

## 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 Agency Login on the top left of our home page, [www.unitedwayracine.org](http://www.unitedwayracine.org). 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](mailto: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](http://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

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### **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
  - 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)

## SECTION III. PARTNER PROVIDERS

### Partner Provider Requirements

United Way of Racine County provides support for programs of nonprofit 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.

## A. GOVERNANCE

### A1. Incorporation

The partner provider must be incorporated as a nonprofit organization or have a fiscal agent that is incorporated as a nonprofit 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 nonprofit 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.

## **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 in policy & procedures manual). 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.

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 nonprofit 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 nonprofits 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.