures.
5. Review eligibility applications from organizations for consideration as a United Way partner provider and access to the annual application process.
6. Determine appropriate investment area/committee for placement of new or current programs.
7. Assist Financial Advisors as needed.
8. Assist United Way of Racine County in the identification of community impact initiatives.
9. Assist United Way with the on-going improvement of its community investment process.
10. Serve as an ambassador for United Way of Racine County.

Community Investment Committee Chair (Board VP Community Investment)

In addition to the above responsibilities:

- Be a liaison between the Community Investment Financial Team and CIC.
- Attend community investment committee meetings when possible or appropriate.
- Co-sign monthly program allocation checks as requested by United Way finance director.
- Report on community investment decisions, recommendations and updates to United Way of Racine County's Executive Committee and Board of Directors.

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A2. Job Descriptions

ii. Community Investment Financial Team (CIFT)

Purpose of Committee:	To oversee the fiscal accountability of partner providers receiving United Way of Racine County funding.
Reports to:	Community Investment Committee
Staffed by:	Vice President - Community Impact; Community Investment Administrator

CIFT Member Responsibilities:

1. Attend Community Investment Financial Team (CIFT) meetings.
2. Review budget, financial reports and audits of partner providers.
3. Ensure responsible stewardship and accountability for funds allocated by United Way.
4. Assist Financial Advisors as needed.
5. Oversee United Way investigations into partner provider financial conditions as determined by CIC and the United Way board.

Community Investment Financial Team Chair (appointed by United Way Board Chair)

In addition to the above responsibilities:

- Be a liaison between the CIFT and the Community Investment Committee.
- Attend Community Investment Committee meetings.
- Report to appropriate United Way of Racine County committees as needed.

Financial Advisors to Investment Committees (recruited by CIFT)

In addition to the above responsibilities of CIFT committee members:

- Assist investment committee members in understanding the proposed budget information in applications and partner provider fiscal conditions.
- Attend investment committee meetings as often as possible, particularly the initial review and final decision meetings.

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A2. Job Descriptions

iii. Investment Committees

Purpose of Committee:	To make sound funding decisions based on the United Way of Racine County community investment process and in line with United Way's mission and priorities.
Reports to:	Community Investment Committee
Staffed by:	Community Investment Administrator
Service Term:	At least two years, but no more than four consecutive years on the same investment committee; a committee member may go on to serve as co-chair for another two years.

Committee Member Responsibilities:

1. Attend committee and team meetings; participate in assignments as part of a site visit team that includes going on site visits, completing evaluations and sharing information with team.
2. Review applications, program reports and financial reports from partner providers to ensure responsible stewardship and accountability for funds allocated by United Way.
3. Be knowledgeable about the programs being reviewed (with information gained through partner provider applications and site visits), as well as the community conditions that affect the work of the partner providers.
4. Make recommendations to the Community Investment Committee regarding specific allocations of the investment committee's funding pool.
5. Assist in the on-going improvement of United Way's community investment process.

Investment Committee Co-Chairs (appointed by United Way Board Chair)

In addition to the above responsibilities:

- Provide volunteer leadership in the Community Investment process through facilitation of committee meetings.
- Assist in training the committee members to understand United Way's outcomes review and decision-making processes, along with the specific interests of the investment area.
- Assist in the recruitment of committee volunteers.
- Serve as a member of the Community Investment Committee when possible and share leadership of an investment committee for at least two years, but no more than four consecutive years on the same investment committee. (A veteran co-chair should be in place for another year when a new co-chair is appointed.)

Investment Team Leaders (invited to this role by investment committee co-chairs)

- Coordinate team in setting site visit dates.
- Collect questions from team and full committee to be sent on to partner providers.
- Get consensus from team members on scores and funding recommendations.
- Complete online score sheet for specific partner provider programs reviewed by that team.

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A2. Job Descriptions

iv. Western Racine County Grants Committee

Purpose of Committee:

To support the work of United Way of Racine County by investing in programs that assist people who live in western Racine County and by encouraging the development and delivery of new or expanded social services to the residents west of I-94.

Reports to:

Community Investment Committee

Staffed by:

Vice President - Community Impact; Community Investment Administrator

WRC Grants Committee Member Responsibilities:

1. Attend regularly scheduled meetings.
2. Review requests for funding of programs and projects specific to western Racine County, along with the subsequent program and financial reports submitted.
3. Recommend funding levels to CIC and the United Way board.
4. Serve as a county-wide ambassador for United Way of Racine County

WRC Grants Committee Chair (appointed by United Way Board Chair)

In addition to the above responsibilities:

- Provide volunteer leadership in the community investment process through facilitation of committee meetings.
- Assist in the recruitment of committee volunteers.
- Serve as a member of the Community Investment Committee attending monthly meetings as much as possible.

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A2. Job Descriptions

v. Youth As Resources (YAR) Youth Board

Purpose of Committee:

Youth As Resources (YAR) funds youth-designed, youth-led community service projects in Racine County. Youth determine the project to solve a need in their community such as a neighborhood clean-up campaign, educational programs for children or teens, or meals for the needy or elderly. Youth groups may apply to YAR for small grants of up to \$1000, although larger grants may be awarded depending upon the impact the service project could have in the community. Grant money may be used to purchase needed supplies for the project, but may not be used to pay for volunteer time.

Reports to: Community Investment Committee

Staffed by: YAR Coordinator; Community Investment Administrator

YAR Board Member Responsibilities:

1. Attend and actively participate in regularly scheduled YAR meetings, along with assigned monthly subcommittee meetings.
2. Set policies for project grants and determining criteria for selection of awards.
3. Screen project grant applications and recommend funding levels.
4. Oversee and monitor funded projects through site visits and written reports.
5. Participate in recognition events for grant project participants.
6. Develop additional strategies for promoting youth participation in service and philanthropy.

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A3. Volunteer Commitment

United Way of Racine County is a volunteer-driven organization in all of its functions: board membership, committee structure, annual fund raising campaign and investment of donor funds in areas of priority in Racine County. The engagement of volunteers in the community investment process is a key factor in the philosophy that governs United Way. Decision-making committees are comprised of knowledgeable individuals who participate in an outcomes-based review process that ensures the most important community needs will be addressed.

The responsibilities entrusted to the individual members of these committees are great, and the decisions they make are of significant importance to our community. In addition to completing committee work as assigned (application review, site visits, etc.) teamwork and communication among all members are key ingredients to sound decisions.

Confidentiality

United Way of Racine County staff and volunteers will maintain confidentiality of partner provider financial and personnel information. Financial information is distributed to the Community Investment Financial Team and the investment committee volunteers reviewing the funding requests. Any board member of United Way of Racine County may review these materials in the office at any time. United Way of Racine County will also share the financial information with members of appropriate standing or special ad hoc committee(s) that are established or with other funding partners as deemed appropriate to program impact and sustainability.

United Way will maintain on file (through Community Investment Web Site or hard copy as appropriate) a record of community investment volunteers Commitment/Confidentiality Statements. If any partner provider representative or Community Investment committee member learns of any breach of confidentiality by a United Way of Racine County volunteer or staff member, he or she immediately should report the alleged breach in detail in writing to the United Way Vice Chair - Community Investment or Community Investment Administrator of United Way for investigation and appropriate action.

Commitment Verification for Volunteers

The following checklist is included in the Volunteer Community Investment Website as part of the annual or first-time log-in process and recorded within the Volunteer Profile within the website. For some United Way committees, hard copies of signed verifications will be kept on file.

Responsibility

I know that being a volunteer for United Way of Racine County Community Investment requires a specific commitment of my time. I agree to make a serious effort to attend all of the Community Investment meetings and if needed, complete assignments related to application review and site visits. If I cannot fulfill these requirements, I will notify either of the Chair of the Community Investment Committee or United Way's Vice President - Community Impact.

Confidentiality

I understand the sensitive nature of the information revealed during the Community Investment process; therefore, I will keep all matters discussed in the course of deliberations in the strictest confidence. If I learn of any breach of confidentiality by a United Way of Racine County volunteer or staff member, I will report the alleged breach in detail in writing to the United Way Vice Chair Community Investment or Community Investment Administrator of United Way for investigation and appropriate action.

___ I agree to the above requirements during my tenure as a United Way of Racine County Community Investment volunteer.

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A4. Conflicts of Interest by Community Investment Volunteers

United Way of Racine County is a not-for-profit, charitable corporation whose purpose is to promote voluntarism and unite the community in programs of fundraising, planning and evaluation and the distribution of funds to meet current and emerging human service needs. Under applicable Wisconsin laws and its own Articles of Incorporation and Bylaws, ultimate authority and responsibility for managing the affairs of United Way of Racine County resides with its board of directors. Substantial authority is also exercised by the volunteers on various United Way committees.

All such positions on the board of directors, executive committee and other committees are filled by volunteers who live or work in Racine County, selected from the community, in part based on skills they possess, experience in the health and human service community and demonstrated interest in helping others through voluntary effort. In view of these qualities shared by all members of the board of directors and its committees, it must be expected that these members may on occasion find themselves in a situation where their outside interests or associations with other organizations might conflict with their fiduciary duty to United Way.

Policies

- 1) No member of the board of directors, its appointed committees, or Campaign Cabinet shall knowingly take any action or make any statement intended to influence the conduct of United Way of Racine County in such a way as to confer any direct financial benefit on such member or on any firm, corporation, organization or agency in which he/she has a significant interest as partner, holder, officer, employee, director or advisory board member.
 - a. Each member shall disclose any possible conflict of interest between governing bodies or committees of United Way of Racine County and any participating agencies to the board of directors and make it a matter of record through an annual procedure. Each member shall disclose, at the meeting of the board of directors or committee, when possible conflict of interest exists in agenda discussion items relative to the policy.

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- b. Each member who has a conflict of interest shall disclose the conflict of interest at the meeting, and shall not vote or participate in any discussion except to answer pertinent questions within the scope of his/her knowledge of the matter under discussion. In some sensitive matters, the member may choose to excuse him/herself from the meeting, or may be excused by the committee chair/co-chairs. The minutes of the meeting shall reflect that a disclosure was made and the abstention from voting or that the member had left the meeting.
 - c. The member may answer pertinent questions of other members since his/her knowledge may be of assistance.
 - d. Action taken by any such body in connection with which the above procedure was not applied shall not be void as a result if the transaction meets the standards set forth in Section 181.225 or 181.0831 of Wisconsin Statutes.
- 2) The United Way of Racine County Board Chair shall be responsible for appointing volunteers to functions and committees with due consideration of avoiding potential conflicts of interest and for making the determinations of appropriate volunteer involvement as a result of the potential conflict consistent with these policies. Because some issues may be unusually sensitive or adversarial, the appropriate action by the president, the board of directors, or the chair of a committee may include the exclusion of a volunteer from a meeting or portion of a meeting dealing with such an issue.
- 3) No staff member of any partner provider shall serve as a member of any United Way of Racine County community investment committee that is responsible for fund distribution to that partner provider. The Community Investment Committee and United Way board may make exceptions on a case by case basis for staff members of organizations serving as fiscal agents for providers.
- 4) Any new United Way of Racine County board or committee member will be advised of this policy prior to accepting the duties of his/her position.

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Conflict of Interest Verification by Volunteers

The following checklist is included in the Volunteer Community Investment Website as part of the annual or first-time log-in process and recorded within the Volunteer Profile within the website. Volunteers are asked to disclose potential conflicts at the committee meeting session during which funding decisions are made.

*I have read and understand the Conflict of Interest Policy of the United Way of Racine County. The statements below represent my current status or relationship with United Way partner providers. **If my status should change** during my tenure, I will notify the United Way Vice Chair - Community Investment or Community Investment Administrator of United Way for investigation and appropriate action immediately.*

- *Are you, your spouse or any member of your immediate family **currently a staff member of a United Way of Racine County partner provider organization** being reviewed by the decision-making committee on which you volunteer?*

Yes ___ No ___

- *Are you, your spouse or any member of your immediate family currently a **board member or volunteer in a position of influence** of a United Way of Racine County partner provider **that you are reviewing** in any fashion through your **committee volunteer role** at United Way?*

Yes ___ No ___

- *Do you, your spouse or any member of your immediate family **currently serve as a board member or volunteer in a position of influence** or as an **employee** of any United Way of Racine County partner provider?**

Yes ___ No ___

By checking “no” to all three questions, the volunteer will automatically be allowed access to the Volunteer Community Investment Website. By checking “yes” to any of the questions, the volunteer will be linked to another page that allows the volunteer to list the specific partner provider organization(s). United Way staff will review the responses and determine whether access to the website is granted immediately or needs further review by the Community Investment Committee.

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A5. Role of United Way of Racine County Staff

Although United Way of Racine County's decisions regarding the community investment process, including allocations, are made and/or approved by the volunteers who serve on the investment committees, the Community Investment Committee (CIC) and the Board of Directors, the staff of United Way play a crucial role in this process. The United Way Board Chair, President & CPO, and VP- Community Investment are invited to attend and participate in all aspects of the process as non-voting, ex-officio members.

The United Way Vice President - Community Impact and the President & CPO share professional leadership responsibilities for the investment process: suggesting areas for research and/or research strategies to assist in the development of investment priorities; participating in committee meetings in order to provide critical information about partner providers, community needs and relevant community resources; and providing committees with historic information about partner provider programs and fulfilling the role of maintaining “institutional knowledge” as it relates to programs and providers

Community Investment Administrator

The Community Investment Administrator plays a key role in the management of the investment committees (through volunteer management and meeting planning) and takes meeting notes for our permanent records. The Community Investment Administrator guides and supports the work of the investment committees, CIC and CIFT (Community Investment Financial Team) by:

- coordinating the activities of these committees;
- providing training and orientation for committee members;
- assisting in the recruitment of committee members;
- implementing and completing tasks requested by the committees;
- communicating with partner providers on behalf of the committees;
- reporting to the committees on the communications, correspondence and activities of the partner providers; and
- overseeing the preparation and maintenance of the documentation related to the community investment process (contracts, website forms, etc.).

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Other United Way Staff

United Way staff will serve on investment committees to enhance their knowledge of the investment process, which contributes to the performance of their primary duties. Although these staff members may not vote on allocations, they may fulfill all other roles and responsibilities that are assigned to investment committee members. In addition, staff members may be invited from time to time, by the Community Investment Administrator or the committee co-chairs, to join meetings to share information or perspectives that can help the committee in its decision-making.

Professional Contract Services

From time to time, United Way of Racine County hires additional staff or consultants on a contract basis for special projects. In some cases, a committee may contract with a consultant to conduct research under the direction of the Vice President - Community Impact and the committee.

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B. COMMUNITY INVESTMENT PRIORITIES

B1. Community Priorities

United Way advances the common good by focusing on the basic things that we all need for a good life: a quality **education**, **income** that can support a family through retirement, and good **health**. United Way of Racine County works to positively impact the community by helping children and youth achieve their potential through education, helping families become financially stable and independent, and improving people's health.

Community priorities identify the areas and outcomes that United Way of Racine County, in partnership with health and human service organizations in our community, seeks to address through the distribution of resources and creation of new community initiatives. These priorities have provided a focus for United Way of Racine County community investment volunteers as they review partner provider proposals and determine funding.

United Way of Racine County investment committees are organized around the following community investment areas:

Success by 6®

Ensure healthy development of children during their critical early years.

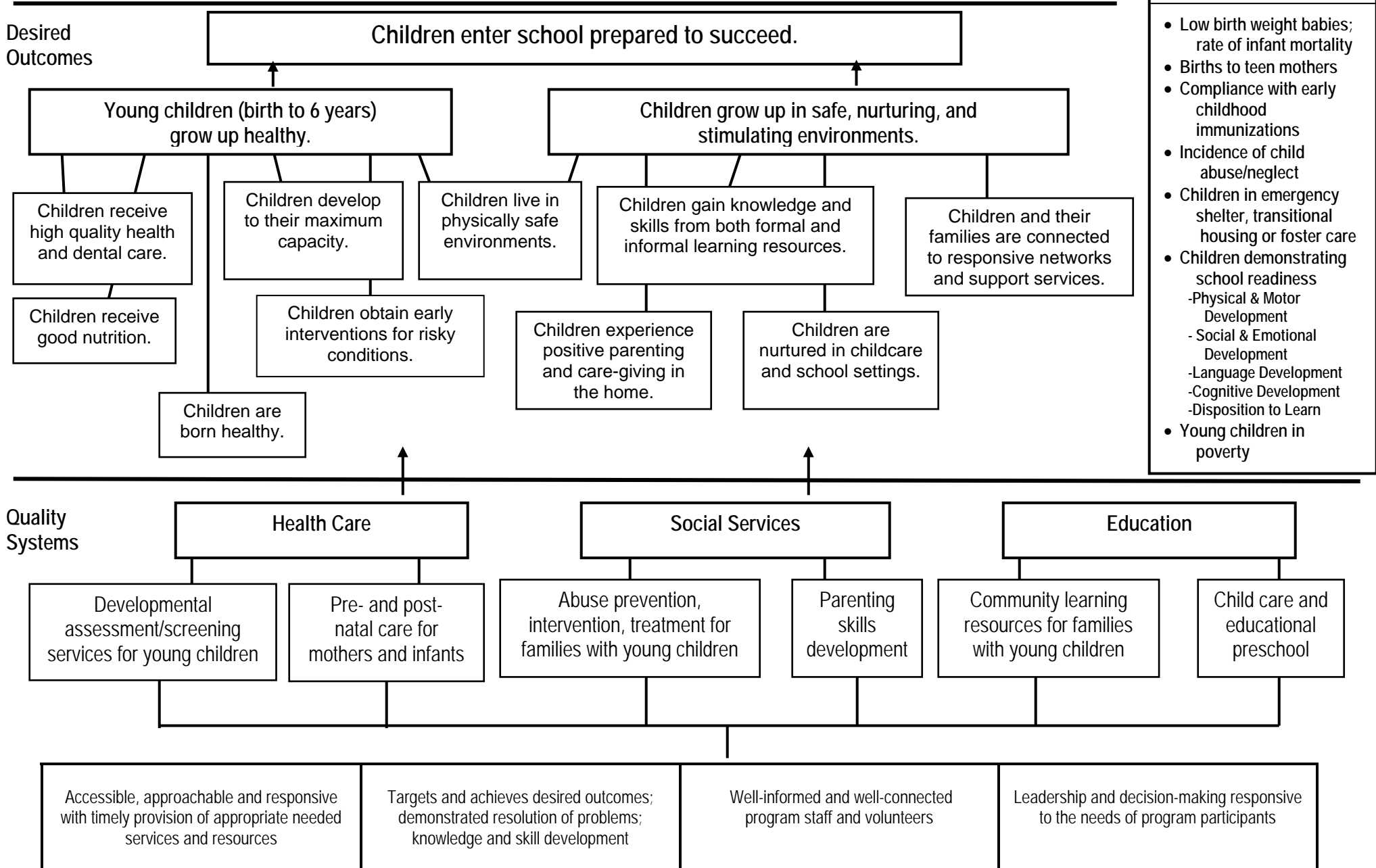
Caring for Kids

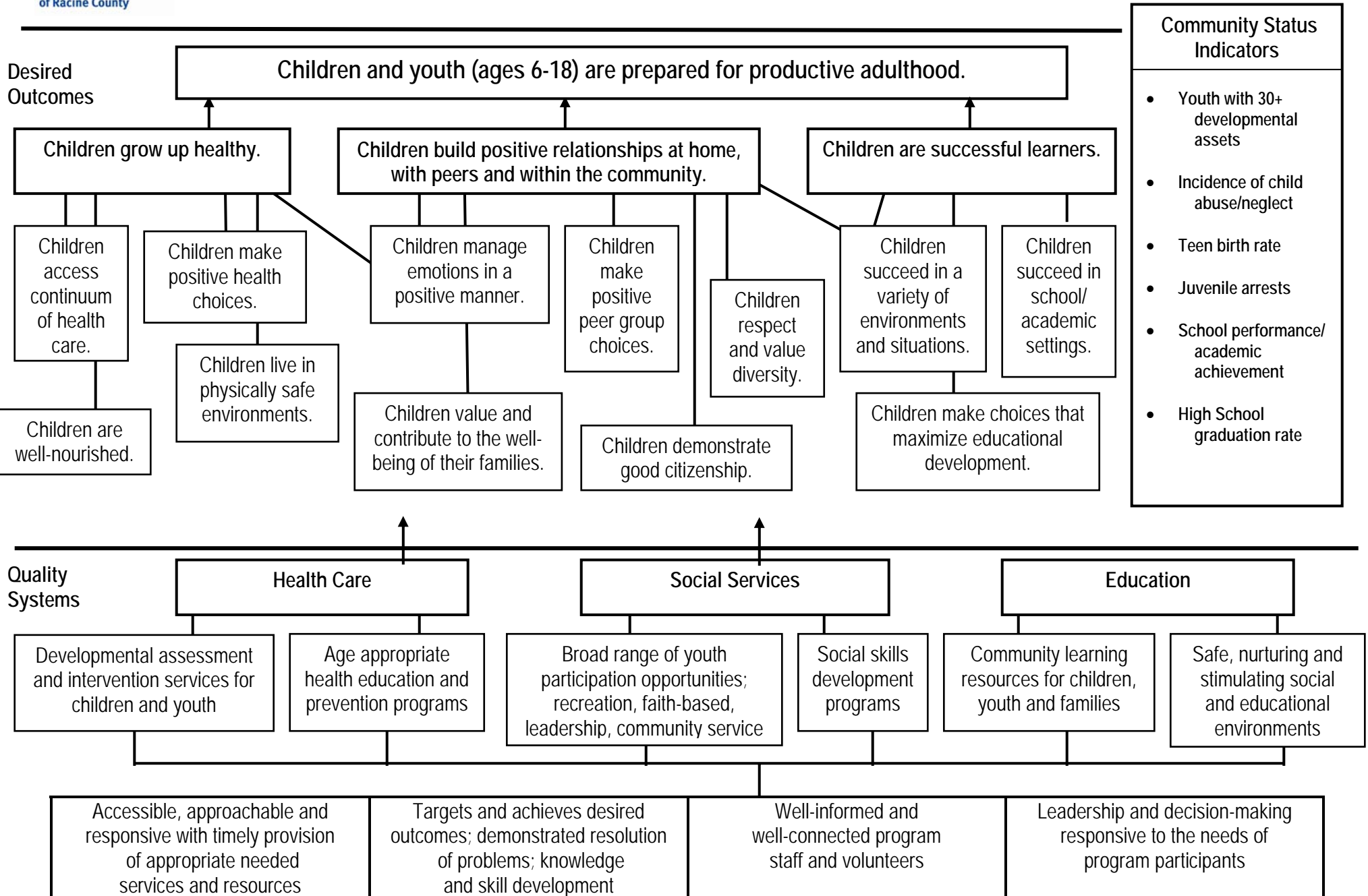
Prepare youth for productive adulthood.

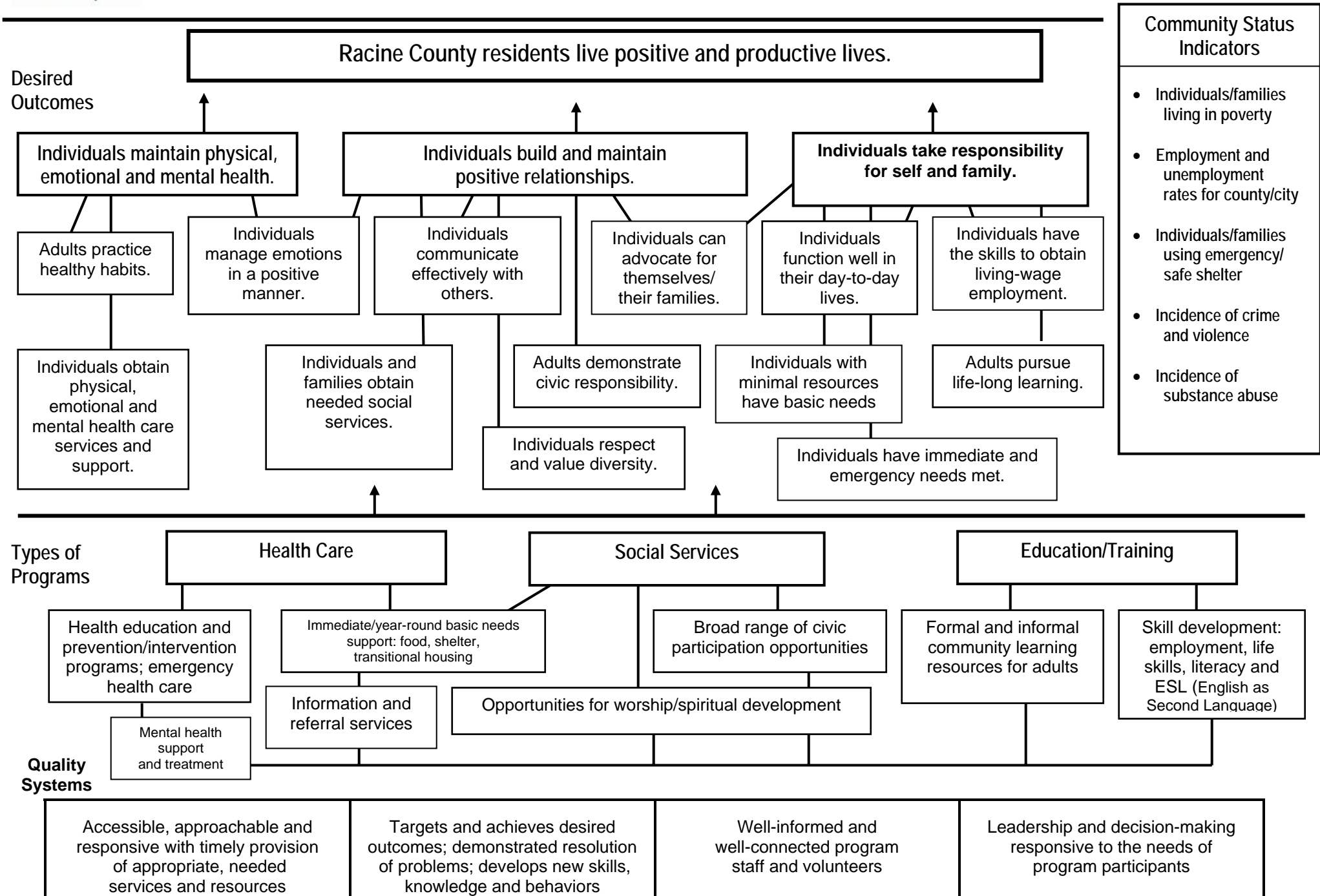
Supporting Self-Sufficiency

Helping individuals and families gain maximum independence.

United Way continues to focus on clearly defining the outcomes we seek to fund. Outcomes measurement helps the organizations and agencies define what they are trying to achieve, measure how well they have succeeded, and then communicate their goals and accomplishments to others. Through a process of community and provider input, along with research on other communities' effort across the country, Community Investment Logic Models were created to outline desired outcomes, including community indicators and service strategies. See *logic models* on the following pages.







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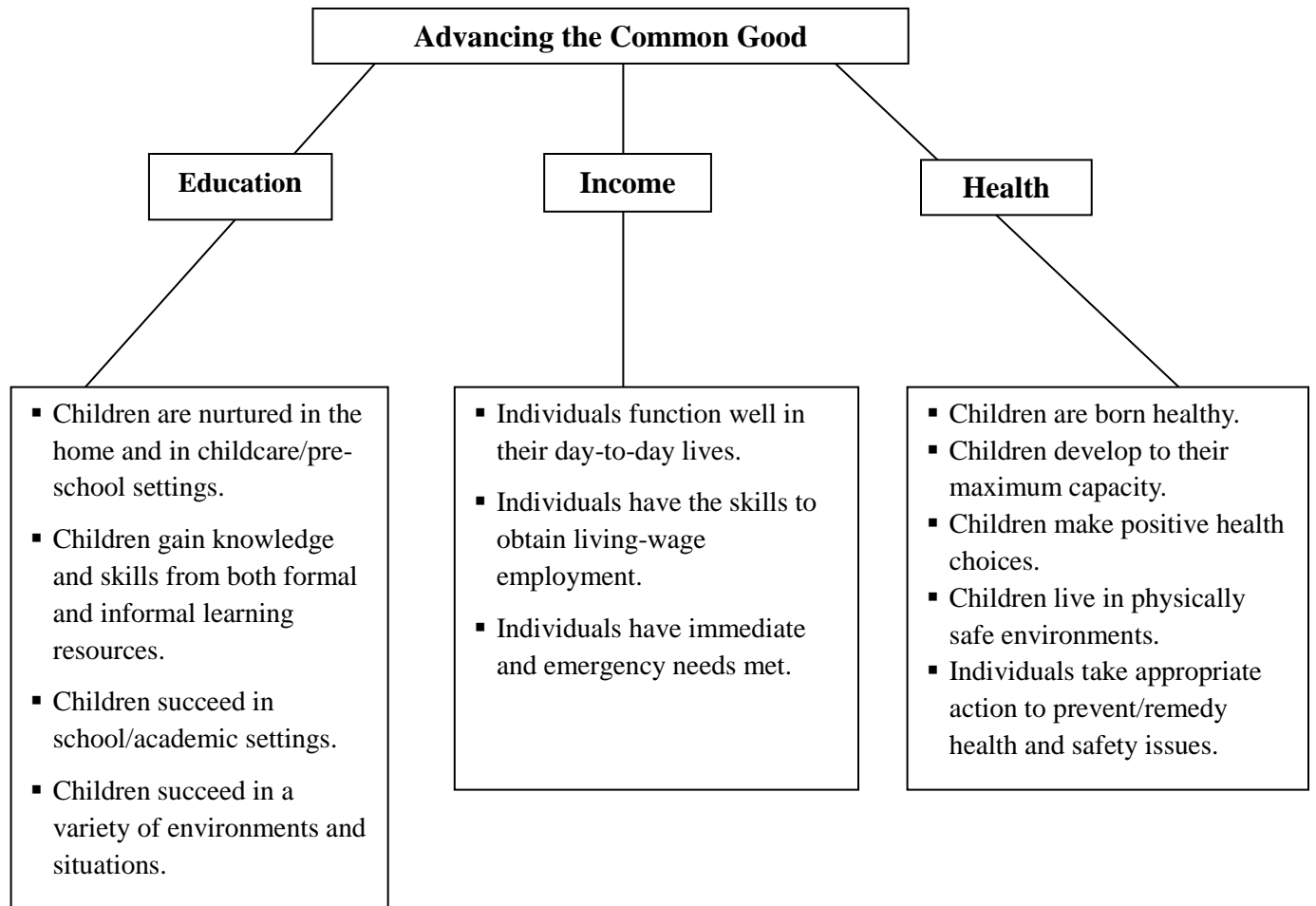
B2. 2011 Investment Outcomes

United Way of Racine County's community investment volunteers give consideration to funding health and human services programs that:

- Maximize efficiency of resources by involving volunteers, coordinating and partnering with other service providers, and using cost-saving measures as appropriate;
- Collaborate or partner with other programs for the efficient and effective provision of services;
- Demonstrate cultural diversity and sensitivity in hiring of staff, recruitment of volunteers and board members, helping to provide services within neighborhood or geographically accessible locations whenever feasible, including rural areas, and providing ways to address income barriers to service accessibility and
- Demonstrate a positive impact in the community that is documented through the current (or planned) measurement of outcome objectives for the following services –
 - **Success by 6** programs provide services that address the developmental, educational, recreational, emotional, crisis, safety, and social needs of children (from birth to age six) and their families and other persons who may perform the role of parenting.
 - **Caring for Kids** programs provide services that address the developmental, educational, recreational, emotional, crisis, safety, social and child care needs of school-age children and their families and other persons who may perform the role of parenting.
 - **Supporting Self-Sufficiency** programs provide services, resources and support necessary to confront the challenges of life events, transitions or stressful conditions. Programs may promote healthy interpersonal relationships, including family functioning, or assist people experiencing difficulties associated with emotional or mental health, domestic violence, substance abuse and physical or developmental disabilities. This investment area also funds programs that address the emergency and immediate needs of Racine County residents, as well as the needs of families and individuals lacking minimal basic resources including, shelter, food, clothing, personal/infant care items, limited medical-related items and health care, transitional housing, transportation and energy assistance.

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In completing the funding application section on outcomes measurement for the 2011-12 funding year, partner providers will select from the following list of **investment outcome statements**:



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C. INVESTMENT FUNDING PROCESS

The community investment process involves much more than merely allocating funds to partner providers. United Way of Racine County and its investment committee volunteers work hard throughout the year to make sure that partner providers are adhering to United Way guidelines, have the tools and training available to provide quality service to their clients, and network to discuss best practices and key outcomes relative to the services they provide.

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C1. Steps in the Annual Investment Process

a. Community Impact Review. Based on an annual outcomes report prepared by United Way of Racine County (which includes data on community-wide indicators as well as summaries of findings from partner provider outcomes update reports) volunteers/investment committee members, funders, United Way staff and partner providers discuss key outcomes/best practices, identify strengths/gaps in services and establish direction for investment decisions. From time to time, United Way will conduct special research projects to increase the knowledge base on a specific subject or issue.

b. Application Review. Committees review funding applications to obtain information about activities/services, budget, staffing, facilities, resources, target clients, desired outcomes, plan of evaluation and indicators of success relating to the investment area. Each investment committee is divided into Investment Teams which are responsible for conducting the in-depth evaluations of individual programs applying for United Way of Racine County funding. Each team member has a detailed evaluation worksheet (form C3v.) that allows scores to be entered for program value, outcomes achievement, organizational capacity and financial stability.

c. Financial Review. Committees review program and organizational budgets with guidance and input from the CIFT financial advisors and United Way staff. The Financial Stability (Section D.) of the Program Review Scoresheet will be completed by the Financial Advisors preferably in advance of the site visits. Applications are due March 1 with site visits taking place in March and April; financial scores will be completed by the end of March.

d. Site Visits. Much of the information used in scoring comes directly from the application. Some of the questions, however, require a closer look at a program that is best achieved through a site visit. Each Investment Team decides on what questions they still need answered. Team members may review program materials, evaluation materials or facilities. Financial questions, for the most part, are handled separately by the investment committee Financial Advisor.

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The site visit team is comprised of two or three members, plus a United Way staff member. Site visits are scheduled through your Partner Provider Community Investment Website and usually run 60 to 90 minutes. This meeting should include the lead program staff person, partner provider executive director and a board member, with the partner provider making a 10-minute presentation on the program, highlighting its unique contributions in addressing investment outcomes. The rest of the site visit should be left for questions from the Investment Team. The team may also request that additional information be sent to them after the site visit. United Way staff and board members attending a Partner Provider Program site visit are invited to participate in the discussions of both the scoring of that site visit and the recommended funding amount to be presented for approval by the committee members.

e. Investment Decisions. The Investment Teams complete their evaluations and bring their perspective to the full investment committee for funding discussions. The entire scoring process must be completed by the investment teams by April 30. Prior to that date, audits that may have been submitted by the partner providers will be reviewed to determine if any financial scores should be changed to reflect new information.

Investment committees make recommendations for funding based on the application review, the financial review, information obtained from the site visits, and investment dollars available. United Way staff will be available at the funding decision meetings to respond to any questions. Funding recommendations from investment committees are reviewed and approved by the Community Investment Committee. These recommendations are subsequently presented to the United Way board in May with final approval of the investments resting with the United Way of Racine County board of directors. Award letters and contracts are issued by the end of the month. Funding begins July 1.

f. Outcomes Review. Committee members receive and review written outcomes reports from each program at the end of the funding year. Information from these reports is incorporated in the annual community impact review discussions.

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C2. ANNUAL INVESTMENT CALENDAR (United Way Volunteers)

Committees and the Community Investment Committee meet monthly at regularly scheduled dates and times throughout the year except for July, August, and December, unless additional meetings are necessary. Site visits take place at times agreed upon by United Way staff, committee members and partner provider program staff.

January **Long-form application for the next funding year** is available to organizations through their own Partner Provider Community Investment Website. Programs currently receiving funding must be up-to-date with all compliance documents in order to access the application through their website.

Six-month Progress Reports for the current funding year are due January 15.

March **Deadline for submitting long-form (Investment Area) applications** – March 1
Required compliance documents must be up to date by March 1.

March/April **Site Visits** to partner providers by investment teams and/or committee members

April **Deadline for submitting short-form** (Effective Connections; Western Racine County) **applications** – April 1
Required compliance documents must be up to date by April 1

May **Funding decisions; contracts issued** (Note: YAR issues awards 3 times/year)

June **De-briefing with volunteers on the application process for current year;**
recommendations for next year's application and review process.

July **Disbursement of funds** begins for the fiscal year July 1 – June 30.
Partner providers must have all **compliance documents up-to-date** on a monthly basis throughout the funding period on their Partner Provider Community Investment website in order to receive funding.

Deadline for submitting revised program budgets – July 30
Any organization that receives an allocation that was less than the amount requested in the proposed program budget must submit a revised budget.

August **Annual outcomes reports from partner providers** for the previous funding year are due August 1.

**October/
November** **Additional site visits, if needed.**

November **New programs** (those organizations and programs seeking United Way funding for the first time) begin the pre-application process (see section C2.) for CIC approval.

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C3. INVESTMENT AREA APPLICATION PROCESS (United Way Partner Providers)

United Way of Racine County accepts and reviews applications for funding through the investment committees once each calendar year and funding is provided for the fiscal year July 1 – June 30. All applications must be submitted through the Community Investment Website. Organizations or programs new to the United Way of Racine County funding process must request permission to apply by contacting United Way at any time throughout the year. New programs will be given access to the *Partner Provider Request for New Funded Program* or *New Agency Request to enter UWRC Funding Process* form on the Community Investment Website.

Calendar

- November** **The deadline is November 15 for any organization to submit their completed eligibility form with required documents or any existing partner provider to request an additional program profile** be added in order for access to submit an application that is due on March 1 the following year. Approved organizations will be issued a password that allows access to United Way’s Partner Provider Community Investment Website and the application form. Partner providers will see the additional approved program added to their profile section.
- January** In January, United Way of Racine County will open the application for the upcoming year through the Partner Provider Community Investment Website and notify all partner providers and approved organizations.
- March 1** **Deadline for submitting applications.** Applications must be submitted online, by **11:59 p.m.** through the Partner Provider Community Investment Website. **Late applications will not be accepted.**
- Organizations/programs must have all of their up-to-date, required compliance documents uploaded to the Partner Provider Community Investment Website in order to submit their applications.
- May** Investment committees make their recommendations to the Community Investment Committee and United Way of Racine County Board for program funding based on careful review of the applications, site visit discussions and committee level discussions. An evaluation worksheet provides the basis for funding discussions.

See following pages for these forms:

- i. Sample Application Form
- ii. Budget Account Explanations
- iii. Funding Evaluation/Score Sheet

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Form C3i.

SAMPLE FUNDING APPLICATION (version 2011)

The following represents a sample application completed for a test agency to give a view of how the web-based application appears on screen. Organizations must have received permission to access the Community Investment Partner Provider Website. Each investment area application has set of outcomes and, in some cases, indicators to choose from based on United Way interests and initiatives. See pages 29-30 for lists of 2011 investment outcomes.

2011-12 FUNDING

SECTION 1: PROGRAM OVERVIEW

Program Name:

Program Person Contact Name:

Program Person Contact Phone Number:

Program Person Contact Email Address:

Mission of organization:

Summary/purpose statement of this program:

Fiscal Agent (if applicable):

Total Program Cost (\$) for 2011-12:

Total Request from United Way (\$):

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SECTION 2: PROGRAM IMPACT

Your 2011-12 application must be submitted online no later than Monday, March 1, 2011. Late or incomplete applications will not be considered for funding.

A. Describe your program's value to the community. What makes your program unique?

B. What changes, if any, from last year to this year will you be making in your program or services and why?

C. Describe networking or coordination between your program and other organizations.

D. Describe your efforts to make your program accessible to your intended participants or potential clients needing your services. (i.e. hours of operation, bilingual support, transportation, outreach to western Racine County, etc.)

E. Describe key achievements of your program participants and how you record those successes.

F. If you are asking for a funding increase above last year's level, please explain why the increase is requested or needed.

G. Is there anything else we should know about your program?

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SECTION 3: OUTCOME MEASUREMENT

Program Activities

Example of program activities

Success by 6 Investment Outcomes

Outcome Statement: Example of outcome

Indicator: Example Indicator

MEASUREMENTS

	2009-10 Past Year Actuals	2010-11 Current Proposed	2011-12 Next Year Proposed
Total number of clients served	0	0	10
Total number of clients evaluated	0	0	9
Number of clients achieving outcome	0	0	9
Percent of clients achieving outcome	0	0	100

INDICATOR NARRATIVE

Please describe how you collect data for this indicator including measurement tools used.

Example indicator narrative statement.

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Section 4: CLIENT DEMOGRAPHICS Program demographics should represent unduplicated clients served in the 12-month period of July 1, 2009 to June 30, 2010. Data in each section must add up to your total served.

Location Total number of unduplicated clients served by geographic area of residence:

	Actual	% of Total
East of I 94		
West of I 94		
Total	0	

Age Client numbers by the following age categories:

	Actual	% of Total
0-6		
7-12		
13-18		
19-54		
55-74		
75+		
Unknown		
Total	0	

Ethnicity *Racial/ethnic background of clients served:*

	Actual	% of Total
African American		
White		
Hispanic or Latino		
Asian		
Multi-Racial		
Unknown		
Total	0	

Gender *Clients by gender:*

	Actual	% of Total
Male		
Female		
Gender not reported		
Total	0	

Income *Number of clients that fall into each of these categories: You will describe how you are determining low income status in Section 5: CLIENT CHARACTERISTICS NARRATIVE.)*

	Actual	% of Total
Number of low-income clients		
Number of clients not low-income		
Unknown		
Total	0	

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Section 5: CLIENT CHARACTERISTICS NARRATIVE

Please respond to the following items as they apply to the information you provided in Section 4: CLIENT DEMOGRAPHICS.

Client Characteristics Narrative

A: Target population (brief phrase or statement:

B: Source of your demographic data:

Explanations or comments regarding Section 4. Client Demographics

- 1. How is a client defined? (i.e. walk-ins, program attendees, Information & Referrals, etc.)**
- 2. How are you defining "low-income" clients?**
- 3. If 10% or more of your clients are listed as "unknown" in any category, please explain.**

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Section 6: BUDGET SUMMARY (July 1, 2011 - June 30, 2012)

For the Government, Salaries and Other categories list specific amounts (anticipated or known sources) by clicking on the link and entering the line item descriptions and amounts.

REVENUE

Account Code	2009-10 Actual	2010-11 Application	2011-12 Proposed	2011-12 Revised
4000: Contributions				
4200: Special Events				
4600: Associated Organizations				
4700: Other United Ways				
5000: Government				
6000: Memberships				
6200: Program Service Fees				
6300: Sales				
6500: Investment Income				
6800: Building/Land Rental				
6900: Other Income				
United Way of Racine County				
Total	0.00	0.00	0.00	0.00

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EXPENSES

Account Code	2009-10 Actual	2010-11 Application	2011-12 Proposed	2011-12 Revised
7000: Salaries				
7100: Employee Benefits				
7200: Payroll Taxes				
8000: Professional Fees				
8100: Supplies				
8200: Telephone				
8300: Postage				
8400: Occupancy				
8500: Rent/Maintenance Equip				
8503: Equipment				
8600: Printing & Publications				
8700: Travel				
8710: Program Transportaion				
8800: Meeting Expense				
8900: Assistance to Individuals				
9000: Membership Dues				
9100: Awards, Grants				
9200: Staff Training				
9300: Professional Liability Insurance				
9400: Other Expenses				
9691: State, National Dues				
Total	0.00	0.00	0.00	0.00

OUTPUTS/COSTS	2009-10 Actual	2010-11 Application	2011-12 Proposed	2011-12 Revised
Number of proposed clients				
Total cost of program				
Cost per client				

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Section 7: BUDGET NARRATIVE

If needed use this space to explain or give more detail about aspects of your program budget. Both questions require a response; however, you may enter "None" if appropriate.

1. Income Explanations

2. Expense Explanations

3. Explain how your application narrative and program budget clearly delineate intended use of United Way funds.

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Form C3ii.

EXPLANATION OF ACCOUNTS FOR COMPLETING BUDGET SECTION

(reference information only; not to be submitted with application)

INCOME/REVENUES

4000 CONTRIBUTIONS

All charitable giving by the public in support of voluntary, non-profit agencies. These revenues are generally in the form of cash, but some agencies receive bequests for operations. Many agencies receive cash gifts when the donor has specified the use for which the funds can be spent. These are called restricted funds, and will not normally appear as revenue in an agency's budget.

4200 SPECIAL EVENTS

This account includes all revenue from fund raising events. Example: concerts, cookie sales, bingo, dinners, dances, etc.

4600 ASSOCIATED ORGANIZATIONS

Contributions from auxiliaries, circles, guilds and other organizations closely associated with the reporting organization. Example: church funding.

4700 OTHER UNITED WAYS

Allocations expected from or allocated by other United Ways.

5000 GOVERNMENT

All funds received from any unit of government. Government funds may either be in the form of purchase of service type payments or grants intended to defray specified or unspecified operating costs. In other instances, specific employee expenses may be paid for by certain government programs. *(This is a drop-down box that allows detailed information to be entered.)*

6000 MEMBERSHIPS

Include all revenues derived from a fee charged for participation in an agency's program (e.g., membership at the Y's).

6200 PROGRAM SERVICE FEES

These are fee payments from clients for services furnished by the agencies.

6300 SALES

These are gross revenues derived from the sale of publications, supplies and consultation services to member units and the general public.

6500 INVESTMENT INCOME

This represents income earned from a variety of investments and may include interest, dividends, or royalties. Income from investment of unrestricted funds should be included in the agency's budget unless specifically exempted by agreement.

6600 BUILDING/LAND RENTAL

This revenue is derived from the fees charged for the rental of buildings or properties owned by the agency.

6900 OTHER INCOME

Revenues that do not fit into the revenue line items above. This total line must be itemized. *(This is a drop-down box that allows detailed information to be entered.)*

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EXPENSES

7000 SALARIES

Salaries and wages earned by an agency's regular employees (full or part-time), and temporary employees, including office temporaries that are included in the program budget. Does not include consultants and others engaged on a contractual basis. (8000 Series) Includes salaries of the Executive Director, Professional Staff, Clerical Staff, Maintenance Staff and Temporary Help. *(This is a drop-down box that allows detailed information on staff charged to this budget – e.g. one 75% coordinator)*

7100 EMPLOYEE BENEFITS

Amounts paid by an agency for health insurance, pension or retirement benefit plans, or other benefits.

7200 PAYROLL TAXES

Social Security taxes, unemployment and workers' compensation insurance premiums payable by employers under federal, state or local laws.

8000 PROFESSIONAL FEES

Fees and expenses of professional practitioners and consultants who are not employees of the agency, but are engaged as independent contractors for specified services on a fee or other contractual basis. May include: Legal Fees; Electronic Data Processing (EDP) (costs associated with accounting, data assemblage, etc., using EDP); Professional Consultants (costs associated with other professional consultants - e.g. medical, psychological, etc.); Audit Costs

8100 SUPPLIES

Costs of materials and other supplies used by the agency. May include small equipment items which will **not** be capitalized. May include: Recreational, Craft; Food, Beverage; Laundry, Housekeeping; Office Supplies; Duplicating

8200 TELEPHONE

All telephone, telex, fax and similar expenses.

8300 POSTAGE

Postage, parcel post, express mail, trucking, and other delivery expenses, including shipping materials.

8400 OCCUPANCY

Costs arising from an agency's occupancy and use of owned, leased, or rented offices, buildings, or land. **Note:** This account does not include salaries paid to agency maintenance and custodial employees or depreciation. May include: Office Rent; Other Rent (usually a satellite office or parking space); Building Insurance (costs arising from insuring physical premises, equipment or public liability - does not include Director's or Professional Liability Insurance); Mortgage Interest (costs of the interest expense associated with a mortgage only); Electricity; Heating; Water-Sewer; Contract Maintenance (costs of janitorial service, snow plowing or grounds maintenance provided by independent contractors); Real Estate Taxes; Building and Grounds Supplies (costs related to the normal upkeep of the agency's buildings, offices or properties. It should not contain costs for repainting, replastering, etc., which are done at intervals other than annually.); Miscellaneous Occupancy Costs.

8500 RENTAL/MAINTENANCE OF EQUIPMENT

Cost of renting and maintaining equipment, such as office and program or physical plant equipment. This does not include the replacement of any equipment.

8503 EQUIPMENT

New equipment, including replacement costs of equipment which are capitalized (max. per program = \$500).

8600 PRINTING AND PUBLICATIONS

Costs associated with the production of publications, fliers, reports, and newspaper advertising. Also

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includes costs arising from the subscription to newspapers, periodicals, regular reporting services, etc., and costs of purchasing books, special reports, films and videos.

8700 TRAVEL

Expenses of travel and transportation for staff and volunteers of the agency. Also includes seminar/conference (local and out-of-town) fees. May include: Auto Allowance (costs includes only regular, fixed payment to staff intended as reimbursement for the use of their personal vehicles on agency business); Out-of-Town Travel (costs includes **all** costs associated with travel for conferences, training seminars, etc. (e.g., air fare, hotel, meals, taxi fare, conference/seminar fees, etc.); Local Mileage (costs include reimbursement of a per mile basis, at a fixed rate, to staff for the use of their personal vehicles on agency business); Local Meetings (costs include fees for luncheon/dinner meetings held locally, outside the office); or Agency Vehicle Expense (costs include gas, oil, insurance, maintenance, etc., associated with the operation of agency owned vehicles. Does not include depreciation.)

8710 PROGRAM TRANSPORTATION

Direct program costs of transporting clients.

8800 MEETING EXPENSE

Expense of conducting meetings related to an agency's activities.

8900 SPECIFIC ASSISTANCE TO INDIVIDUALS

The cost to the agency of assistance or services for a particular client or patient, including assistance rendered by others at the expense of the reporting agency. This category is also designed to include materials and appliances furnished by the agency when they are purchased for or identifiable with a particular client or patient: Medical, dental and hospital fees charges; Children's board; Homemaker services; Client and patient travel; Food, shelter and clothing.

9000 MEMBERSHIP DUES

Amounts paid or payable for bona fide membership in other organizations that provide, in return, benefits such as regular services, publications, materials, etc. It does not pertain to the payment of national dues by local agencies.

9100 AWARDS AND GRANTS

Costs associated with recognition awards.

9200 STAFF TRAINING

Costs of training agency personnel at local or regional educational institutions.

9300 PROFESSIONAL LIABILITY INSURANCE

Cost of liability insurance pertaining to malpractice, errors and omissions, Director's liability, etc. It pertains to the cost of insuring the actions of agency staff and volunteers.

9400 OTHER

Expenses that do not fit into the expense line items above. This total line must be itemized. Please use extra lines to itemize miscellaneous expenses (*This is a drop-down box that allows detailed information to be entered*)

9691 STATE, NATIONAL DUES

This account includes payments to organizations affiliated with, or closely related to, an agency. In most cases, these payments are made to state and national agencies of which the local agency is an affiliate.

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Form C3iii.

2011 PARTNER PROVIDER PROGRAM EVALUATION

Each program is reviewed by the investment committee and, through a team or subcommittee process, is scored on specific items in the categories of Value to Community, Outcomes Achievement, Organizational Capacity, and Financial Stability. Scores are entered onto the Community Investment Website and then used by committees when making funding decisions.

Volunteers rate the program value for the items listed below from 0 to 2 points: **No = 0; To some extent = 1 point; Yes = 2 points.** United Way financial advisors review and score Section D. Financial Stability. United Way staff score Section E. Partner Relationship.

A. Program Impact: Value to Community

- A1. This program provides **services** that can lead to positive change in participants or clients.
- A2. The program targets and serves the **appropriate population** in terms of this committee's interests, client income levels, and client demographics.
- A3. This program is **unique** (in terms of clients served, type of service or delivery method), not duplicating other programs in the area.
- A4. The program ensures **accessibility** for its participants and potential clients.
- A5. Program activities and services are based on **research, a proven model or curriculum.**
- A6. The program **coordinates** its efforts with other agencies or programs in the area.
- A7. In your opinion, the **community values** the activities and services provided by this program.

B. Program Impact: Outcomes Achievement

- B1. **Program activities** listed are appropriate and effective means of achieving the outcomes that have been selected from United Way's pre-determined list.
- B2. **Indicator statements** are appropriate and can serve as evidence that investment outcomes are achieved.
- B3. The **number of participants** evaluated is appropriate to program design and type of services.
- B4. In general, actual and proposed **results** from year to year demonstrate improved **success in achieving client outcomes.**
- B5. Program has determined **appropriate 2011-12 proposed "goals"** in terms of numbers to be served and achieving outcomes based on specific indicators of success.

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B6. **Measurement tools** (surveys, questionnaires, observation/case notes) are based on reliable and valid standardized instruments and processes.

B7. Outcomes measurement seems to be conducted on a **regular basis**.

C. Organizational Capacity

C1. The **application overall** was complete with meaningful information provided.

C2. The **client demographic information** was as complete as possible given the program design.

C3. The partner provider appears to have the **capacity** needed (adequate # of staff, supplies, resources, etc.) to successfully implement the program.

C4. Program staff and volunteers have the **knowledge and skills** needed to implement the program.

C5. Program staff and volunteers appear to be **well-informed and well-connected** to the community.

C6. The partner provider organization appears to have capable **leadership from its director and board**.

C7. Organization's **facilities** (or access to facilities) meet the needs of the program and clients.

C8. The quality of the **equipment and/or materials** available can support an effective program.

C9. The proposed program **budget is reasonable** for the type of services and number of clients.

C10. "**Costs per client**" are appropriate to intensity of program services.

D. Financial Stability (to be completed by the CIFT Financial Advisor)

D1. Partner provider's most recent **audit** reflects no major or ongoing concerns.

D2. Partner provider organization runs operates with **administrative costs under 25%**.

D3. Partner provider organization has the **ability to continue** to provide services for three months even with material fluctuation in income or expenses.

D4. Partner provider has submitted a most recent **organization budget** that is balanced.

D5. Application shows a **balanced program budget**.

E. United Way Partner Relationship (to be completed by United Way staff)

E1. Program has established a **solid outcomes measurement process** that meets United Way's need for reliable information and data relevant to United Way efforts to advance the common good in Racine County.

E2. Organization has demonstrated responsiveness to **improving its outcomes measures** and using **information** to improve its own programming.

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- E3. Organization submits annual audit and audit management letter **on time** in accordance with the established reporting schedules.
- E4. Organization submits Six-month and Year-end reports, appropriate financial statements, and other compliance items such as board list, insurance binder, and board approved budgets **on time** in accordance with the established reporting schedules.
- E5. Organization **co-markets United Way** of Racine County through new releases; use of the current United Way branding on letterhead, publications, and signage; and displaying the United Way of Racine County logo at facilities.
- E6. Organization **actively supports the United Way Campaign** through providing tours, submitting human interest /success stories and photos, serving as a speaker as requested, conducting a United Way campaign among agency employees and promoting undesignated giving among employees and board members, and observing campaign blackout time policies.

TOTAL SCORE = possible 72 total points

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C4. FUNDING AWARD PROCESS

Once the United Way of Racine County Board of Directors has approved the funding recommendations, a contract (see sample on next page) is issued between United Way of Racine County and the partner provider organization or fiscal agent. A cover letter is sent with the contract that states the amount of the funding award for a specific period of time for the services and outcomes that had been outlined in the funding application. Generally the funds are to be disbursed on a monthly basis unless otherwise agreed upon by United Way and the recipient organization.

A contract may contain an addendum listing conditions or contingencies to be addressed by the partner provider. On-going funding is dependent upon the specifics of the addendum being addressed in a timely manner.

Prior to issuing any award check, a contract must be signed and on file with United Way of Racine County usually within 30 days from the date of the award letter. Each of the two copies of the contract is signed by the United Way of Racine County Board Chair and United Way President/CPO and sent on to the partner provider. Two signatures (executive director and Board Chair) are needed from the organization. The partner provider is instructed to return one of the signed copies of the contract to United Way and keep one on file.

Award checks are then sent to the partner provider on a regular basis as long as the contract addendum, if any, is addressed and all compliance documents, including required reports, are up-to-date and submitted to United Way.

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C4i. SAMPLE CONTRACT

(Name of partner provider organization)

(Name of program)

Contractual agreement – *(funding time period)*

(Partner Provider, please consult attorney as appropriate.)

This Agreement is made this ____ day of ___, 200_, by and between United Way of Racine County, Inc. (hereinafter, "UWRC") and *(name of partner provider organization)*, collectively called the "Parties" in this Agreement.

WHEREAS, *(name of partner provider organization)* is desirous of providing program services for the period of July 1, 200_ to June 30, 200_ (hereinafter, "Funding Period"), through *(name of program)* (hereinafter, "the Program") to the Racine County community as described and proposed in its application for funding to UWRC; and

WHEREAS, UWRC is desirous of obtaining such Partner Provider services under the terms and conditions provided herein.

NOW, THEREFORE, in consideration of the mutual covenants contained herein, the Parties agree as follows:

- I. *(name of partner provider organization)* agrees to:
 - a. Provide the Program services for the specified term in compliance with UWRC policies and procedures in effect on the date of this Agreement.
 - b. Submit to UWRC a revised budget for the Program within 30 days after the beginning of the Funding Period if funding award is less than originally proposed in application.
 - c. Submit to UWRC at the end of the Funding Period a year-end financial report that compares the Program's budget for Funding Period with its actual income and expenses. Additional financial information may be requested by the investment committee Financial Advisor or Community Investment Financial Team as needed.
 - d. Provide programmatic/outcomes updates to UWRC on a semi-annual basis during Funding Period. Additional programmatic/outcomes data may be requested by the investment committees.
 - e. Comply with all UWRC partner provider requirements and provide necessary documents as noted within the community investment website and explained in the UWRC Community Investment Policies and Procedures Manual (hereinafter, the "Manual").

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- f. Comply with all requirements of any applicable federal, state, and local laws, ordinances and regulations in connection with its performance of services and obligations under this agreement.
- g. Provide to UWRC, within six (6) months after the end of its fiscal year, an independent audit report/review that covers the Funding Period. Depending upon fiscal year end, Partner Provider may submit the audit report/review in portions of the Funding Period, but any and all such reports/reviews relating to any portion of the Funding Period shall be provided to UWRC. Such audit reports/reviews shall meet the requirements of OMB Circular A-133, the Wisconsin Provider Partner Provider Audit Guide and any other applicable federal or state requirements.
- h. Respond satisfactorily to the recommendations as outlined in the attached addendum (if applicable).

II. UWRC agrees to:

- a. Pay to (*name of partner provider organization*) up to \$_____ to be used for (*name of program*) through the end of Funding Period.
- b. Make payments on a _____ basis during the Funding Period, excepting that if Partner Provider does not comply with all of the reporting requirements outlined in this Agreement and the UWRC Manual, UWRC may detain allocation payments until Partner Provider provides UWRC all required reports and Partner Provider is in compliance with all material UWRC policies and procedures. If the Partner Provider fails to submit required filing within the allotted time, it will be penalized 10% of the allocation check for the next month and for every month thereafter that the filing has not been uploaded or sent to United Way.
- c. Provide funding in the manner agreed upon herein in order to enable Partner Provider to provide services to the Racine County community as contemplated under this Agreement, subject to Partner Provider's compliance with the terms and conditions contained herein.
- d. UWRC shall offer technical support and trainings as requested by partner providers and/or deemed appropriate by the Community Investment Committee.
- e. UWRC reserves the right to adjust the Partner Provider's total annual allocation at any time during the funding period if United Way cannot maintain the initial allocation amount due to unexpected significant decreases in United Way's revenues or reserves. Partner Provider will be notified at least 30 days in advance of the required change in the annual allocation for the remaining months in the funding period.

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III. The Parties agree:

- a. That in the event that UWRC believes that Partner Provider has engaged in a material breach of this agreement or a material breach of an obligation specified in the Manual, UWRC shall provide Partner Provider written notice of the alleged breach and Partner Provider shall have an opportunity to cure the alleged breach. If Partner Provider fails to cure the alleged breach to UWRC's satisfaction within forty-five days after notice thereof, UWRC may provide Partner Provider written notice of its intent to terminate this Agreement, along with the reasons therefore. If Partner Provider desires to contest a notice of intent to terminate given by UWRC, Partner Provider may submit an appeal to UWRC within fifteen days after the date of the notice, and this Agreement shall remain in full force and effect until the UWRC Board of Directors takes action on the matter. In the case of such termination, payments to Partner Provider by UWRC shall cease as of the date of termination.

- b. Renewal of this Agreement is dependent upon Partner Provider's desire to seek UWRC funding for the Program and upon UWRC's action to continue Partner Provider's funding for the Program.

IN WITNESS WHEREOF, the Parties hereto have executed this Agreement on the date first stated above.

Board Chair <i>(name of partner provider organization)</i>	Date	
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Executive Director <i>(name of partner provider organization)</i>	Date	
--	------	--

Francisco Sanchez, Board Chair United Way of Racine County	Date	
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Dave Maurer, President & CPO United Way of Racine County	Date	
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C5. SPECIAL FUNDING CONDITIONS AND PERMISSIONS

REQUEST FOR CONSIDERATION TO ENTER UNITED WAY FUNDING PROCESS AS A NEW AGENCY

Organizations interested in, but **new to United Way's annual funding process** must receive permission through the Community Investment Committee (CIC) to access the annual application. Prior to November 15 of each year, CIC will review requests to enter the subsequent year's funding process. Organizations must apply online through the Partner Provider Community Investment Website and go to Partner Provider Community Investment Website in the box at the bottom of our home pages. Click on that and it will take you to a log-in page where you click on "Create an eCIMPACT account". To complete log-in process answer a series of questions and complete organizational contact information is required. Once organization is approved for the requested username and password, they will be notified by the United Way's Community Investment Administrator (mkallio@unitedwayracine.org) that a packet is associated to their profile with the *Partner Provider Request for New Funded Program* form. This packet includes a brief narrative section and an extensive list of required documents:

a. Narrative

- Please describe your mission and attach supporting materials (i.e., mission statement, brochure, annual report in the online section titled *Supporting Materials*)
- Which specific United Way of Racine County investment outcomes will your program address? (see www.unitedwayracine.org for investment area logic models)
- How do you measure client/participant progress toward your program's desired outcomes?
- How do you ensure the quality and efficiency of program services?
- If you answer yes to any of the following questions, please briefly explain.
 - A. Are you anticipating major changes in your agency? (i.e. funding, size, direction, etc.) Y N
 - B. Do you have any pending legal actions that would affect your reputation or ability to pursue your mission? Y N

b. Required Documents

- Provide copies of the following governance documents:
 - A. Articles of Incorporation
 - B. IRS tax exemption letter
 - C. By-laws and/or governing documents

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- D. Organizational chart/description of agency's organizational structure (inclusive of staff and volunteers)
- E. Board Member list of names and addresses, along with committee(s) structure
- Have you been nationally accredited or received state licensure? If so, by whom?
- Please provide evidence of financial accountability:
 - A. Audit and copy of auditor's management letter for most recent year. (If no audit is conducted, provide highest level of externally prepared financial statements available with balance sheet)
 - B. Most recently filed IRS Form 990
 - C. Current organizational operating budget and most recent completed organizational budget compared to actual results
 - D. Name of person(s) responsible for regularly reviewing financial statements (staff and/or volunteer)

REQUEST FOR ADDITIONAL PROGRAM IN UNITED WAY FUNDING PROCESS (from currently active Partner Provider organization)

Existing/active United Way Partner Providers must receive permission through the Community Investment Committee (CIC) to add another program to the annual funding process. Prior to November 15 of each year, CIC will review requests to enter the subsequent year's funding process. Organizations must apply online through the Partner Provider Community Investment Website. **You must first notify United Way's Community Investment Administrator (mkallio@unitedwayracine.org) of your interest in requesting permission to add a program.** A *Partner Provider Request for New Funded Program* form will be associated to your profile that includes a brief narrative section:

- Please describe this program in relation to your organizational mission:
- Which specific United Way of Racine County investment outcomes will your program address? (see www.unitedwayracine.org for investment area logic models)
- How do you measure client/participant progress toward your program's desired outcomes?
- How does this program differ from your other program(s) currently funded by United Way?

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D. OTHER UNITED WAY INVESTMENTS

D1. Effective Connections

The Effective Connections pool was originally established in 1998 to provide technology and support for United Way of Racine County and its partner providers to enhance the collective capacity to communicate and to launch the outcomes-based measurement initiative across the system. Within a year, the pool's purpose was extended to include support for special projects and programs related to United Way's mission, apart from the regular allocations process.

The general purpose of the Effective Connections pool is to support United Way of Racine County's community impact agenda as follows:

- a. Provide continuous learning and support for the community investment process and to further the effective measurement of outcomes, both at program and community levels.
- b. Promote and support training, development and networking for community investment volunteers, staff, partner providers and the human service community in ways that support United Way of Racine County core strategies related to community investment and community impact agenda.
- c. Support programs or projects that are deemed too small or otherwise inappropriate for the Investment Committees, but nevertheless support outcomes within one of the investment areas or one of the purposes listed above.

Fund Policies

- There shall be a pool of funds named the Effective Connections Pool that shall be a subset of the Annual Community Investment Pool apart from the investment committee pools.
- The Effective Connections Pool, exclusive of allocations to 211 Racine and Leadership Racine, shall not exceed 2.5 percent of the Annual Campaign revenues unless non-campaign funds are designated to that purpose; *e.g. special solicitation/grants for technology, training, etc. may be available to United Way over the 2.5 percent amount.*

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- The Treasurer shall be responsible for monitoring expenditures from the Effective Connections Pool and reporting them in the monthly financial reports to the Board.
- Expenditures from the Effective Connections Pool shall be approved as follows:
 - Requests **up to and including \$1,000** shall be approved by the President & CPO and VP of Community Investment or Community Investment Committee.
 - Requests for **\$1,001 to \$5,000** shall be approved by the President & CPO, Board Chair, and VP of Community Investment or Community Investment Committee.
 - Requests for **more than \$5,000** shall be approved by the Community Investment Committee and either Executive Committee or Board of Directors.

Request for Funding Guidelines

Requests for funding may come from non-profit/public entities or they may be internally-driven United Way of Racine County initiatives. Requests for funding may be for one-time projects or for continuous programs appropriate to the Effective Connections pool's purpose.

One-Time Projects. Requests for one-time projects may be submitted online through United Way's Community Investment Website. To apply for these funds:

- You need to go to our Website (www.unitedwayracine.org) and go to Partner Provider Community Investment Website in the box at the bottom of our home page.
- Click on that and it will take you to a log-in page where you click on "Create an eCimpact account." You will need to answer a series of questions, fill in your organizational contact information and submit your responses by following the directions.
- MaryBeth Kallio, Community Investment Administrator, will then set up an account for you and let you know that a brief application packet is now available for you to complete and submit.

Ongoing Programs. The Community Investment Committee (CIC) may determine that requests received through the community investment application process are not appropriate for any of the Investment Areas, but that they support an outcome of an Investment Area or one the

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purposes of the Effective Connections Pool. In this case, CIC will evaluate the application in light of Effective Connections purpose and communicate directly with the applicant organization. Letters of agreement between United Way and the applicant must be on file outlining the expectations of the program's performance and the amount to be funded. CIC will monitor program progress throughout the year and require an end-of-year narrative and financial report be submitted.

Reporting Requirements (one-time and on-going projects)

Within 30 days of the conclusion of the project or funding **year**, a report must be submitted online through the Partner Provider Community Investment Website. This report to the Community Investment Committee that...

- a. documents the implementation and completion of the project,
- b. evaluates the effectiveness of the project, including number of people served, and
- c. reports on how the Effective Connections funds were spent.

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D2. Wadewitz Fund

The Wadewitz Fund is designated as a grant or interest-free loan to assist a **United Way of Racine County partner provider** with a request to repair, replace or improve a condition that meets the criteria of an emergency, a capital need, and where no other reasonable source of funds are immediately available. The Community Investment Committee (CIC) makes recommendations to the United Way board of directors for disbursement of Wadewitz funds.

Loans. Funds are distributed to United Way partner providers only for interest free short term (up to one year) loans for capital needs and/or equipment. Minimum loan amount is \$500 and a maximum of \$5,000 per agency/per year. A written request is submitted to CIC from the partner provider's Board Chair. CIC will make recommendations as quickly as possible, targeting within 30 days of loan request, to approve or deny. Results of CIC's recommendation will then be forwarded to United Way of Racine County's executive committee or board of directors for final approval. Agency will be notified, in writing, of the action of United Way's Board immediately following their decision. The loan will be paid back according to agreed upon terms within the Wadewitz Loan Agreement.

Grants. Funds are distributed only to United Way of Racine County partner providers. Funds can be utilized for capital needs to maintain, repair, or rehabilitate any building, structure or item of equipment having a normal useful life in excess of three years. This also includes the purchase or lease of equipment, but not the purchase or lease of buildings.

A written request is submitted to CIC, from the partner provider's established Building Committee or Board of Directors. CIC will then act as quickly as possible, targeting within 30 days, on all emergency requests to approve or deny the recommendation. CIC's recommendation will be brought to United Way executive committee or board of directors for final approval. Agency will be notified, in writing, of United Way's board action. A funding determination is made based on the dollars available in the interest account of the Wadewitz Fund. Allocations shall not exceed more than 50 percent of the anticipated costs. No one agency shall receive more than \$30,000 in a two-year period.

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D3. Youth As Resources (YAR)

Through grantmaking and community service, Youth As Resources empowers youth to make a positive difference in their own communities. Youth As Resources funds youth-designed, youth-led community service projects throughout Racine County. YAR's purpose and function is to:

- promote service to the community by youth by eliminating one common barrier to youth service – lack of funds for supplies to complete service projects;
- promote youth as capable contributors to their communities who have valuable ideas and are able to take on responsibilities with energy and skill;
- empower youth to develop and apply their capacity to transform themselves and the world in which they live through active participation in the relationships, events and institutions that impact their lives;
- foster youth/adult partnerships where adults play a significant role as respectful partners and where both youth and adults share power and decision making;
- promote the direct involvement of youth in their communities as productive workers, as change agents, and as advocates for themselves and others in organizations and institutions throughout the community; and
- promote in youth the development and acquisition of new knowledge and skills through support and challenging opportunities.

The YAR board is comprised of youth (75%) and adults (25%) with a total of 25 to 30 members. All board and subcommittee leadership is a model of youth-adult partnership. A youth member is elected as Chair with an adult member as Co-Chair. The other board officer positions (Secretary and Historian) are filled by youth. YAR is staffed with a part-time Program Coordinator.

Youth As Resources has established itself as an effective grant-making program which involves more than 1,700 youth in about 20 service projects annually. Since 1996, the YAR Board has awarded more than \$233,061 in grants to young people.

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D4. Donor Designations

United Way of Racine County allows individuals who donate to the annual workplace campaign to designate their gifts to any United Way partner provider agency as identified on the annual campaign Donor Designation Form. It is the employer's decision to offer donor choice to its employees. United Way will make every effort to accommodate company designation policies. Designation forms are to be returned in the Company Report Envelope along with the pledge cards. Forms must be returned no later than December 31 for processing. Incomplete or inaccurate forms will not be processed and will be returned.

- Designations are accepted only for United Way of Racine County partner provider agencies. Designation forms with pledges made to non-United Way of Racine County funded agencies will be returned.
- Designator must use United Way of Racine County's Designation Form (available through the Employee Campaign Coordinator or United Way office) or a compatible form designed by the company. The card must be properly completed, and the donor's signature is required.
- Designator must pledge a minimum of \$50 to be able to designate monies to an agency.
- If designations are made to more than one partner provider agency, a minimum of \$50 must be pledged to each agency.
- Maximum number of agency designations is three per donor.
- Designated cash gifts to United Way funded agencies will be paid in full. Designations made through payroll deduction will be reduced by the annual anticipated pledge loss as determined by the finance committee. Deferred pledges will be paid out based on actual collections.
- Designated donations will be paid out after the community investment review process has been completed. Members of the community investment committees will not be advised of an agency directed designation during the review process.
- United Way of Racine County does not allow company-level donor designations. Matching company contributions will be used by United Way in the general allocation fund.
- Partner provider agencies will be provided a list of donor names and addresses of those who wish to be acknowledged. Donors must indicate their desire to be acknowledged on the

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designation form. Donors who do not want their names and addresses provided to agencies will be identified as “anonymous” to the agency receiving the designation.

- United Way of Racine County has the right to verify each donor’s pledge amount with the employer.

Exclusionary Designations

United Way of Racine County allows individuals who donate to the annual workplace campaign the ability to exclude certain agencies from the receipt of their donations. These donations are held and distributed separately from the unrestricted funds to assure that agencies that have been excluded do not share in the distribution of those funds. It is the employer’s decision to offer exclusionary designations to its employees. United Way will make every effort to accommodate company designation policies.

- Designator must pledge a minimum of \$50 to be able designate exclusionary monies.
- Exclusionary designations are tabulated as “zero dollars” to that agency(s). This is the same as a positive designation to all other agencies not excluded. The effect of the exclusionary designation will be a pro-rated reduction in the pool of dollars available to the agencies excluded. Investment committee members will not have knowledge of an agency exclusionary designation during the review process.
- United Way of Racine County does not allow company exclusionary designations.

Donor Designation Payout Process

1. Donor designation forms must be turned into United Way of Racine County by December 31 for processing or at an agreed upon date between UWRC and contributing organization. Donor designations processed by an out of town employer will be honored if received by February 28.
2. Donor designation information is processed by United Way staff by first week of March.
3. Agencies will be notified of donor designations by mid March. The information to be provided to the agency will include the total amount of designations broken down by cash, payroll deduction and direct bill, total number of donors and the names of donors who wish to be acknowledged.
4. Cash donations will be paid in full to the agency on June 15.

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5. Payroll deduction pledges will be paid out on June 15 and December 15. The payroll deduction pledges will be reduced by the annual anticipated pledge loss as determined by the UWRC finance committee. The balance of the payroll deduction will be paid out equally on June 15 and December 15. The finance committee has the right to examine actual pledge loss by a company in extenuating circumstances and further reduce the pledge loss on donor designation payouts.
6. Deferred pledges will be paid out based on actual collection of the pledge. These pledges will be paid out on June 15 and December 15.
7. There will be no administrative fee charged for donor designation pledges.

Note: Partner provider agencies actively soliciting designations will be declared ineligible for receipt of future designations. See page 84.

D5. Combined Federal Campaign

The Combined Federal Campaign (CFC) is the authorized solicitation of Federal employees on behalf of charitable organizations. Based on the need to bring the diversity of fund raising under one umbrella, the CFC was created to oversee one annual campaign.

The CFC provides an additional opportunity for United Way of Racine County's partner providers to solicit funds over and above their program allocations. Federal employees have a strong commitment to their local community and are anxious to see that their contributions support efforts to assist their neighbors, families, and friends.

In the spring, each United Way partner provider has the opportunity to complete an application to be included in the CFC campaign. This application requires documentation of a provider's non-profit status, annual budget, annual report, plus statement of purpose. This application is reviewed by United Way of Racine County who serves as the local federation for its partner providers, and then is forwarded to a Local Federal Coordinating Committee which determines whether the organization meets CFC criteria.

Once that application is approved, the United Way of Racine County partner provider is listed in the CFC annual campaign brochure, which is distributed to all federal employees in the state. Employees can review this brochure, and designate their contributions to specific organizations as they so desire through payroll deduction. These designated dollars are then paid to United Way of Racine County which distributes them to the individual organizations.

SECTION III. PARTNER PROVIDERS

Partner Provider Requirements

United Way of Racine County provides support for programs of non-profit status, generally 501(c)3 health or human services organizations, that provide services to people residing in Racine County. United Way partner providers are expected to comply with all guidelines and requirements outlined in the Community Investment Policies and Procedures Manual. Financial support by United Way of Racine County is conditional on the compliance with the following requirements and provision of all supporting documents to demonstrate such compliance.

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A. GOVERNANCE

A1. Incorporation

The partner provider must be incorporated as a non-profit organization or have a fiscal agent that is incorporated as a non-profit organization with a mission consistent with the mission of United Way of Racine County. United Way generally does not fund public institutions (supported by tax dollars), but is willing to make exceptions if a partnership with the organization seems to be the best vehicle to achieve desired outcomes and community impact.

A2. Tax Exemption

The partner provider must furnish a copy of documentation of the federal Internal Revenue Service ruling indicating that the partner provider is an exempt organization under Internal Revenue Code section 501(c)3 or have a fiscal agent that has an IRC section 501(c)3 or other non-profit status and also provides that documentation.

A3. Governing Body

Governance of the provider organization must be vested in a responsible and active local (southeastern Wisconsin) board of directors. The board must be comprised entirely of unpaid volunteers (except that the Chief Executive Officer of the agency may be an ex-officio member), meet at least quarterly, and establish and enforce policies. The board must be large enough and structured in a manner to be representative of the community it serves. A current list of the governing body members (board members) must accompany application for funding. United Way of Racine County maintains the right to request and review copies of board meeting minutes, excluding information on personnel matters or confidential client information.

For partner provider or fiscal agent organizations not physically located in Racine County in terms of offices or program facilities, a local advisory committee must be in place and meet regularly, unless otherwise determined by the Community Investment Committee and reflected in the funding contract with that provider.

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A4. Bylaws

Upon request, the partner provider will provide bylaws that clearly define the partner provider's purposes and functions, its organization, and the duties, authority and responsibilities of its governing body and officers, or Board Policies that contain such information.

A5. Non-discrimination

The partner provider shall have developed an Affirmative Action Plan/Equal Employment Opportunity plan in compliance with state, federal, and local guidelines. The partner provider shall operate by policy and practice with no unlawful discrimination. This shall be true in all aspects of the partner provider's operations, including service to people, selection of Board, employment of professional and other staff and the purchase of supplies.

A6. Certificate of Insurance

It is the partner provider's responsibility to have on file within United Way's Community Investment Website a scanned copy of the most current certificate of general liability insurance.

A7. Counterterrorism Compliance Form

In 2001, President Bush approved the USA Patriot Act in order to strengthen the federal government's ability to combat terrorism. In order to comply with the USA Patriot Act, all United Ways are being required to: 1) screen all agencies receiving funds against federal terrorism "watch lists;" 2) obtain certifications from funded agencies that they are not terrorists or terrorist organization and do not knowingly provide any kind of support to such persons or organizations; and 3) provide a certificate to donors (upon request) stating that United Way does not and will not knowingly apply donated funds so as to provide any kind of support to terrorist organizations.

On an annual basis when completing the annual application, partner providers must have checked all boxes verifying that the agency complies with the USA Patriot Act.

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Counterterrorism Compliance

In compliance with the spirit and intent of the USA Patriot Act and other counterterrorism laws, United Way of Racine County requires that each funded agency (“Organization”) certifies that it is in compliance with the United Way of Racine County and the United Way of America’s compliance program.

Check the appropriate box to indicate your compliance with each of the following	Comply	Do not comply
This Organization is not on any federal terrorism “watch lists” including the list in Executive Order 13224, the master list of specially designated nationals and blocked persons maintained by the Treasury Department, and the list of Foreign Terrorist Organizations maintained by the State Department.	<input type="checkbox"/>	<input type="checkbox"/>
This Organization does not, will not and has not knowingly provided financial, technical, in-kind or other material support or resources* to any individual or entity that is a terrorist or terrorist organization, or that supports or funds terrorism.	<input type="checkbox"/>	<input type="checkbox"/>
This Organization does not, will not and has not knowingly provided or collected funds or provided material support or resources with the intention that such funds or material support or resources be used to carry out acts of terrorism.	<input type="checkbox"/>	<input type="checkbox"/>
This Organization does not, will not and has not knowingly provided financial or material support or resources to any entity that has knowingly concealed the source of funds used to carry out terrorism or to support foreign terrorist organizations.	<input type="checkbox"/>	<input type="checkbox"/>
This Organization does not re-grant to organizations, individuals, programs and/or projects outside of the United States of America without compliance with IRS guidelines.	<input type="checkbox"/>	<input type="checkbox"/>
This Organization takes reasonable, affirmative steps to ensure that any funds or resources distributed or processed do not fund terrorism or terrorist organizations.	<input type="checkbox"/>	<input type="checkbox"/>
This Organization takes reasonable steps to certify against fraud with respect to the provision of financial, technical, in-kind or other material support or resources to terrorists and terrorist organizations.	<input type="checkbox"/>	<input type="checkbox"/>

* In this form, “material support and resource” means currency, monetary instruments, financial securities, financial services, lodging, training, expert advice or assistance, safehouses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation and other physical assets, except medicine or religious material.

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B. FINANCIAL CONDITIONS AND ACCOUNTABILITY

B1. Accounting

The partner provider shall maintain accounting records that are in conformity with the current standards of accounting and financial reporting for voluntary health and welfare organizations. Partner providers will be asked to present documentation of board-approved budget information.

B2. Audit/Review

Audits are reviewed by the Community Investment Financial Team (see review form next page). The partner provider or fiscal agent must have an audit completed annually by a Certified Public Accountant. (A financial review may be accepted in lieu of an audit only with prior approval granted by the Community Investment Committee.) The audit with the management letter must be submitted to United Way of Racine County no more than six months after the close of the agency's fiscal year. If no management letter is included in the audit, the partner provider's board officer or auditor must notify United Way in writing that no letter was included. Because of United Way's commitment to provider accountability and good stewardship of donor dollars, the audit/review will be examined by United Way's Community Investment Financial Team. (See next page for the Annual Audit Review Form.)

For large state or regional organizations, a written statement that certifies the financial accountability and stability of the Racine County-based program must be included from the partner provider organization. United Way committee leadership may require additional financial schedules that clarify the organizational accounting for programs pending review of the financial information provided in the program application process and year-end reports.

B3. Fiscal Agent

Other non-profit organizations may serve as fiscal agents for programs funded by United Way of Racine County. In all such cases, the same clear and fully accountable stewardship required through direct application from non-profits relative to program budgets and reporting shall be required of the fiscal agent. The Community Investment Committee has the authority to approve of procedures and financial reporting requirements that may appropriately differ from time to time depending on the partnership.

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Annual Audit Review

Partner Provider _____

CIFT Reviewer _____ Date of CIFT Review _____

I. COMPLIANCE DOCUMENTS

- Copy of most recently completed audit
 -or-
 Copy of most recent financial review (if approved by Community Investment Committee)

- Conducted by an independent Certified Public Accountant? yes no
- Fiscal Year End _____ Audit/Review date _____

Management letter

- None issued. (verification letter stating such from board officer or auditor attached to audit)
 No significant concerns.
 Concerns listed regarding, internal controls, staffing or organization's financial integrity.

II. GENERAL CALCULATIONS

- A. Unrestricted Net Cash and Investments** _____
B. Other Current Assets (other than unrestricted cash) _____
C. Total Current Assets (A. + B.) _____
D. Current Liabilities _____
E. Difference (C. - D.) _____

III. FINANCIAL STABILITY

Rate the program's financial stability in terms of the following items from 0 to 2 points:
No = 0, To some extent = 1 point, Yes = 2 points

- D1. Partner Providers most recent audit reflects no major or ongoing concerns.** _____
D2. Partner Providers organization operates with administrative cost under 25%
(with formula inserted here). If the organization's administrative rate is less than
 10% or greater than 25%, please note in comment box. _____
D3. Partner Providers organization has the ability to continue to provide services
for three months even with material fluctuation in income or expenses. _____

Reviewer's Opinion

- Organization appears to be financially sound (at time of audit).
- Additional information is needed about the following:

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B4. Fundraising

All fundraising activities conducted by United Way of Racine County partner providers shall be reported within the budgets provided as part of the application for funding. Partner providers are required to show their United Way of Racine County affiliation in all solicitation and public relations materials for programs supported in any way by United Way. Partner providers should not use the reduction of United Way funding in appeals for additional support.

Note: At no time during the course of the year may partner providers, their volunteers or other representatives solicit or advocate designations to their specific organization through the United Way campaign.

B5. Refund Policy

United Way of Racine County has the right to request that unused funds or inappropriately used funds (not in accordance with program proposal and contract) be returned. Partner providers have the responsibility to inform United Way of Racine County in a timely manner of significant changes in staff, programming or the agency that may result in unused United Way funds. If a partner provider or fiscal agent organization identifies unused funds at close of their fiscal year, funds are to be returned to United Way of Racine County. Carry-over funds are generally disallowed. Any request relative to unused funds must be submitted in writing to United Way of Racine County at least 30 days prior to the end of the program funding year.

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C. PROGRAM

C1. Local Services

United Way of Racine County will fund only those programs providing services to residents of Racine County. In the application for funding, the partner provider must state the purpose of its program, an explanation of what distinguishes its program from similar programs being offered, and demographic information on program participants.

C2. Outcomes Measurement

Partner providers must measure program outcomes and provide outcomes information through the application and reporting processes. Additional assistance in improving the outcomes measurement process may be provided by United Way. Partner Providers may also request from the Community Investment Administrator a copy of the resource guide, *Measuring Program Outcomes: A Practical Approach*, that was produced by United Way of America.

C3. Budgets

At the time of applying, the partner provider shall present a **program budget** that has been prepared and approved by its board of directors or governing body. The program budget summary form and budget narrative must be completed as part of the funding application. A board-approved **annual organization budget** is also required (if different from program budget). There should be clear correlation between the program budget and organizational budget. The organization shall provide minutes showing board approval of budget(s) if requested.

C4. Revised Budgets

Any program receiving less than the amount requested in the funding application to United Way must submit a revised budget using the “Revised Budget” column of the on-line application program budget form. Partner Provider revised budgets will be due to United Way of Racine County 30 days after the beginning of the fiscal year with explanation of the revisions noted in the Budget Narrative section of the application. After August 1, any significant additional revisions (see Section D.1. for criteria) to program budgets can be submitted by uploading the revised budget into the Partner Provider compliance section and notifying United Way.

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C5. Program Changes

The partner provider shall obtain prior approval from United Way for significant changes in program direction, levels of service and client groups for programs receiving United Way support. Failure to do so may result in immediate loss of funding.

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D. REPORTS & REVIEWS

D1. Six-month Report

The Six-month Program Report must be submitted within 10 days (by January 10) of completing the first six months of programming funded by United Way. This report includes 1) a summary purpose statement of the program and outcomes being measured; 2) a description of progress in implementing the program as described in the proposal funded by United Way; 3) an explanation of intentional changes made to program in terms of personnel, programming or budget; and 4) an explanation of general problems or delays the program is experiencing and efforts undertaken to resolve them.

- ◆ **A Six-month Financial Report** is also due at that time *only* under the following circumstances: staff salaries and benefits show a 25 percent or more variance to original budget; and/or significant loss of anticipated revenue affecting program outcomes or agency budget; and/or a projected year-end program/organization deficit. If partner provider does not need to submit a financial report, this can be indicated within the online six-month program report by responding to the question verifying that program and agency are generally expending dollars as projected in budgets previously submitted.

D2. Year-end Report

The Year-end Report is submitted by August 1 after the completion of 12 months of funding. Partner providers are asked to report on the following: program outcomes, indicators and findings; lessons learned in evaluating the program; and any changes made to the program including changes in services, staffing or budget.

- ◆ **A year-end Financial Report** for the program is also due at that time by completing the appropriate column in that year's on-line application (through investment Website.) An un-audited year-end report of the total agency budget should be uploaded to the partner provider profile section in the investment Web site, along with any notes that help clarify the use of United Way program dollars.

D3. Reviews

United Way of Racine County reserves the right to assemble a team of volunteers and staff to conduct a more in-depth review of any partner provider organization in terms of fiscal, outcomes measurement and governance issues or request additional financial information as necessary that clarifies the relationship between United Way of Racine County program funds and overall agency budget.

United Way of Racine County will hold monthly checks and, after the first month of holding, deduct a 10% penalty from their monthly allocations for programs that do not respond in a timely manner to requests for program or organizational information from the investment committees, Community Investment Committee or special review teams.



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E. SUMMARY OF PARTNER PROVIDER REQUIREMENTS

The documents listed within the table below should be submitted to United Way and/or kept up-to-date on the Partner Provider Community Investment Web Site. New programs will submit documents listed in the first column when asking permission to complete an application.

1.	2.	3.
Eligibility to Apply/ Ongoing Compliance	Partner Provider Compliance (in addition to up-to-date documents listed in column 1.)	Optional (not required at this time, but can be uploaded in the Partner Provider Community Investment Web site compliance section)
Evidence of non-profit status (articles of incorporation, IRS tax exemption letter) including EIN #	Current Board of Directors (updated annually)	Organization Strategic Plan
Organizational mission related to UWRC interests and priorities (mission statement; Eligibility Form)	Audit/Review with Management Letter (within 6 months of fiscal year-end)	Awards and Recognition
Willingness/ability to measure client outcomes (Eligibility Form statements)	Six-month Report (due January 31)	Media File Samples
Evidence of good governance (by-laws and other governing documents; board list; organization chart)	Year-end Report with outcomes findings and year-end financials (due Aug. 31)	Evidence of Financial Reserves
Most recent audit with management letter	Insurance Binder (updated annually)	
Current operating budget	Counterterrorism Compliance Form (updated annually)	
Counterterrorism Compliance Form	United Way of Racine County Recognition/co-marketing (e.g. use of UWRC logo, etc.)	
Evidence of program/organization certification (e.g. national accreditation or affiliation contract) when appropriate or required.	Evidence of program/organization certification (e.g. national accreditation or affiliation contract) when appropriate or required.	

F. SPECIAL CONDITIONS

F1. Effective Connections On-going Programs

Partner provider organizations that may be funded annually through the Effective Connections pool managed by the Community Investment Committee (programs designated as Community Partners rather than programs of the regular investment committee investment process) will have eligibility determined, as well as specific compliance and reporting requirements as stated in the funding agreement letter, by the Community Investment Committee with review and approval by the United Way of Racine County board of directors.

F2. Programs Requesting \$10,000 or Less

Organizations with programs or projects that apply for funding of \$10,000 or less must meet basic organizational eligibility standards, but may have certain application and reporting requirements waived as determined by the Community Investment Committee with review and approval by the United Way of Racine County board of directors.

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G. FILING POLICIES

United Way of Racine County funding contract requires that the Partner Providers shall file a number of documents with United Way of Racine County at specified deadlines.

G1. Late filing

Partner Providers are responsible for meeting certain specific filing deadlines for any compliance document (e.g., signed contract, budgets, audits, program reports, insurance binders, Patriot Act, etc.). Late filing affects the ability of the investment committees and others to evaluate the agency's request for funding and is often viewed as a symptom of problems within the agency that United Way may need to address.

Filing dates of compliance documents will be listed within the organizational profile of the Partner Provider Community Investment Web Site. If the Partner Provider fails to submit the filing within the allotted time, it will be penalized 10 percent of the monthly allocation check for the next month and for every month thereafter that the filing has not been uploaded or sent to United Way. (Please note that late filing becomes part of the annual Partner Provider performance record and will reduce the Partner Provider program *points* on the annual application scoresheet used in funding decisions.)

G2. Audit Filing

Failure to file a timely audit and other supporting financial documents (“Audit Documents”) is a breach of the contract with United Way of Racine County. Audit Documents must be submitted within six months of the close of the organization’s fiscal year. If a currently funded partner provider has not submitted its prior year Audit Documents by the next application deadline, the application will be deemed incomplete and ineligible for funding consideration until the next funding cycle. Draft Audit Documents will not be accepted.

A waiver of this requirement regarding audit documents may be granted only by the United Way of Racine County Board of Directors, upon a request submitted to the United Way Board Chair and President & CPO **prior** to the audit deadline date explaining the partner provider’s rationale for needing a waiver.

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G3. Requests for Extensions

If any Partner Provider finds that it will be unable to meet a deadline, it may request an extension of no more than 30 days. The request must be in writing; submitted to United Way of Racine County at least 10 days in advance of the deadline and explain with specificity the reasons for the request. Extension requests may be approved by the President & CPO and/or the Vice President - Community Impact. If the President & CPO and/or the Vice President - Community Impact are not available, then approval or denial will be given by the Vice Chair of Community Investment Committee and/or the Vice President - Finance and Administration.

Written approval or denial of request will be sent to the Partner Provider requesting the extension. The decision to grant the extension will be solely within the discretion of United Way of Racine County. With an approved extension, the Partner Provider allocation check will not be held for that month. If the audit and management letter are not received by the end of the extension grace period, the 10 percent late filing penalty will be applied to the month immediately following the extension period end date.

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H. PARTNERSHIP RESPONSIBILITIES

H1. United Way of Racine County Brand Compliance Guidelines

Partner providers should identify themselves as United Way of Racine County funded programs by using and displaying the United Way identity signs, logo, and other publicity information. In addition, the organization must identify itself as a United Way of Racine County “partner provider” in communications with the media. Partner providers are asked to make every effort to recognize United Way funding in media releases, particularly when referring to a United Way of Racine County funded program.

When partner providers have control over the production of public literature, the literature must show this partnership relationship and include the United Way of Racine County logo (not the national logo). The localized United Way logo is available in copy-ready form from the United Way of Racine County office and through the web site (www.unitedwayracine.org). United Way of Racine County-funded programs that are part of multi-county provider organizations may use the generic United Way logo.

H2. United Way of Racine County Annual Campaign

United Way of Racine County expects each partner provider to conduct an annual employee campaign for United Way.

Caution Regarding Solicitation of Designations. United Way of Racine County allows individuals who donate to the annual workplace campaign the ability to designate their gift to a partner provider as identified on the United Way Donor Designation Form. No agency will be credited with or receive donor designation through United Way if the agency in question has actively solicited donors to designate to that organization.

United Way will presume that an agency has actively solicited designations if the agency staff or volunteer representatives have carried out any of the efforts as described below in paragraphs 1 and 2. These efforts may eliminate an organization from receiving donor designations if the efforts take place any time during the year.

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1. Distributed correspondence, brochures, literature or other information that actively encourages people to designate a United Way contribution to a particular agency. This includes verbally encouraging designations or exclusions to a specific agency at employee rallies or other public events.
2. Conducted an organized or ad hoc effort to have individuals encourage their fellow employees to designate to or exclude a particular agency.