

FY2024-FY2026 Partner Agency Guidelines

United Way of East Central Iowa



United Way
of East Central Iowa

Contents

Section 1: Organizational Background	3
Organizational Overview	3
Vision	3
Mission.....	3
Core Values	4
Statement of Diversity & Inclusion	4
United Way of East Central Iowa Code of Ethics	4
Unite to Inspire.....	5
Economic Mobility	6
Childhood Success	6
Access to Equitable Healthcare	7
Safety Net.....	7
Section 2: Community Impact Overview.....	8
Community Impact Staff	9
Measure & Evaluate Results.....	9
Community Collaborations	10
Section 3: Funding Process	12
Proposal Review Criteria	12
Funding Priorities	13
Types of Funding Awarded	14
Community Impact Partner Fund and Women United Fund	14
Contract Funding	15
Other Funding.....	15
Funding Approval.....	15
Section 4: Request for Proposal Process.....	15
The RFP Process Steps	15
Step One: Letter of Intent (LOI)	15
Step Two: Invitation to apply	15
Step Three: Review of proposals.....	15
Step Four: Small group discussion	16

Step Five: Follow-up with the agency (optional)	16
Step Six: Funding Recommendations.....	16
Step Seven: Board Approval	16
Step Eight: Funding Award	16
Funding Application Timeline	16
Section 5: Funded Partner Process & Policies.....	16
Accountability Review	16
Documents Reviewed.....	17
When and How to Submit Documents	17
Description of Documents Submitted for Review.....	18
Notification of Delay of Extension Request for Accountability Review.....	20
Annual Reviews	20
Funded Partner Reporting Requirements.....	21
Other Requirements.....	21
United Way 2-1-1	21
VolunteerNow	21
Section 6: Reporting & Application Compliance	21
Probationary Review.....	22
Section 7: Payment Policies & Processes.....	24
Donor Designation Policy.....	25
Scope	25
Guidelines.....	25
Payment of Designated Gifts	25
Sample Donor Designation Letter	26
Other Policies.....	26
Affiliation/Consolidation/Joint Venture/Merger	26
Voluntary Termination of Partner Agency Agreement.....	27
Section 8: Fundraising & Promotion Guidelines	27
United Way of East Central Iowa Agrees to:.....	27
As a Partner Agency, We Agree to:	28

Section 1: Organizational Background

Organizational Overview

United Way of East Central Iowa has more than 100 years of service to our community. Our organization began in Cedar Rapids in 1914 as the “United Charities Campaign”, a program of the Chamber of Commerce. A “one-day only” campaign raised \$21,000 on behalf of four agencies. Since 1914, the organization has experienced many different names and organizational changes, which have allowed it to grow to where it is today.

In 1924, the organization became the Community Chest. The change set the stage for increasing its community participation to include businesses outside of the Chamber membership. The following year, \$80,000 was raised.

The organization joined with the City of Marion and was named the Community Chest of Cedar Rapids and Marion in 1954. That year, \$271,000 was raised to meet the needs of 14 agencies.

The organization underwent another change in 1962 that created a freestanding Board of Directors, and extended service to rural Linn County. By the early 1970’s, more than \$1 million was raised and funds were distributed to 21 agencies.

Twelve years later, the organization joined forces with United Way of America and changed its name to United Way of Linn County to create a more consistent campaign with donors nationwide.

By 1982, the organization grew to support 20 agencies and became United Way of East Central Iowa.

Today, United Way of East Central Iowa raises millions of dollars and supports numerous agencies that represent health and human service programs in Education, Financial Stability and Health. It serves individuals in Benton, Cedar, Iowa, Jones, and Linn County.

Vision

United Way of East Central Iowa is the trusted leader and catalyst for envisioning and creating positive community change.

Mission

Unite the caring power of communities to invest in effective solutions that improve people’s lives.

Volunteer. Invest. Advocate.

Core Values

Expect Excellence: Holding ourselves and others to the highest standards while embracing and learning from challenges

Encourage Growth: Creating greater impact through continual learning and innovation

Engage Community: Connecting with networks and communities to address needs to improve the lives of every person

Exercise Integrity: Acting ethically, honestly, and responsibly

Statement of Diversity & Inclusion

United Way of East Central Iowa emphatically opposes racism, xenophobia, and all types of oppression. It is our goal to improve health, education, and financial stability for everyone across Benton, Cedar, Iowa, Jones, and Linn counties because every single person deserves access to these three pillars. UWECI strives to be a model of diversity and inclusion and regularly assess organizational practices, policies, programs, and processes to reflect this commitment.

UWECI board, staff, and engaged supporters will reflect the diverse populations we represent and advocate on behalf of. UWECI acknowledges that this has not been true in the past and that structural discrimination across the region has led to inequities among oppressed communities. Together, we will demonstrate and value diversity and inclusion, which enrich all.

United Way of East Central Iowa Code of Ethics

United Way of East Central Iowa has earned the trust and confidence of the public through years by demonstrating ethical, honest, and responsible charitable service. We believe the continued success of United Way of East Central Iowa depends upon the conduct of its employees, board of directors, board of trustees and volunteers.

Further, we believe United Way of East Central Iowa should be a model for other nonprofit organizations by adhering to the highest ethical standards of performance, professionalism, and service to our communities. These standards go beyond compliance with laws and regulations.

This code of ethics is adopted as a governing policy for all our operations and is a way of connecting our values and ideals to the work we do every day.

<https://www.uweci.org/wp-content/uploads/2019/11/Code-of-Ethics.pdf>

Volunteer. Invest. Advocate.

317 7th Avenue SE, Suite 401, Cedar Rapids, IA 52401
319-398-5372 liveunited@uweci.org uweci.org

Unite to Inspire



Unite to Inspire

A home of stability creates
a stronger community

In 2021, United Way of East Central Iowa (UWECI) conducted a collaborative Community Impact Assessment (CIA) to listen, identify, and more deeply understand our communities' concerns. After analyzing data, conducting a community survey, and hosting focus groups, UWECI has a deeper understanding of our community's needs. The findings of the CIA concluded the top three areas of priority include: safe and affordable housing, childcare, and safety net services. The CIA guides strategic decisions as UWECI works to foster a community where everyone can thrive: one that is sustainable, safe, and equitable. To learn more about our CIA, visit our [microsite](#).

Our community-driven strategy – Unite to Inspire – was developed to create pathways for success to support an individual or family holistically. UWECI Unite to Inspire strategies focus on four key areas: economic mobility, childhood success, access to healthcare, and safety net services.

We are committed to having aligned, community solutions that address the priority issues together with partners and stakeholders. These solutions are meant to be set together and will be inclusive of individuals and groups in a variety of areas. Each focus area is viewed through an equity lens.

Volunteer. Invest. Advocate.

317 7th Avenue SE, Suite 401, Cedar Rapids, IA 52401
319-398-5372 liveunited@uweci.org uweci.org

Economic Mobility

Eastern Iowans need an affordable and safe home to thrive. High rent rates, a lack of safe housing, systemic racism, and communication gaps prevent individuals and families from achieving stability. Through the Community Impact Assessment, the community shared with us the greatest need in our community is affordable housing.

Economic mobility describes how someone's economic well-being changes over time. An important factor of their mobility includes the stability of their housing. Economic mobility is therefore tied to opportunity and creating pathways from crisis to stability.

Economic mobility can also refer to the changes in economic outcomes for groups of people, or generations over time. Understanding disparities through an equity lens is essential in supporting economic mobility.

UWECI is prioritizing investing in solutions for housing development, access to housing for high barrier households and housing quality, resiliency, and energy efficiency.

UWECI also commits to continuing to invest in other important service areas within economic mobility, such as:

- Skills and supports leading to jobs that provide income needed to be self-sufficient with the opportunity to build wealth
- Adult basic education, post-secondary education, training, and supports required for quality jobs
- Financial services and supports to manage money, save for assets, and purchase/invest in assets.

Childhood Success

Within Eastern Iowa, there is a childcare shortage, and the results of this shortage are overwhelming. This impacts parents and caregivers' ability to work if they do not have someone to take care of their children, which then causes struggles with paying for food, rent, and utilities. Through the Community Impact Assessment, the community shared with us the second most critical need in our community is childcare.

The first years of a child's life set the tone for future success in education, well-being, and economic opportunity and stability. Focusing on early childhood success creates a pathway for children to be successful as children, adolescents, and adults.

UWECI is prioritizing investing in solutions that address accessibility, quality, and affordability of childcare.

UWECI also commits to continuing to invest in other important areas within education, such as:

- Parent and caregiver education and supports
- Before and after school programs
- Mentoring and academic success programs

Access to Healthcare

Healthcare is a critical component of well-being for individuals and families in our community. Disparities in the healthcare field and rising healthcare costs disproportionately affect low-income and marginalized populations. Through the Community Impact Assessment, the community shared that healthcare access was the third greatest need in our community.

UWECI is prioritizing investing in programs that support individuals with disparities in health outcomes to have equitable access to care and resources.

UWECI commits to continuing to invest in other important areas within health such as:

- Physical and mental health programming
- Transportation to medical appointments
- Aging services and support
- Women United and ensuring the well-being of women in need

Safety Net

To holistically support individuals and families, safety net services are needed in addition to housing, childcare, and healthcare. These safety net services are critical to create pathways of success. Through the Community Impact Assessment, the community shared that safety net services are a critical need in our community.

Basic needs such as food, shelter, transportation, and access to healthcare, as well as crisis service for mental health are just a few of many critical needs that are part of safety net services. These services are in place to “catch” individuals and help them bounce back if they fall on hard times.

UWECI is focused on investing in solutions that address safety net supports such as emergency shelter, eviction prevention, transportation, and food insecurity.

Section 2: Community Impact Overview

Purpose of Community Impact

UWECI is committed to create lasting change with measurable improvements for people in Iowa, Jones, Linn, Benton, and Cedar counties. As a convener, collaborator, activator and connector for change, our vision is to create thriving communities where individuals have access to education, financial stability, and healthcare.

- **Convene:** The community around shared goals
- **Collaborate:** To obtain and share information and design solutions
- **Activate:** To set knowledge into action and mobilize our resources
- **Connect:** UWECI's mission to all our work

United Way realizes that to create positive, lasting community change we need to get to the root cause of our most critical needs. It is not enough to find shelter for a family for one night: we must change the conditions that led to homelessness in the first place. This requires the work of our entire community.

Community Impact Key Activities

Community Impact staff engages in assessing community needs, advocacy work, process improvement, community investments, volunteer engagement and grant writing. These are just a few examples of the ways in which the team and the whole organization bring diverse resources to achieving the community goals.

We are deepening our relationships across sectors and networks. Community Impact staff work with many community partners from business, government, neighborhoods, and the nonprofit sector and participate in numerous collaborations at the local, state, and national level.

United Way of East Central Iowa presents an intersecting set of investment areas where programs can contribute to significant outcomes. These areas create conditions for lasting change by:

- Bridging critical gaps
- Enhancing programs
- Building awareness
- Fostering collaboration

Volunteer. Invest. Advocate.

United Way's funded partners are key in making an impact in communities. These programs and services provide expansive work and critical collaboration needed to meet our community goals. In addition, it is not just the services provided, but how services are provided, that makes a critical difference. Our partners work to meet people's needs on a day-to-day basis and make a difference in the quality of people's lives to create thriving communities.

Although United Way of East Central Iowa's decisions regarding the community investment process, including allocations, are made and/or approved by the volunteers who serve on the Solutions Teams, Accountability Review Team, and the Board of Directors, UWECI staff play a crucial role in this process. The United Way Board Chair, President and Vice President of Community Impact are invited to attend and participate in all aspects of the process as non-voting, ex-officio members.

Community Impact Staff

Karey Chase, Vice President of Community Impact

Mystic Henningsen, Data & Research Associate

Angelica Vannatta, Senior Manager, Community Outreach and Engagement

Meredith Hershner, Senior Manager, Community Resource and Volunteer Engagement

Jennifer Comstock, Community Resource and Volunteer Engagement Specialist

Leanna Husmann, Community Resource and Volunteer Engagement Specialist

Elizabeth Skaff, Community Resource and Volunteer Engagement Specialist

Open Position, Community Resource and Volunteer Engagement Specialist

Measure & Evaluate Results

A strong, thriving community is important to all of us. UWECI recognizes the importance of collecting and utilizing data to help us in our impact efforts. United Way measures and evaluates results so donors know their contributions are making the greatest impact in people's lives and strengthening communities.

Community Collaborations

Currently, Community Impact staff work with multiple community partners and participate in numerous collaborations and coalitions. The term “community partner” does not imply a funding relationship. Community partners may be funded or unfunded. UWECI combines strategic funding, advocacy work, process improvement, grant seeking, and coalition building to make and evaluate progress towards creating a thriving community.

One way to ensure we are working to create collaborative community change is by engaging volunteer teams, made up of individuals within the community, to help. These teams have many tasks such as:

- Setting community goals
- Guiding funding priorities of the organization
- Reviewing and selecting the strongest and best strategies to achieve community goals
- Measuring and evaluating results
- Ensuring sound governance and fiscal practices

The following teams play a significant role in supporting the Community Impact team in creating a thriving community.

Committee Descriptions

Accountability Review Team

This committee develops and monitors policy to ensure organizations funded by United Way meet established standards of financial stability, appropriate governance, and sound operational policies and procedures. The committee advises the Solutions Teams regarding any issues within organizations that may not meet standards for financial stability. Reports to the Board of Directors. Staffed by the Community Impact team. Meets monthly, February–May.

Agency Executive Advisory Team

The Agency Executive Advisory team provides feedback and information from partner agencies to UWECI Community Impact staff. The team assists in development of surveys and other information gathering tools. The team assists in planning Council of Agency Executives meetings. This team consists of approximately seven members, each of whom represent a funded partner agency. Chaired by Director of Community Impact and an agency executive. The agency chair is also a board member. Meets quarterly.

Council of Agency Executives

Agency directors that receive funding in key impact areas meet quarterly to discuss shared goals. Agency directors also receive updates on United Way business. Staffed by the Vice President of Community Impact and the President/CEO.

Diversity, Equity & Inclusion Committee

The Diversity, Equity & Inclusion Committee works with staff and volunteer leadership to be a voice for under-invested communities and create inclusive spaces both within the United Way of East Central Iowa (UWECI) organization and the community.

Specifically, it will strategically keep diversity, equity, and inclusion at the forefront of the community. UWECI serves through developing and fostering both a workplace and community culture that accepts and values our differences, infuses equity into every facet of our work, and models inclusivity.

Jones County Volunteer Center (JCVC) Advisory Committee

This committee is charged with overseeing the activities and strategies of JCVC. The committee creates awareness of the volunteer programs by promoting and recruiting community volunteers. Members help identify local and regional monetary and grant resources to support the programs. Meets six times a year. Staffed by the Jones County Community Resource & Volunteer Engagement Specialist.

Solutions Teams

These teams set goals and strategic direction for education, financial stability, and health. These teams review requests for proposals from eligible agencies and make allocation recommendations to the Community Impact Cabinet. The committee reviews trends and topical data, refines outcomes and indicators as necessary, and recommends public policy issues to be addressed. The group collects, evaluates, and reports results at the agency program level. Staffed by the Community Impact team. Meeting frequency changes depending on RFP year.

Workplace Volunteer Council (WVC) Steering Committee

The primary function of the WVC Steering Committee is to help businesses establish, grow, and sustain successful employee volunteer programs and year-round engagement that positively impacts the community. The steering committee provides strategic guidance and develops programming and opportunities for companies to share best practices to create a culture of employee volunteering. Staffed by the Senior Manager of Community Outreach & Engagement. Meets bi-monthly.

Section 3: Funding Process

United Way's investment process is a multi-step process that is put in place to ensure that all are contributing to achievement of the community goals. UWECI conducts a Request for Proposal (RFP) process every three years. In years two and three UWECI conducts an annual review to determine the renewal of funding. Funding each year is determined by the amount of money raised.

Eligibility for Funding

To be eligible for United Way funding through the Community Impact Partner Fund or other means, organizations must demonstrate that they are able to meet all the following requirements.

Be a 501(c)3 entity or an accepted entity that operates for charitable purposes in health and human services.

Serve residents of one of the five counties in United Way of East Central Iowa's service area (Benton, Cedar, Iowa, Jones, Linn)

Be governed by an active, nonsectarian, voluntary board of directors or its equivalent, consisting of members of the general community.

Maintain at least one half-time FTE staff (20 hours per week).

Proposal Review Criteria

Proposals will be evaluated using the following criteria, which will inform United Way's investment decisions:

- **Program Response to Community Needs**
 - Program aligns, supports, and directly impacts current community needs based on the findings of the Community Impact Assessment conducted during FY22.
- **Demonstration of Impact**
 - Demonstrate strong program design with established outcomes through narrative responses.
- **Diversity, Equity, Inclusion, and Accessibility**
 - Must be able to develop and maintain community connections for vulnerable populations and incorporate diverse cultures and identities across programming.
- **Accountability and Review**

- Organization must be in good financial standing, have staff and resource capacity to successfully apply for funding, regularly report on outcomes, and work with UWECI to improve issue area and community outcomes.

Funding Priorities

Our focus is on aligning our funding with community needs. Based on feedback through the Community Impact Assessment, conducted in 2021, four areas of greatest need were identified. These included housing, childcare, access to healthcare, and safety net services. Through this work, Unite to Inspire was developed to target funding solutions to those needs under the focus areas of economic mobility, childhood success, access to healthcare, and safety net services.

Our funding priorities include housing, childcare, access to healthcare, shelter, and transitional housing. This is reflected by awarding 10 points to programs that directly impact solutions in one of these areas.

If your program does not fit within one of the program areas below, that does not mean you are not eligible for funding, priority is given to areas that align with community needs.

Economic Mobility

- Affordable and Safe Housing (10 points)
- Job training (5 points)
- Skill building (5 points)
- Adult education and skill building (5 points)
- Refugee and Immigrant education and support services (5 points)
- Employment training and placement (5 points)
- Financial literacy and training (5 points)
- Legal assistance (5 points)
- Other (5 points)

Childhood Success

- Childcare and access to childcare (10 points)
- Early childhood education and resource (5 points)
- School-based mentoring (5 points)
- Academic achievement (5 points)
- After school programs and services (5 points)
- Mentoring (5 points)
- Other child-based supports and services (5 points)
- Restorative justice in schools (5 points)

- Parent education and services (5 points)
- Other (5 points)

Access to Healthcare

- Counseling services (5 points)
- School-based mental health support (5 points)
- Disability supports and services (5 points)
- Rural senior services (5 points)
- Rural support services (5 points)
- Prevention and early outreach services (5 points)
- Elderly adult independence (5 points)
- Substance abuse and recovery (5 points)
- Medical transportation (5 points)
- Other (5 points)

Safety Net

- Shelter (10 points)
- Transitional housing (10 points)
- Transportation (5 points)
- Food assistance and accessibility (5 points)
- Crisis mental health intervention and response (5 points)
- Other Crisis services (5 points)

Women United

- Patient navigation and coordination (5 points)
- Co-pay and RX assistance (5 points)

Types of Funding Awarded

Community Impact Partner Fund and Women United Fund

Grants awarded from the Community Impact Partner Fund and Women United Fund are commitments for a three-year period. Year two and year three renewal amounts will be based on campaign attainment and outcome performance. Agencies applying cannot receive more than has been requested. The minimum request amount is \$5,000.

The Women United Fund for Access to Women's Healthcare can be applied for within the Community Impact Partner Fund. This fund provides patient navigation and to reduce barrier to women's overall health.

UWECI Partner Funds will not be awarded for:

- Capital campaigns or endowments
- Fundraising events
- Sponsorships
- Sports events

Contract Funding

UWECI will occasionally enter contracts for service delivery. Contract partners agree to deliver a specified number of services or activities. Funds are paid out based on quarterly reports of activities and measures achieved. Pilot projects and Leadership Society Initiatives are the most common examples of contract funding. Such funding opportunities and how to apply will be communicated at regularly scheduled Agency Executive meetings, and via regular UWECI email communications. Recent examples includes Reading into Success and 211.

Other Funding

At the discretion of United Way's board of directors, special funding may be made available through application processes to address emergent needs in the community or unique opportunities that align with United Way's mission and goals. A recent example includes the Disaster Fund to support challenges related to the derecho and COVID-19 pandemic, or requests for emergency assistance.

Funding Approval

All funding decisions are overseen by the Solutions Teams. The Executive Committee reviews these recommendations and submits to the Board of Directors for full approval. All funding awarded by UWECI is made public annually through the IRS Form 990 which is available for public inspection at uweci.org/reports. Funding amounts will be made available to partner agencies upon request.

Section 4: Request for Proposal Process

The RFP Process Steps

Step One: Letter of Intent (LOI)

Applicants must register within eC-Impact, complete the eligibility check list and then complete and submit a Letter of Intent.

Step Two: Invitation to apply

After careful review of the submitted LOI's, United Way of East Central Iowa will issue invitations to submit full grant proposals to those organizations whose proposals are in alignment with the funding priorities. Grant proposals are submitted.

Step Three: Review of proposals

Each Solutions team member will read all proposals in their focus area, complete the scoring tool, and generate comments and questions.

Step Four: Small group discussion

Each team meets to discuss proposals and initial scoring. A list of questions shall be compiled to clarify any gaps or misunderstandings with the application.

Step Five: Follow-up with the agency (optional)

If any questions arise during small group discussion questions will be sent to the applicant for further clarification. These answers will be used to help make funding recommendations.

Step Six: Funding Recommendations

Reviewers will finalize scores and recommendations.

Step Seven: Board Approval

Funding Recommendations are presented to United Way of East Central Iowa's Executive Committee, and Board for approval.

Step Eight: Funding Award

Award or Decline Letters are sent to applicants.

Funding Application Timeline

Learn more about the timeline by visiting our website at: <https://www.uweci.org/what-we-do/our-impact/rfp-funding/>.

Section 5: Funded Partner Process & Policies

Funded partner agencies participate in two review processes each year during years two and three of the funding cycle- the Accountability Review and Solutions Team Review.

Accountability Review

The first type of annual review is conducted by the Accountability Review Team (ART). The Accountability Review Team will review partner agency materials such as agency financial information, IRS Form 990s and audits to ensure that all organizations receiving funding through United Way are financially sound and have appropriate policies and procedures in place in terms of governance, fiscal and reporting accountability, and diversification of resources. The ART will provide updates to the appropriate United Way of East Central Iowa volunteer teams.

The Accountability Review Team reports to the Board of Directors.

The team uses a checklist (based on agency size) to determine if the agency meets generally accepted standards of good governance and administrative practice.

Typically, when concerns arise, or standards are not met the Accountability Review team will engage with the agency in one or more of the following ways:

1. Follow up with the agency staff with questions
2. Request a meeting with agency leadership
3. Following the two steps above, submit written recommendations to the agency with a response deadline.

All questions or recommendations will be documented in writing to the agency.

Documents Reviewed

The Accountability Review team and staff review the following documents:

- Audit or Independent Financial Review
- IRS Form 990
- Board approved annual budget
- Most recent board approved financial statements
- Counterterrorism Compliance Form
- Affidavit of Nondiscrimination

It is incumbent upon each funded agency to provide United Way of East Central Iowa the most up-to-date version of the following documents that are always maintained on file at United Way of East Central Iowa:

- Mission Statement
- Bylaws
- 501(c)(3) Designation letter
- Board Rosters

Additional documents may be requested as necessary for the review process.

When and How to Submit Documents

When

United Way communicates and coordinates with agencies about the timeline for each agency's submissions. Typically, documents are due in late winter, early spring. Agencies are responsible for making sure to meet deadlines or communicating changes in the timeline for availability of required materials. The agency's mission statement, bylaws, 501(c)(3) designation letter and board rosters are required to be current and shall be re-submitted annually or after any revision.

How

To submit documents please visit [e-CImpact](#) and upload required documents.

Description of Documents Submitted for Review

Annual Audit, Independent Financial Review, and Board Approved Annual Budget

One of the three listed materials is required to be submitted by an agency, dependent upon the size of the agencies total budget. Please see the description below to identify which materials apply to your agency:

(One) of the following (Three) Financial Review Documents –

A. If the agency has annual revenue greater than \$500,000 submit an Audit

OR

B. If the agency has annual revenue between \$250,000 and \$499,999 submit an Independent Financial Review

OR

C. If the agency has annual revenue less than \$250,000 submit a Board Approved Budget with accompanying narrative

Include the agency management letter, schedule of findings, and any corrective action plan if relevant.

- Annual Audit – an audit should be conducted by an independent Certified Public Accountant (CPA) according to generally accepted accounting principles (GAAP) which includes an opinion regarding the accuracy of the agency’s financial reports.
- An audit will be required for agencies with greater than \$500,000 in annual revenue. Agencies will submit their most recent annual audit and the accompanying management letter.

OR

- Independent Financial Review – In an Independent Financial Review a management inquiry is conducted by an independent CPA firm according to generally accepted accounting principles (GAAP), including an understanding of internal controls (no walk through) and an analytical review of financials and trends.
- Agencies with annual budgets between \$250,000 and \$499,999 will submit an independent financial review.

OR

Board Approved Budget with Accompanying Narrative – Agencies with annual budgets under \$250,000 will be asked to submit a board approved financial summary that details the use of United Way funds.

IRS Form 990

Agencies will submit a copy of their annual IRS Form 990. If an agency anticipates a delay in the availability of their most recent 990, they should request an extension in writing from United Way of East Central Iowa no later than one month prior to the due date. Requests for extensions should be sent to communitybuilding@uweci.org.

Board Approved Annual Budget

Agencies will upload their annual board approved agency budget. This is different than the program budget required during the RFP application. In past years agencies have been asked to fill out an excel document provided by United Way that contains their agency budget. Going forward, agencies will upload their annual agency budget in the form they normally use. This will be due during the same timeline as the rest of their materials.

Monthly Financial Reports as approved by Agency Board

The board approved financials are financial documents (typically profit and loss and revenue and expense statements that reflect year to date performance against budget and last year) that outline the **most current board approved** financials of the organization. Submit the financials approved at the most recent board meeting prior to the date that your agency is up for review.

Counterterrorism Compliance Form

The Counterterrorism Compliance Form is a document required by United Way Worldwide. The form indicates agency compliance with the Federal Patriot Act.

Affidavit of Nondiscrimination

The Affidavit of Non-discrimination must be submitted annually for the agency to remain eligible for funding. The Accountability Review Team, in their review process, ensures that a current copy is on file.

Agencies with a Fiscal Agent

- Submit a compilation report of the agency and an audit of the supervising agency's financial statements.
- The auditor should prepare a management letter/internal control for the agency compilation independent from that of the supervising agency's audit. The partner agency should not be referenced as limited in scope nor given a qualified opinion within the audit.
- The partner agency may be required to obtain an audit of its financial statements independent from that of its parent agency.
- The partner agency compilation, supervising agency's annual audit, and accompanying letters are due to United Way as outlined above.

Accounting Method

Accrual basis accounting is required for all agencies with annual revenues greater than \$250,000. Cash basis accounting, while not preferred, is acceptable for agencies with less than \$250,000 annual revenues.

Notification of Delay of Extension Request for Accountability Review

If an agency anticipates a delay in delivering any of the items listed above, it should submit a written request for an extension including a reason for the delay and the anticipated timeline for resolution. Requests should be requested through e-CImpact and received no less than 30 days before the due date of the review.

Failure to comply with any of the submission requirements, without an approved extension, may result in the withholding of part or all the agency's allocation payments until the missing requirements are submitted to United Way of East Central Iowa.

Annual Reviews

The second type of review is conducted by the Solutions Team. This is a performance review for all funded partners. The Solutions Teams review the materials submitted in response to Mid-year and End of Year Reporting requirements.

The Solutions Teams review agency proposals and performance to assure alignment with the community goals. The Solutions Teams are responsible for funding recommendations and setting standards for outcome achievement in partnership with staff and agencies. The Solutions Teams use their knowledge about community conditions to evaluate desired outcomes.

Agencies are expected to achieve the goals set at the time funding is confirmed. Agencies are also expected to demonstrate a reasonable connection between the activities engaged in, numbers served, measurement conducted and the outcome desired. If the Solutions Team has identified problems with the organization's capacity to deliver services for which funds have been awarded, the Solutions Team will follow up with the agency in writing or request a meeting with agency leadership and/or staff.

Funded Partner Reporting Requirements

UWECI funded partners are required to report on data twice a year through e-CImpact. See below for reporting requirements.

Mid-year Report (July through December)

- Data (outcomes and outputs)
- Impact stories

Year-end Report (January through June)

- Data (outcomes and outputs)
- Impact stories
- Demographic data

Other Requirements

Partner Agencies agree to maintain updated information in the following applications:

United Way 2-1-1

All agency program information will be updated as requested but no less than annually in United Way's 2-1-1 Information and Referral database.

VolunteerNow

All Partner Agencies which utilize volunteers will register online at uweci.org/volunteernow to complete an agency profile and provide up to date volunteer opportunities as they are available.

Section 6: Reporting & Application Compliance

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:

Protocol for Reporting Compliance

First offense - Communication to Agency

Letter sent to the Agency outlining non-compliance with deadlines, incomplete applications etc. The Agency will be asked to respond with written communication as to how they intend to correct the situation.

Second offense - Financial Penalty

Late submission of any required documents from partner agencies will result in a 25% negative adjustment to the monthly distribution check. The penalty is temporary. The

Volunteer. Invest. Advocate.

withheld amount is released in the next monthly allotment if all required documents are turned in.

Any agency that fails to deliver proposed services or collect and report required data will be subject to review by the Solutions Team. A penalty up to and including a reduction of the annual allocation amount may be applied.

Probationary Review

If the Accountability Review Team (ART) or a Solutions Team finds an agency to be unresponsive or ineffective in addressing concerns, a partner agency may be placed on Probationary Review.

Unresolved Issues such as (but not limited to):

- Lack of progress on achieving proposed outcomes
- Poor agency administration
- Fiscal mismanagement
- Insufficient governance and oversight
- Failure to operate according to Partner Agency Standards and Fundraising Guidelines may lead to a probationary review

If the ART or the Solutions Team have been unable to resolve issues with a partner through the normal review and feedback process, they may choose to pursue a probationary review. The ART and/or the Solutions Team will present their findings to the Executive Committee and Board of Directors, which will establish a Probationary Review Team. This team may include representatives from the:

- Accountability Review Team
- Solutions Team
- United Way of East Central Iowa Executive Committee
- United Way of East Central Iowa Board of Directors
- Or other groups or committees deemed appropriate

The Probationary Review Team will report to United Way of East Central Iowa's Board of Directors within 90 days. The probationary review process 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

- Other actions deemed appropriate and necessary

After 90 days, the team will recommend action to United Way of East Central Iowa's Board, which may include (but not be limited to):

- Recommendations for technical assistance or other corrective action
- Continuation of probationary review
- Discontinuing the probationary review
- Discontinuing program funding and partner agency status
- Other action deemed appropriate by United Way of East Central Iowa's Board of Directors

The probationary review team will communicate the findings and the recommendations to the agency in writing. The probationary period will typically include regular meetings with the probationary review team to monitor progress. Technical assistance will be offered as available and appropriate to assist the agency during this time. At the end of the probationary period, the team can either release the agency from probationary status or move forward into a two-year de-funding process (50%, then 25% funding levels). If the probationary review team is satisfied with the agency's actions and/or progress the committee can decide to restore the program to its original funding level.

General Appeals

An agency may appeal a United Way of East Central Iowa action involving an allocation, probation, funding suspension or de-funding by submitting a written statement to United Way of East Central Iowa's Vice President of Community Impact or United Way of East Central Iowa's Chief Executive Officer within 30 days of receiving notice from United Way of East Central Iowa.

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 Executive Director and Board Chair.

An ad-hoc committee appointed by United Way of East Central Iowa's Vice President of Community Impact or Chief Executive Officer will consider the appeal.

Section 7: Payment Policies & Processes

Once United Way of East Central Iowa's Board of Directors has approved the funding recommendations, a contract is issued between United Way of East Central Iowa 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 for the services. Generally, the funds are disbursed monthly 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. Ongoing funding is dependent upon the specifics of the addendum being addressed in a timely manner.

Prior to issuing any funding, a contract or agreement must be signed and on file with United Way of East Central Iowa. Each of the two copies of the contract is signed by United Way of East Central Iowa President/CEO 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. The funding contract is null and void if not signed by the partner provider within 60 days of the date on the award letter.

Allocations are paid to the partner provider on a regular basis if the contract addendum, if any, is addressed and all compliance documents, including required reports, are up-to-date and submitted to United Way.

Partner Agencies will receive one-twelfth of the sum of Community Impact Partner Fund allocations on or about the 15th of each month. An agency experiencing a cash flow problem may request a one-time advance on its monthly allocation, which may be approved by United Way of East Central Iowa's Board of Directors. The request should be made in writing and include the following information:

- A brief explanation of the cash flow situation
- The expected resolution of the situation (including an estimated timeline)
- A copy of the most recent board approved financial statements.

The advance will be deducted from the end of the funding period. A request may be made to the Board of Directors for consideration. Decisions are made on a case-by-case basis.

Donor Designation Policy

As a service to our donors, gifts designated to a specific agency are processed by United Way of East Central Iowa. It is the policy of United Way of East Central Iowa to review, process, and distribute donor designations on an annual basis as it relates to the Annual Campaign. Unlike gifts made to United Way's Community Impact Partner Fund, United Way cannot guarantee how these funds will be used or provide oversight to ensure measurable results.

Scope

This Donor Designation policy applies to all gifts given to United Way of East Central Iowa and designated to any 501(c)(3) organization. This includes partner agencies and non-partner agencies.

Guidelines

- Donor Designation is defined as dollars going to specific organizations only, not programs or focus areas.
- Designations are allowed to any qualified nonprofit organization as defined in section 501(c)(3) of the IRS Code.
- Agencies that receive designated funds must comply with all federal regulations. Designated funds to agencies not in compliance will be distributed to United Way of East Central Iowa's Community Impact Partner fund.
- Donor Designation dollars are viewed as a separate stream from United Way of East Central Iowa's allocation process.
- Designations need to be specified and submitted at the time of the pledge.
- Minimum amount for each designation is \$100.
- Deadline for submitting designations is January 31st.

Payment of Designated Gifts

- Designated gifts made with cash, check, credit card or stocks are paid to agencies based on cash received at the time of the scheduled designation payout.
- Donor pledges are paid through payroll deduction the following year. One fourth of each designated payroll gift is paid out per quarter based on pledge less the uncollectible fee and cost recovery fee.
- Donor designations are paid out as follows: March, June, September, and December.
- A cost recovery fee is assessed on all pledges and is reviewed and recommended by the Finance Committee annually and approved by the Board of Directors.

- An uncollectible fee is assessed on payroll pledges and is reviewed and recommended by the Finance Committee annually and approved by the Board of Directors. The uncollectible fee does not apply to gifts made with cash, check, credit card or stock.

Sample Donor Designation Letter

United Way of East Central Iowa encourages partner agencies to use a United Way sample donor designation acknowledgement. A sample donor designation letter is available upon request. Please contact United Way of East Central Iowa's Finance Department at 319-398-5372 to request a sample letter.

Other Policies

Affiliation/Consolidation/Joint Venture/Merger

United Way of East Central Iowa recognizes that a partner agency may pursue a relationship with another entity such as an affiliation, consolidation, joint venture, or merger. If a partner agency considers one of the above actions, notification shall be provided to United Way of East Central Iowa.

A meeting will be coordinated with United Way and the entities involved upon United Way being notified of the activity to discuss plans in progress, agencies involved, rationale for actions, implications for funding or measurement of outcomes, and United Ways' expectations for the partner agency and the organization(s) involved.

If involved with an affiliation or joint venture, United Way requires the following:

- All financial materials supplied to United Way shall be specific to the partner agency's financial standing and exclude affiliate service provider information. United Way of East Central Iowa reserves the right to request additional financial records from affiliates when related to review of a partner agency.
- If the new affiliated or merged organization chooses to continue to receive United Way of East Central Iowa funding, the organization must adhere to United Way of East Central Iowa reporting and review requirements as outlined elsewhere in this document.

United Way of East Central Iowa reserves the right to meet with service providers that are non-partner agencies and involved with one or more of the activities listed above to establish additional guidelines deemed appropriate.

United Way of East Central Iowa reserves the right to evaluate the impact of an affiliation/consolidation/joint venture or merger on the fundraising environment in considering its future relationship with the entities involved.

Voluntary Termination of Partner Agency Agreement

An agency that no longer requires or desires United Way of East Central Iowa funds should send a letter to the Vice President, Community Impact indicating the desire to terminate its partnership.

It should include:

- A statement indicating the desire to terminate and the rationale for the decision
- Date the agency's board of directors discussed and approved that action
Date in which this will go into effect
- Signature of both the agency's Chief Volunteer Officer and Chief Professional Officer

Requests will then be reviewed and approved by United Way of East Central Iowa's Executive Committee and United Way of East Central Iowa Board of Directors.

Section 8: Fundraising & Promotion Guidelines

To maximize the overall level of community giving to the voluntary sector, United Way of East Central Iowa and its partner agencies agree to a set of fundraising guidelines.

United Way of East Central Iowa Agrees to:

- Raise funds through an annual campaign on behalf of the partners advancing the common good in a five-county area community.
- Promote the benefits and services of its health and human services partners through campaign, year-round literature and publications, workplace programs and media efforts.
- Promote and support ethical fund-raising efforts,
- Encourage agencies to enhance their revenues for operating and capital purposes, especially through funding resources not readily available to United Way of East Central Iowa.
- Initiate, and when appropriate, manage special fundraising efforts for problems identified as a priority for the community.

As a Partner Agency, We Agree to:

- Promote United Way of East Central Iowa partnership by:
 - Utilizing United Ways' logo in our literature, on our letterhead, in our media efforts, on our premises, and in all communications with the public (including Partners in Charity advertising) Text above logo should read: "Funded by":
 - Tag United Way social media handles in any relevant social media postings.
 - United Way logo on websites, in emails and other digital communications should link to
 - Comply with United Way of East Central Iowa's logo guidelines (please contact United Way of East Central Iowa Marketing Department marketing@uweci.org for further information)
 - Clearly identify the affiliation with United Way of East Central Iowa when applying for funding from government or foundation sources
- Actively participate in United Way of East Central Iowa's campaign by:
 - Conducting an employee campaign among agency staff
 - Promoting leadership giving to United Way of East Central Iowa's campaign among agency executives, board members, and personnel
 - Promoting employee campaigning for United Way of East Central Iowa via payroll deduction at the workplaces of its board members
 - Assisting United Way of East Central Iowa 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 celebration events
- Foundations and Fiscal Agents:
 - Foundations that provide services and 501(c) (3) status to partner agencies or programs are requested to follow the fundraising guidelines for those agencies or programs.