



St. John United Way

POLICY MANUAL for Partner Agencies

Last Updated 6/1/2015

STATEMENT OF MISSION

The mission of St. John United Way is to unite people and resources to create lasting changes in St. John the Baptist Parish by focusing on the building blocks for a better life- EDUCATION, INCOME & HEALTH.

United Way does not attempt to administer, supervise, or dictate the policies, practices, or internal procedures of its agencies. Evaluation of the agency's effectiveness and efficiency is, however, an essential part of the annual allocations review process.

I. OVERVIEW OF THE FUND DISTRIBUTION PROCESS

The St. John United Way Board of Directors makes all United Way funding decisions after reviewing the recommendations of the Community Impact Committee. The Allocation panels are comprised of volunteers representing a cross-section of the parish.

These volunteers meet each spring to review agency funding requests for the following fiscal year, July 1 through June 30. The site review teams meet with agency staff, members of their board of directors, and with other volunteers to discuss the program delivery, governance and financial stability of the agency. After each panel has evaluated the agency requests assigned to it and agreed upon funding recommendations, the Community Impact Committee meets to discuss each panel's recommendations and attempt to balance the recommendations of all panels in relation to the projected availability of funds for the next fiscal year.

In May, the Community Impact Committee submits its funding recommendations to the St. John United Way Board of Directors for approval.

Site visit participation –

- St. John United Way Community Impact Committee will annually select agencies to review with a site/agency visit. Depending on the particular situation, a site visit may be a site visit team traveling to the agency's facility or the agency may be asked to visit with the team at a location of the site visitation team's choosing.
- Not all agencies will be asked for a site visit annually. Usual criteria for selecting an agency for a site visit may be: (1) a site visit with this agency has not been conducted within the past 3 years, (2) the agency is the recipient of one of the larger allocations from SJUW, (3) questions arising from the allocation application review may result in a site visit, (4) the agency is a new partner agency, (5) the agency received new additional funding for the previous year to implement a new program.
- During site visits, the agency must have an individual available to answer all aspects of agency operations (financial/budget, goals, services, program information and outcomes). Agencies who do not appropriately answer questions, may risk the loss of funding/dollars in a very competitive allocations environment.
- The agency is strongly encouraged to have a Program Director or Agency Director as well as someone very familiar with the program funding/budget present for the site visit. The agency may have up to 3 people at the site visit including the director.
- Agencies should be prepared with an informative presentation, showing impact in the community, professionalism of services, and wise fiscal management.

Check Disbursement

If an agency is approved for funding, the funding will be effective for the fiscal year of July 1 to June 30. Agencies will receive checks quarterly, starting September 30th of that year. Designations from within the total SJUW campaign are included in the allocations.

Each year, St. John United Way's Board of Directors determines, based on actual historical data, that year's anticipated pledge loss and therefore will reduce from its campaign totals a percentage of anticipated "uncollectibles".

II. AGENCY STANDARDS / RESPONSIBILITIES AND FUNDING RELATIONSHIPS

- **Partner Agency**

A partner agency is one that is providing health and human services and receiving an annual allocation for specific programs from St. John United Way. The amount of the allocation is determined by the allocations panel through the regular program and budget review process.

- **Funding**

Partner agencies will not automatically receive funding each year. Agencies must reapply for funding every year. Determination of funding is based on community needs, quality programs, and funding availability of St John United Way.

- **Allied Agencies**

Allied Agencies are agencies that St. John United Way has had prior relationships with but are not reviewed annually. These agencies only receive donor designations but donations are not assessed any administrative fees.

III. BASIC STANDARDS FOR AGENCY ADMINISTRATION

- **Board** - Governance of the agency should be vested in a responsible and active board of at least 6 directors, comprised entirely of unpaid/non-compensated volunteers, which meets at least quarterly and establishes and enforces policies. The board should be large enough and so structured to be representative of the community it serves. It should have a specific written plan for rotation or other arrangements to provide for new members. Multi-parish agencies should show local representation in one of three methods: by SJP resident on the agency's 1) Board of Directors; 2) on a local advisory committee; or, 3) by a local committee responsible for representing the agency's Board of Directors in the parish.
- **Purpose** - a legitimate purpose with no avoidable duplication of work of other organizations.
- **Program** - efficient in program management, and reasonable adequacy of resources, both in material and personnel.
- **Cooperation** - evidence of consultation and cooperation with other established agencies in the same or related fields of operation.
- **Ethical Procedure** - ethical methods of publicity, promotion, and solicitation of funds.
- **Audit** - Each agency shall furnish the St. John United Way a financial audit or review prepared by a qualified professional who is not a member of the agency's staff. Consistent with LANO standards, agencies with annual budgets under \$300,000 must provide a review and agencies with annual budgets of \$300,000 or more must provide an audit. A Letter of Opinion from a Certified Public Accountant must accompany either of these.
- **Budget** - a detailed annual budget approved by the agency's governing body, translating program plans into financial terms.
- **Clarity of Program Outcomes** - measurable outcomes that can reveal that the program is meeting the needs of the population it serves.

- **Compliance with USA Patriot Act** –Each funded agency will submit in writing their compliance with the spirit and intent of the USA Patriot Act.

IV. OVERVIEW FOR NEW AGENCIES

Partnership with St. John United Way is open to nonprofit health & human service organizations serving the parish. Organizations considering partnership should rely upon appeals to the public for financial support; be independent, viable, functioning organizations in their own right; be seeking a long-term relationship with United Way; and offer services consistent with United Way's current program emphasis. (See eligibility requirements listed under Section V.)

Decisions concerning admission as a United Way partner agency will be guided by a determination of community needs, availability of the same service through existing agencies, and the availability of funds for adequate support of present and proposed programs.

United Way support is intended for an agency's current operating program expenses for the fiscal year in which support is given.

Partner agencies are expected to follow the United Way Fund Raising Guidelines. (See Fund Raising Guidelines listed under Section VIII.)

V. ELIGIBILITY REQUIREMENTS

Agencies must comply with the following minimum requirements and provide supporting documents to demonstrate compliance:

- **By-laws** - The agency must have bylaws which clearly define the agency's purposes and functions; its organization; and the duties, authority, and responsibilities of its governing body and officers.
- **Articles of Incorporation** - The agency must be incorporated as a nonprofit health or social welfare organization or chartered as a local unit by an organization so incorporated.
- **Tax Exempt Status** - The agency must be tax exempt under Section 501(c) (3) of the Internal Revenue Code. This status must have been in place for two years as of July 1 of the funding year and the agency must have been in operation for two years as of July 1 of the funding year if that the agency is applying for allocations.
- **Governing Body** - (See explanation of Board in "Basic Standards", page 3)
- **Personnel** - The agency should employ a director. A volunteer may serve in the position of executive director but must demonstrate the ability to dedicate adequate support to the program. The agency must demonstrate that it has (1) a current written statement of personnel practices approved by its board and available to the entire staff; (2) written job descriptions for each staff position.
- **Nondiscrimination** - The agency must have, in compliance with the Equal Employment Opportunity Act of 1972, a written Affirmative Action Plan for employment of staff. The agency must also practice nondiscrimination in the employment of staff, recruitment of board volunteers, and delivery of services to clients, and will be required to comply with any legal mandates.
- **Continuity** - The agency must have been providing services on a continual basis for at least two years from the date of incorporation.

- **Special Conditions** - When a new agency seeks to meet a need that is not currently met by an existing agency, start-up grants may be approved on a one-time basis not to exceed \$5,000.00. In addition, special grants may be awarded on an individual basis for specific projects and/or programs, upon the approval of the Executive Committee.
- **Financial Condition and Accountability**
 - a. Financial Stability

The agency shall present documentation of its financial condition. The financial documentation must specifically show that there are or will be adequate financial resources to sustain current operating expenses. The agency must be able to demonstrate evidence of financial support from the community and a strategy to develop alternate sources of funding.
 - b. Accounting/Audit - (Please see Audit in “Basic Standards”, page 3)
- **Applications** – Applications for Funding by SJUW are through an online process. All applications must be submitted by the application deadline. SJUW staff will make themselves available to assist agencies seeking funding in the completion of the online process. If the agency wishes SJUW staff to informally review their online application prior to submission for omissions, such requests should be made at least 5 working days prior to submission deadline. After submission, the application is considered closed and revisions to the application will not be considered.
- **Agency Understanding of Policy** - In order to assure understanding and cooperation between SJUW and Partner Agencies, a copy of this Policy Manual for Partner Agencies will be posted on our website for agencies to have access to at all times. Be sure to check annually for any changes or updates. In addition, a printed copy is available to any organization upon request. If you should have any questions about any portion of this policy, don't hesitate to ask.

VI. APPEALS AND GRIEVANCES

If an agency wishes to appeal their allocation, they must submit such a request in writing to the SJUW Executive Director no later than 30 days subsequent to the date listed on the allocations notification. Agencies contemplating appeal should bear in mind that the initial judgment of the Community Impact Committee will be respected unless it is clearly demonstrated that the agency has a valid basis for an appeal. The reasons for the appeal must be cited and accompanied by fully substantiating data.

Prior to a hearing with the board, the agency executive shall be required to meet with the Allocations Chairperson or his or her designee in an effort to achieve greater understanding of the agency request, pursue alternative methods of resolving the agency's concerns, and advise the agency of additional information that should be provided to the committee if the agency wishes to proceed with its appeal.

To be considered a valid basis for appeal, the reasons must fall within one or more of the following categories:

- That new data or information not available during the regular budgeting process justifies an appeal for reconsideration.
- That there was a factual error or misunderstanding by the United Way in the evaluation or interpretation of the original agency request for funds.
- That there is a clearly demonstrated need for new interpretation or further explanation by an agency that merits reconsideration of its situation.

VII. EMERGENCY FUNDING

The Board of Directors sets aside a small emergency reserve. These funds are used to in addressing emergencies that could prevent the agency from being able to continue their service or other unanticipated events. The agency may request such funds by a letter to the chair of the Community Impact Committee.

VIII. FUND RAISING GUIDELINES

The United Way provides a major portion of the local program support for some partner agencies. It is important to maintain a reasonable balance between the services provided by United Way agencies and the financial resources of the community.

- Fees for Service
 - a. Agencies should establish realistic dues and fee policies that are feasible from the standpoint of their program objectives and which will help maximize their income.
 - b. In general, the fee policies should ensure that clients are not deprived of service because of inability to pay. Full realization of potential income from those who can afford to pay permits the use of contributed funds to provide maximum service for those unable to pay.
- Solicitation Brochures and Letters - solicitation brochures and letters shall call attention to the agencies' partnership with St. John United Way.
- A Partner Agency shall not solicit employee groups
- In extraordinary circumstances, a Partner Agency may apply to St. John United Way Board of Directors for a waiver to conduct fund raising outside these guidelines. Waiver applications must be submitted in writing, and will be considered by SJUW's Board of Directors at the next scheduled meeting.
- St. John United Way supports special events organized by volunteers and discourages the use of paid fund raising organizations.

General Guidelines for Capital Fund Drive/Endowment Fund Campaigns

The United Way Board of Directors, through recommendations of the Community Impact Committee, is charged with establishing guidelines; reviewing partner agency fund raising proposals; and monitoring compliance of these guidelines. These guidelines are for operating, capital fund and endowment fundraising.

- **Definition** - The **capital project** is the acquisition of real property or major equipment including the construction, expansion, rehabilitation, and equipping of facilities, the liquidation of debt, or the initial start-up costs for the project for which funds are being raised. A special campaign to raise funds for these purposes is considered a **Capital Fund Drive**. An **endowment project** is the organized effort to solicit funds to be placed in a permanently restricted endowment or trust fund. While increasing endowment may be an ongoing effort of the agency for bequests, codicils to insurance and charitable remainder trusts naming the agency; an **Endowment Fund Campaign** has an announced goal and timetable.
- **Notice to United Way** – Partner agencies shall provide the following information to St. John United Way before mounting a capital fund drive or an endowment fund campaign:
 - a. The name of the agency and the name and phone number of the Capital Fund/Endowment Fund Raising Committee Chair.
 - b. The nature of the project (including documentation of need, amount of expected expenditures, analysis of impact of new or improved facilities on programs and operating budgets of the agency, and breakdown of target groups to be solicited).
 - c. Amount targeted and Dates of solicitation

The United Way recognizes that these matters cannot all be defined in advance. Transparency and communications between agencies and the SJUW is critical in meeting the needs of the parish and is always important, but may rise to the level of critical when an agency embarks on a major capital campaign or endowment effort.

IX. SANCTIONS

In the event that member agencies fail to comply with any St. John United Way guidelines, the Community Impact Committee may:

- Work with the agency to ensure program stability and financial ethics are achieved.
- Defund the agency.
- Deny future applications for partnership.

X. MISCELLANEOUS RESPONSIBILITIES OF AGENCIES

- Display **St. John United Way** Partner sign prominently at agency site.
- Include **St. John United Way** logo on all printed materials such as letterhead, brochures, and other program related materials.
- Mention that you are a St. John United Way partner agency at every opportunity, i.e., press releases, TV appearances, public speaking engagements.
- Provide speakers from your agency (staff and volunteers) for St. John United Way campaign (work site employee meetings).
- Utilize the **St. John United Way logo on the agencies website**, Facebook page, and other social media sites utilized by the agency.
- The agency must agree to participate in the United Way Campaign in St John Parish and provide the opportunity for payroll deduction.

XI. GUIDELINES FOR USING THE UNITED WAY BRANDMARK

Unauthorized use of this registered Trade Mark is strictly prohibited. Usage will be monitored for compliance with the following standards:

- The brand mark (logo) may not be altered in any form. For example, the text “United Way” may not be separated from the visual element (i.e. the hand/rainbow symbol). Also, no artwork or text may be added to the mark.
- When you use the localized United Way (with the text “St. John United Way”) you may not add additional text or break apart the text from the logo. If your agency/program is funded by more than one United Way it can be acceptable that you use the standard (non-localized) brand mark on printed material that is planned to be distributed in other parishes in addition to St. John provided that St. John United Way is identified elsewhere in the copy.



Placement

- The brand mark must not be rotated or skewed or used in a vertical position.

Color palette

Give these color parameters to your printer

United Way Blue

Spot Color: Pantone 287

Process Color: C: 100 M: 74 Y: 0 K: 0

RGB (for screen/web site) R: 16 G: 22 B: 127

If you have any questions, please contact John Olynick at 985-651-9118.

Email: jolynick@stjohnunitedway.org

XII. ITEMS TO BE INCLUDED* IN AN AGENCY ALLOCATION REQUEST FOR FUNDING:

- Agency name and address
- Agency Mission Statement
- Proof of 501c3 status
- Anti- terrorism certification (Patriot Act)
- Executive Director's commitment to support the SJUW fundraising effort and to conduct an annual employee campaign for the United Way in the fall
- Description of the way the agency recognizes St. John United Way support
- List of Board of Directors with contact information
- Name of the board member from St. John Parish
- Copies of the 2 most recent board meeting minutes
- Copy of the agency's most recent annual report
- Copy of most recent audit (see AUDIT page 3 for exceptions)
- Copy of the most recent IRS 990
- % of expenses related to administration (general + fundraising)
- Description of the client target population of the agency
- The total amount of funding sought
- Program description and current and projected budgets for that program as it relates to St John parish specifically (including all direct and indirect expenses and revenue)
- Clear description or the measurable outcomes that the program for which the agency is seeking funding
- Explanation of how the agency measures those outcomes
- Number of clients served by each program requesting funding

* Subject to annual changes and modifications

XIII. ST JOHN UNITED WAY COMMUNITY IMPACT TIMELINE

- Mid February: Application Workshop for agencies
- Mid-March: Applications Due
- Mid-March-early April: Community Impact Committee/Staff Review Agency Requests
- Early April: Community Impact Committee meets to discuss/review, and select agencies to be invited to site visits
- Mid April: Volunteer Site Visit Team Training
- Late-April: Agency Site visits
- Early May: Presentation of site visit team recommendations to Community Impact Committee
- Mid May: Community Impact Committee Meeting to finalize Recommendations
- Late May: Allocation recommendations of funding to Board of Directors
- June Notification of funding to agencies
- June 30 Final report from agencies for 4th quarter prior year allocation
- Sept 30- Oct 10: First report from agencies for new allocations period