

**GIVE. ADVOCATE. VOLUNTEER.  
LIVE UNITED** 

United Way of Wapello County  
224 East Second Street, Suite 1  
P.O. Box 1778  
Ottumwa, IA 52501  
Phone: 641.682.1264  
Fax: 641.682.6199  
Website: [www.wapellocouw.org](http://www.wapellocouw.org)  
Email: [uwwc@wapellocouw.org](mailto:uwwc@wapellocouw.org)



## **Community Impact Partner: Organizational Benefits and Accountability Guidelines**

## ABOUT UNITED WAY OF WAPELLO COUNTY

### Vision Statement

Living united in thriving communities where education, income and health are priorities.

### Mission Statement

United Way of Wapello County will advance the common good of our communities by making lasting measurable improvements to education, income and health.

### Introduction

United Way of Wapello County has been a leader in the community since 1965 with a mission to “mobilize the caring power of our community.”

United Way started a complete transformation more than ten years ago, returning to our roots and focusing on our original mission. Our system transformation refocused us on our real work; improving people’s lives. Since our shift to the Community Impact Model, the United Way system has been working to address the root causes of the most pressing issues facing our community.

United Way brings diverse people and resources together to address the most urgent issues our community faces. Through unique partnerships and approaches, United Way mobilizes resources beyond the dollars that are pledged through our fundraising efforts. Community partners often include schools, governments, businesses, organized labor, financial institutions, voluntary and neighborhood associations, community development corporations, and the faith community.

Today, United Way is working to advance the common good of our community by focusing on education, income and health. These are the building blocks for a good life – a quality education that leads to a stable job, enough income to support a family through retirement, and good health.

Our goal is to create long-lasting changes that prevent problems from happening in the first place.

To help achieve this goal, United Way of Wapello County conducts an annual county wide community giving fundraising campaign. Funds raised are used to address community impact indicators/targets focused on education, income and health in Wapello County and are awarded through an annual Request for Proposal process.

501(c)(3) not-for-profit organizations who provide and administer programs that align with the community indicators are invited to apply for program funding. If a program is awarded funding, the organization is then recognized as a United Way of Wapello County Community Impact Partner and benefit in the following manner:

### COMMUNITY IMPACT PARTNER ORGANIZATION BENEFITS:

Your organization will have the benefit of your association with UWWC, an organization recognized and trusted to create positive change and advance the common good in Wapello County by creating opportunities for a better life for all. You have access to resources which include but are not limited to:

- Exposure of organization’s name and mission to over 15,000 individuals annually.
- Specialized training in board development, grant writing, outcomes and other non-profit management issues.
- Collaboration with other organizations focusing on advancing the common good in Wapello County.
- Access to a skilled volunteer consultant through the UWWC Volunteer Connection Center Associate.
- Volunteer Resource Library
- Recognition of your work on UWWC website, in the media, in printed materials and presentations.
- Invitation for agency employees to participate in UWWC’s campaign.

- UWWC promotes services of its Community Impact Partner Organizations through campaign, year-round literature and publications, workplace programs and media efforts.
- Initiate, and when appropriate, manage special fundraising efforts for problems identified as a priority for the community.

## COMMUNITY IMPACT

United Way of Wapello County (UWWC) is on an important journey toward investing its finite amount of resources in specific measurable achievements. We have strategically chosen this journey for the following reasons:

### Current social conditions in our community.

- It is necessary to address not only the symptoms, but the root causes.
- Donors and funders seek evidence that their investments are making a measurable difference.
- Focusing on measurable improvements will increase the likelihood of success.
- Focusing on results will help determine what resources are needed to achieve success.
- Finite resources must be invested in strategies that work; and,
- It takes communities working together, sharing responsibility, and accountability, to create lasting change in community conditions.

The journey towards Community Impact represents necessary change and we are committed to its implementation in a positive and effective manner. We have learned that this process is evolutionary and is best done step-by-step. We engaged a variety of community members through the Community Needs Assessment, to help us identify the results we plan to achieve in Wapello County. These community members helped increase our understanding of the challenges and opportunities that this change represents for Wapello County. We have made a series of decisions based on this understanding.

United Way of Wapello County will:

- Strengthen existing partnerships and establish new relationships with health and human service organizations.
- Redefine partnerships to include more than money.
- Increase our circle of partners, funded and not funded.
- Measure success not just at the programmatic level, but at the community level.
- Focus on creating lasting change in critical community issues.
- Increase awareness of the need to achieve measurable results in critical community issues.
- Foster collaboration on critical community issues.

We have indicated that to achieve progress toward our goals, we must approach working in three broad areas, the building blocks of a good life. The three building blocks are:

**Education** – helping children and youth achieve their potential.

**Income** – promoting financial stability and independence.

**Health** – improving people's health.

United Way's strategic response will focus on creating measureable opportunities for Wapello County to succeed and thrive. As a result of this we will direct the majority of our resources to the three goal areas: Education, Income and Health.

We believe that progress can be made on the issues most important to Wapello County when:

- Our work is aligned with our mission.
- We authentically engage and mobilize our community.
- Nonprofit, private and public sectors are in alignment.
- A variety of approaches are employed to make change happen.

Using community input, the community goals adopted by UWWC include specific outcomes and indicators with which to measure progress. United Way of Wapello County believes that these will move

the community towards this aspiration and thus will serve as the focus for community investment funding decisions.

UWWC will invest resources into effective, sustainable, evidenced-based programming that will meet specific goals and anticipated outcomes for achieving community impact. Funding will be directed toward programs that can demonstrate meaningful and measureable results in achieving these goals. Funded programs will be required to be achieving and reporting measureable outcomes to demonstrate effectiveness and accountability to donors and the community.

### **ORGANIZATIONS ELIGIBLE TO APPLY FOR COMMUNITY IMPACT GRANT FUNDING**

All applicants must meet the following minimum requirements:

- Be a non-profit, tax-exempt organization as determined under the Internal Revenue Code Section 501 (c)(3);
- Comply with all regulations and laws of the state and federal government pertaining to the proper licensing and requirements of non-profit organizations.
- Be incorporated or chartered under appropriate local, state or federal statutes.
- Abide by federal and state laws regarding non-discrimination and anti-terrorism.
- Must agree to abide by UWWC Community Impact Partner: Organizational Benefits and Accountability Guidelines.
- Provide programs that address UWWC identified indicators and are located in and serve the residents of Wapello County.
- Maintain an active, volunteer board with a minimum of 5 board of directors that meets at least four times a year, makes policy decisions and holds election of officers.
- Have an administrative structure with defined lines of responsibility, a mission statement and bylaws.
- Be financially stable, perform a regular budgeting process, follow GAAP (generally accepted accounting principles) standards and be able to submit audited financial statements by an independent auditor and IRS Form 990.
- Agency must have been in existence for at least one year at the time of the application submission.
- Be able to demonstrate effectiveness of its programs/services through measurable outcomes.
- The Board of Directors of the Community Impact Partner Organization will directly administer programs within the United Way of Wapello County's Community Impact Agenda for Change.

### **ORGANIZATIONS NOT ELIGIBLE TO APPLY FOR COMMUNITY IMPACT GRANT FUNDING**

as evidenced in their articles of incorporation:

- Primarily political in nature.
- Provide program services limited to the members of a particular religious group.
- Exist primarily to advocate particular religious beliefs.
- Organizations whose primary mission/purpose is fundraising.

### **PROGRAM ELIGIBILITY GUIDELINES**

#### **Community Impact Funding Priorities**

United Way of Wapello County is focused on funding effective, sustainable, evidence-based programming that will support positive community change and will help achieve the aspiration of making Wapello County a community of hope and opportunity, where every individual and family lives, works and thrives.

UWWC will address the most pressing needs in our community by investing in new and existing programs to produce measurable, effective outcomes. With community input, the community goals are focused on the priority issues critical to our community's well-being; each goal includes outcomes and indicators of success.

**EDUCATION** - Helping children and youth achieve their potential through education

#### **Primary Indicators:**

% of 3-5 year olds with 3 or 4 (of 4) school readiness skills

% of children or youth who have improved access to quality, affordable child care and early learning opportunities

% of at risk youth that were provided with after-school or mentoring programs

**INCOME** - Helping families become financially stable and independent

**Primary Indicators:**

% of lower-income working families that are supported by basic needs while increasing financial education

% of hardworking people obtaining job training and family-sustaining wages

% of individuals who increased their income

**HEALTH** – Improving people’s health

**Primary Indicators:**

% of individuals who have reduced risky behaviors, child abuse and domestic violence

% of individual increasing health education and preventive care

% of children, youth or adults who receive timely, regular and preventative health care including mental health

**COMMUNITY IMPACT INVESTMENT TEAM REVIEW PROCESS**

Proposals will be reviewed and scored using a quality assessment tool. Percent of the score will be based upon the quality of the program, how well it aligns with the community goal, and its ability to deliver on the relevant outcomes. UWWC Community Impact Investment Team members will review, score and make recommendations to the UWWC Board of Directors. The UWWC board will make final funding decisions. Volunteers will be screened to ensure they are free of conflict or perceived conflict of interest and will base their recommendations for funding on the overall assessment score, the clarity and thoroughness of proposals and the evidence or likelihood that the program is/will be successful at meeting the community goal. Funding decisions are final.

**COMMUNITY IMPACT PARTNER ORGANIZATION RESPONSIBILITIES AND ACCOUNTABILITY GUIDELINES**

**Accountability Review**

The Accountability Review Team will review agency materials such as agency financials, 990’s and audits to ensure that all organizations receiving funding through United Way are financially sound and have appropriate policies and procedures in place. In the event there are questions or concerns, these will be addressed with the agency. The ART will also provide updates to the appropriate UWWC volunteer teams. The Accountability Review Team employs an accountability checklist to ensure a consistent review for CIPOs.

**Communication**

On-going communication is necessary for positive partnerships. The agency will agree to notify UWWC staff if funded program(s) experiences any significant changes including but not limited to:

- Agency leadership
- Contact information
- Financial stability or ability to deliver programs
- Program structure which includes
  - Program model
  - Intended outcomes or indicators
  - Intended target population
- The agency will agree to notify the same UWWC staff, in writing, of any changes in program structure that may affect the delivery of the funded program prior to implementing the proposed changes. **Failure to do so may jeopardize funding.**

**General Appeals**

- Grant Funding decisions are final and therefore, no appeals shall be accepted.

- An agency may appeal a UWWC action involving, probation, funding suspension or de-funding by submitting a written statement to the UWWC Chief Volunteer Officer or the Community Impact Chair within 30 days of receiving notice from UWWC.
- The appeal statement should include the following:
  - statement of decision being appealed,
  - rationale and supporting data for the appeal,
  - evidence that the appeal was discussed and approved by the agency's board of directors, and
  - signatures of the agency's Chief Volunteer Officer and Chief Professional Officer.
- An ad-hoc committee appointed by the UWWC Chief Volunteer Officer will consider the appeal.

### Grant Distribution Payments

- UWWC operates on a calendar year from January 1 – December 31. Community Impact Partner Organizations will receive one-twelfth of the sum of Community Impact Program grant distributions on or about the 15th of each month with the exception of the January distribution which will be processed by January 30.

### Reporting Compliance

The agency will agree to submit financial, programmatic and other reports as requested. This includes:

- Mid-year-report – including a report on outcomes achieved, updated and/or revised budget, use of designated dollars, and demographic information showing consumers served by program.
- Year-end-report - including a report on outcomes achieved, updated and/or revised budget, use of designated dollars, and demographic information showing consumers served by program.
- Maintain updated information in United Way 2-1-1 and Volunteer Connection databases at least annually or as significant information changes.

It is expected that all requested materials, whether for reporting or application purposes will be delivered on time and in the requested format. In the event of late or incomplete submissions, the following series of actions will be taken:

#### **First time** - Communication to Agency and withholding of distribution payment.

Letter sent to the Agency Executive and the Board of Directors outlining noncompliance with deadlines, incomplete applications etc. The board will be asked to respond with a letter as to how they intend to correct the situation. Funding will be withheld until the situation is corrected.

#### **Second time** - Financial Penalty

Late submission of any required documents from community impact partner organizations will result in a 25% negative adjustment to the monthly distribution check and all funds will be withheld until the situation has been satisfactorily corrected. A letter will be sent to the Board Chair outlining 2<sup>nd</sup> offense of noncompliance. The Board Chair will be asked to respond with a letter as to how they intend to correct the situation. The organization will be given up to 30 days to submit required materials. If the organization does not submit required materials in the allotted time, the UWWC Board reserves the right to de-fund the program and reserves the right to terminate Community Impact Partner Organization status if deemed necessary.

### Probationary Review

A Community Impact Partner Organization may be placed on Probationary Review if the Accountability Review Team or the Community Impact Investment Team has identified problems with the organization's capacity to deliver services for which funds have been awarded.

Problems may be in the areas of:

- lack of progress on proposed outcome measurement
- poor agency administration
- fiscal mismanagement
- failure to operate according to Community Impact Partner Organization: Benefits and Accountability Guidelines

The Impact Cabinet will forward information about such problems to the UWWC Executive Committee and Board of Directors, which will establish a Probationary Review Team. This team may include representatives from: the Accountability Review Team, an Impact Team, Impact Cabinet, UWWC Executive Committee, UWWC Board of Directors, or other groups or committees deemed appropriate. The Probationary Review Team will research the issue and report to the UWWC Board of Directors within 90 days. Its research may include:

- meeting with agency board members,
- meeting with agency executive committee members,
- reviewing the agency's relationships or activities with other human service organizations in the area,
- reviewing agency's relationships or activities with other funders,
- reviewing agency's relationships or activities with agency clients or members, or
- other actions deemed appropriate and necessary.

The team will recommend action to the UWWC Board, which may include:

- Discontinuing program funding and Community Impact Partner Organization status.
- Placing the agency on probationary status with ongoing meetings with the Probationary Review Team for technical assistance and to monitor improvements. At the end of probation, the team can either release the agency from probationary status and the agency may apply for funding during the next funding cycle or the Probationary Review Team may recommend ineligibility to apply for further funding.
- Other action deemed appropriate by the UWWC Board of Directors.

## **Donor-Directed Contribution Program Policy**

### **Overview**

United Way of Wapello County's mission is to improve lives by uniting the caring power of our community. Its goal is to advance the common good in Wapello County by focusing on the three building blocks for a good life: education, income and health. United Way's fund raising strategies, including its annual workplace and public campaign, provide monetary resources to support its mission and goals. United Way is aware that some donors choose to direct their contributions. For the past several years, the Donor-Directed Contribution Program (formerly known as the Donor Choice Program) has provided the mechanism for that choice. United Way's pledge form provides the option for individual donors to direct part or all of their pledge to a specific health and human services agency or agencies, and multiple donor directed contributions are allowed. In the event an individual's employer does not use United Way's pledge form, a separate Donor-Directed Contribution Form is available upon request from United Way. Only personal contributions from individual donors may be directed, and an employer match, if available, does not follow donor-directed contributions. Negative designations are not honored.

**Agency Eligibility** – Participating organizations must meet and adhere to the following guidelines to qualify for designations:

- (1) The organization is a 501(c)(3) tax-exempted organization.
- (2) The organization provides or promotes health or human services. The Donor-Directed Contribution Program is not available to political or religious causes, educational institutions, recreational, scientific, animal welfare or cultural operations, missions and/or goals. If the charitable function of an organization is unclear or in dispute, the Internal Revenue Service "Activity Code" will be used to determine agency eligibility as a provider or promoter of health and human services.
- (3) The organization must have a presence within the state of Iowa and serve people within the state of Iowa. An Iowa-based Post Office box or "800" phone number does not constitute State of Iowa presence.
- (4) United Way of Wapello County must have a completed Donor-Directed Contribution Program Application from a participating agency.
- (5) United Way of Wapello County will ask participating agencies to submit a completed Donor-Directed Contribution Program Application at least every five years in order to determine ongoing eligibility to receive donor-directed contributions.

(6) All 501 (c)(3) donor-directed contribution participants must annually sign a form indicating compliance with the U.S. Patriot Act and all other anti-terrorism laws.

### **Program Administrative Activities**

United Way administers all donor-directed activities: agency-eligibility screening, pledge processing, contribution fulfillment, income tax receipting, and distributions. United Way's administrative fee for these services is 11.55 percent for 2011. Distributions of donor-directed contributions follow a quarterly schedule beginning in April 2012 following the completion of Campaign 2011. Distributions reflect payments received from donors at the time of each scheduled distribution; however, the amount a 501(c)(3) non-profit receives is reduced for non-collection from donors (5% in 2011) and by the administrative fee discussed above. If total designations to an 501(c)(3) non-profit are under \$125, all designations will be paid in the 4th distribution period. United Way will provide each 501(c)(3) non-profit receiving donor-directed contributions with a complete listing of donor names, addresses and designation amounts if the donor has waived anonymity. United Way will issue donor tax receipts required for IRS charitable deduction compliance, regardless of whether a donor designates all or part of his/her pledge through the donor-directed contribution program.

### **Marketing and Participation**

- Community Impact Partner Organizations agree to participate in UWWC events such as Day of Caring/Campaign Kickoff, Campaign Celebration, Community Volunteer Awards and Annual Celebration/Recognition and other events.

### **The organization agrees to:**

- Co-market its relationship with United Way. This includes:
  - Featuring the accurate UWWC logo on agency materials and website.
  - Display of United Way logo at agency sites.
  - Highlight United Way of Wapello County partnership in materials and media coverage.
  - Comply with UWWC's logo guidelines (located on the UWWC website at [www.wapellocouw.org](http://www.wapellocouw.org) )
  - Clearly identify the affiliation with UWWC when applying for funding from government of foundation sources.
  - The agency will agree to identify and provide success stories to UWWC for use in publications and media coverage.
- Actively participate in UWWC campaign by:
  - Conducting an employee campaign among agency staff;
  - Promoting leadership giving to the UWWC campaign among agency executives, board members, and personnel;
  - Promoting employee campaigning for UWWC via payroll deduction at the workplaces of its board members;
  - Assisting UWWC in its campaign efforts by conducting on-site tours, providing appropriate services and providing senior staff members to speak to employee groups;
  - Participating in public campaign events such as campaign kickoffs and final report meetings;
  - Assisting in recruitment of volunteers for campaign activities such as phone-a-thons and canvassing of local businesses to develop a targeted constituency that is interested in both the programmatic and the financial aspects of the agency.
- Refrain from the following:
  - Promotion of donor choice designation option;

### **VOLUNTARY TERMINATION OF COMMUNITY IMPACT PARTNER STATUS:**

An agency that no longer requires or desires UWWC funds should send a letter to the UWWC Chief Volunteer Officer indicating the desire to terminate its partnership. It should include:

- a statement indicating the desire to terminate and the rationale for the decision,
- the date the agency's board of directors discussed and approved that action, and the date in which this will go into effect, and

- the signature of both the agency's Chief Volunteer Officer and Chief Professional Officer. Requests will then be reviewed and approved by the UWWC Executive Committee and UWWC Board of Directors.