

United Way of Monroe County

Fund Distribution Policies & Procedures

Updated to 10/14/08

VISION

To be a county full of thriving children and families, healthy and self-sufficient people, and vibrant and engaged neighborhoods and communities

MISSION

The United Way of Monroe County leads the way in raising and allocating financial resources for health and human service programs. Our mission is to positively impact community initiatives, engage and empower donors, and promote, foster and employ diverse volunteer resources effectively.

Approved By:	Strategic Planning Committee	April 6, 2004
	Executive Committee	April 26, 2004
	Board of Directors	May 4, 2004

FUND DISTRIBUTION OBJECTIVES

- Responsibly distribute allocable funds generated by the United Way of Monroe County.
- Empower volunteers from the Monroe County area to review, evaluate, and recommend the distribution of funds.
- Gather clear and concise program and financial information from agencies requesting program funding.
- Seek, create, and utilize various tools and data for effective decision-making, such as a community needs assessment.
- Evaluate programs for community need, quality of programs, and achievement of measurable outcomes.
- Establish and facilitate open dialog and collaborations with and between funded agencies.
- Provide assistance to agencies as needed or requested.
- To incorporate outcomes-based results as an evaluation tool to determine effectiveness of all programs

FUND DISTRIBUTION COMMITTEE MEMBERSHIP AND ORGANIZATION

Membership - Membership of United Way's fund distribution committee will consist of no fewer than 24 or more than 48 members. The members will reflect the diverse elements of the community including the social, economic, governmental, racial, religious and geographic representation. A balance of new members and veteran members will be sought for each funding decision cycle.

Organization – The fund distribution committee will consist of the fund distribution steering committee and the four fund distribution panels of no more than *12 volunteer* panel member each.

- a) The Fund Distribution Steering Committee will consist of the *nine committee members* :(*committee chair, four panel chairs, and four at-large members*). In addition, the immediate past chair and the United Way board president shall be ex-officio members of the steering committee with full voting rights.
- b) Each of four panels shall consist of a chair and not less than six or more than *twelve volunteer* panel members.
- c) The Steering Committee Chair is elected to the position each year at the United Way Annual Meeting in June. The chair is nominated by a Board appointed Nominating Committee and voted upon by the Board of Directors gathered at the Annual Meeting. The Chair serves for a period of one year, and can serve up to 3 consecutive years. The immediate past chair may serve up to 2 years as an ex-officio member of the committee. The Committee Chair serves as a member of the Board Executive Committee.
- d) **Panel Chairs and at-large members** of the steering committee will be appointed by the committee chair *for up to six years*, following consultation with and approval of the executive committee of the United Way board of directors. *New members will take office in July after the United Way of Monroe County's annual meeting.* Panel chairs can serve up to 4 consecutive years as chair (This tenure does not include time as a *volunteer* panel member.). Vacancies will be filled by the committee chair in consultation with the executive committee of the board of directors.

- e) **Volunteer Panel Members** are welcomed from the general Monroe County community to represent the breadth of its diverse population. **Volunteer** panel members can serve up to six consecutive years, but are required to rotate from any one panel after two years.
- f) **The Program Eligibility Committee** is an independent committee that reports directly to the Executive Committee. The Admissions Committee will consist of a chair, and four members. The Chair will be appointed by the United Way executive committee, who in turn recruits members for the committee in consultation and approval by the Executive Committee. The Admissions Committee Chair serves for a period of one year, and can serve up to 3 consecutive years. The Admissions Committee Chair will attend meetings and report directly to the Executive Committee to report on the activity of the Admissions Committee. In addition, the United Way board president shall be ex-officio members of the Admissions Committee with full voting rights.
- g) Total dollars available for Fund Distribution will be determined by staff, with a review by the current auditor, and given approval by the Finance Committee before given over for allocations. The Fund Distribution Steering Committee will determine allocable dollars to each target area panel.

STANDARD SUPPLEMENT GUIDELINES – VOLUNTEER PANEL MEMBERS

- 1. *Any panel reviewing a program that is not scheduled for a site visit has the option of calling the agency and requesting a visit and/or reviewing and asking questions.*
- 2. *Each panel will have a mixture of volunteers new and experience*
- 3. *Panel Chairs and United Way Staff will meet to select volunteers for each panel*

TIMEFRAMES

The fund distribution cycle of the United Way of Monroe County is based on post-campaign allocation decisions for funding. Letters of intend for admission will be accepted throughout the year, with review in October/November. Funding application packets will be mailed to all currently funded agencies, as well as any approved admissions, no later than January of the following year. Review by panels will take place in March/April in time to allow review for approval by the Board Executive Committee at its April meeting, and review and approval by the Board of Directors at its May meeting. Funding will commence on July 1st following funding approval, continuing to June 30 of the following year.

ACCOUNTIBILITY

Panels will report their recommendations to the Fund Distribution Steering Committee. The Steering Committee will review these recommendations to ensure the final recommendation is justified with total allocable funds available for that funding cycle. The Steering Committee chair, with assistance from the Steering Committee as needed, will present this recommendation to the Board Executive Committee, and subsequently the United Way Board of Directors for approval. Final approval for allocations funding rests with the United Way Board

DISCRIMINATION POLICY

The United Way of Monroe County is committed to a policy whereby it does not unlawfully discriminate in providing its programs, services, facilities, and employment to the community.

FUND DISTRIBUTION PROCESS AND PROCEDURES

- 1. The fund distribution division shall have power to make rules and regulations for the conduct of its business, as empowered by the United Way of Monroe County Board of Directors.
- 2. A majority of the members of any group of the fund distribution division will constitute a quorum.
- 3. Various tools for program and agency evaluation will be used, including by limited to: community needs assessment, ROMA outcome statements and measurable results, agency and program budgets, program narratives, and site visit presentations.
- 4. Steps for the funding decision-making process are laid out annually in a funding cycle timeframe (see final outline header in this document)

MULTI-YEAR FUNDING GUIDELINES & PROCEDURES – DISCONTINUED November 2008

Purpose

The purpose of creating a multi-year program funding process is to reduce the United Way staff and volunteer time necessary for well made funding decisions. This process will reduce the work required of partners seeking funding for consistently good quality and effective programs.

Approved by the Fund Distribution Steering Committee:	December 7, 2006
Approved by the Executive Committee:	December 19, 2006
Approved by the United Board of Directors:	February 6, 2007
Recommendation to End Procedure – Fund Dist. S Comm.	October 9, 2008
Recommendation to End Procedure – Board of Directors	October 14, 2008

PROGRAM ELIGIBILITY POLICY

The purpose of the Program Eligibility Committee is to evaluate new programs from either currently funded organizations or non-funded 501(c)(3) organizations, and to make a recommendation as to whether that program should receive further review by the fund distribution committee for possible funding. The timetable and criteria for applications is given below. Availability of funding for eligible programs will annually be determined by the United Way Board of Directors based on available funds from the annual fall campaign.

General Guidelines:

1. All 501(c)(3) organizations seeking consideration from the United Way of Monroe County must apply and be approved for funding on an annual basis. To be approved, an organization must comply with the pre-determined criteria (see Program Eligibility Criteria).
2. The agency and/or program must meet an unmet or under met need in the community. Please refer to the most recent Monroe County Assessment of Needs and Assets.
3. The Program Eligibility Process is separate and distinct from the allocations review process for funding. A newly eligible program agency will receive no guarantee of funding, but rather must compete for funding during the allocations process based solely on the merits of the program and as it applies to unmet needs in the community.
4. Currently funded organizations seeking funding for new programs must submit the proposed program through the program eligibility process before consideration by any fund distribution panel for funding.
5. Newly eligible programs will be allowed consideration by the fund distribution for 2 consecutive reviews for funding. If funding is not granted in either of these 2 reviews, the program must again submit an application for program eligibility.

Eligibility:

Program eligibility considerations are based on the applying organization meeting the following:

- Have an active governing body that meets at least four times each year.
- Be incorporated as a not-for-profit with a constitution and/or bylaws.
- Observe a policy and practice of non-discrimination in compliance with federal and state laws.
- Have current tax-exempt status with the IRS as a Charitable Organization 501(c)(3), and be registered with the PA State Bureau of Charitable organizations
- Be willing to abide by all other provisions in the United Way/Member Agency Agreement.
- Prepare an Annual Report or provide an equivalent written summary of annual activity including a comprehensive financial report.
- Have a substantial presence in the Monroe County geographic area covered by the United Way of Monroe County.

Program Eligibility Criteria:

Agencies seeking program eligibility for possible United Way program funding must submit the following criteria before consideration is given:

- Documented proof of 501(c) (3) status with the IRS, and registration with the PA Charities Bureau.
- A list of current officers and board members.

- Provide documentation that the agency and/or program will/is serving residents of Monroe County, with operations office in the county.
- A copy of the agency's mission and the purpose of the program seeking funding
- A letter of intent requesting program eligibility must be submitted by September 30th. The letter of intent should include the agency address, mission, target populations served, specific program seeking funding and the approximate amount of funding the organization is seeking.
- A statement identifying the agency and/or program will address an unmet need from the UW Needs Assessment, and/or add to rather than duplicate currently funded programs.
- Documentation of the agency's non-discrimination policy.

Program Eligibility Timeframe:

The timeframe for review by the program eligibility Committee is based on the current United Way fund distribution cycle. The following outlines the admission process:

- A letter of intent accompanied by the required program eligibility criteria must be submitted by September 30th.
- Program eligibility applications will be accepted and reviewed by the Program Eligibility Committee in late October or early November.
- The Program Eligibility Committee will make recommendations to the Fund Distribution Steering Committee in November.
- The Fund Distribution Steering Committee will make recommendations to the Executive Committee in November.
- Applications will be submitted to the Board of Directors by the Executive Committee for review and approval by vote in December.

Approved By:	Admissions Committee	January 11, 2002
	Fund Distribution Steering Committee	January 11, 2002
	Board Executive Committee	January 22, 2002
	Board of Directors	February 5, 2002

SUPPLEMENTAL FUNDRAISING POLICY

The purpose of this policy is to permit the greatest amount of flexibility to member agencies in conducting their own fundraising efforts, while ensuring the best possible result for the annual United Way Campaign. This policy is founded on a spirit and practice of partnership between United Way and all member agencies, and between the various member agencies.

In order to raise support for member agency funding requirement, all member agencies must join together in support of the Annual Campaign. The United Way expects its member agencies to support the community-wide campaign by:

1. Promoting United Way by providing tours for contributors and potential contributors; providing speakers for campaign activities; providing loaned executives and campaign solicitors (whenever possible); prominently displaying the United Way logo and "A United Way Agency" on its facilities, letterhead, and literature including mailings, solicitations and advertisements. Where possible, recognize United Way funding of said programs.
2. Assisting in the Annual Campaign by encouraging financial contributions from agency executives, volunteers and personnel; by helping in United Way promotional activities; and by soliciting donated time and services from agency supporters on behalf of United Way fundraising activities.
3. Notifying the United Way office of all fundraising activities being planned throughout year, especially during the active period of the United Way campaign, September 1st through December 1st. These dates will be compiled into a calendar to be shared with all United Way partners to help avoid event conflicts during the year. Agency fundraising activities are not explicitly prohibited during the United Way's active campaign period; however, the United Way reserves the right to deny specific agency fundraising activities that are in direct conflict with United Way fundraising during this time. Conflicting activities included but are not limited to seeking gifts from the same source, holding an event on or around the same date as a United Way event, or conducting fundraising activities with workplace-base groups.
4. Program Funding by the United Way is awarded based in part, on an agency being found in compliance with all United Way policies as agreed upon in the agency funding agreement. Compliance will be determined by the Fund Distribution Steering Committee in conjunction with the recommendation of the United Way Executive Director.

Revisions	Fund Distribution Steering Committee	December 13, 2005
Approved:	Board Executive Committee	December 15, 2005
	Board of Directors	January 10, 2006

DONOR DESIGNATION POLICY

The purpose of donor choice is to allow the contributor to be a partner in the fund distribution process. The message to donors will emphasize contributing to the pool of funding for the general well being of the community. Only designations to specific non-profit health and human services organizations registered as 501(C) 3 with the IRS will be accepted.

Beginning with the 2003 Campaign, designations to approved targeted giving areas will be offered to all contributors.

Agencies will not promote designation to themselves anytime throughout the year.

All donor designations, including to currently United Way funded agencies, other United Ways, and non-United Way agencies will share equally in the costs of fund raising, any administration cost for those funds, and the pledge loss/shrinkage of the total campaign. These costs will be based on the previous year’s actual costs. Flexibility of this policy will be given to allow mutual costs between United Ways.

Organizations to receive donor designations will receive notification of designations in the spring immediately following the campaign when the designations were made. Designation payments, which are separate from allocation payments to United Way member agencies, will be made on a quarterly basis, beginning in July and ending in the second quarter of the following year.

In the United Way of Monroe County fund distribution process, designations to member agencies are considered separate from the general allocations pool of funding. Fund distribution volunteers will not be made aware of designations to agencies in their assigned panels. Designations will be reported separately from general allocations in both notification of funding, and in the United Way’s fund distribution report to the community.

Approved by:	Fund Distribution Steering Committee	October 12, 2001	
	Board Executive Committee	October 22, 2001	
	Board of Directors	November 6, 2001	
Revisions			
Approved:	Fund Distribution Steering Committee	February 14, 2003	
	Board Executive Committee	February 19, 2003	December 16, 2003
	Board of Directors	March 4, 2003	January 6, 2004

DONOR PRIVACY POLICY

The United Way of Monroe County cannot release donor and volunteer information such as email, personal addresses, or phone numbers without permission or consent of the donor or volunteer, except to the United Way Board of Directors and the Campaign Committee.

Approved by:	Fund Distribution Steering Committee	August 12, 2005
	Board Executive Committee	September 20, 2005
	Board of Directors	October 11, 2005

CONFLICT OF INTEREST POLICY

Section 1: Definition

A conflict of interest may exist when the interests or concerns of any director, officer, committee or staff member or any party, group or organization in which said person holds a position as an employee, officer, director or partner, may be seen as competing with the interests or concerns of the United Way of Monroe County.

Section 2: Disclosure

Each member of the Board of Directors, committees and staff of the United Way of Monroe County must disclose in writing to the Board any possible conflict of interest. This disclosure must be updated annually.

Section 3: Compliance in Board and Committee meetings

When such conflict of interest is relevant to a matter requiring action by the Board of Directors or its committees, the interested director or committee member shall bring it to the attention of the Board. The interested director will not participate in any discussion or vote on such matter and may be asked to retire from the room in which the board or committee is meeting.

Approved By: Board of Directors
Reviewed

February 20, 1996
April 2001

YOUTH ALLOCATIONS PANEL

Purpose:

The Youth Allocations Panel would be established for the following purposes:

- To alert youth to the met and unmet needs in the community we serve;
- To highlight volunteer opportunities in the community;
- To develop knowledge of the community's human service system;
- To instill a sense of community responsibility, citizenship and empowerment
- To help youth understand the United Way and the key role it plays in Monroe County, and
- To provide a direct opportunity for participation in the United Way decision-making process

Process:

The application process will be open to all admitted United Way agencies. Funds that are allocated in the process must be used for projects that involve youth in their implementation or are designed to address a specific unmet need in the county pertaining to children and youth. At least two adults must be present at all meeting and activities involving the youth allocations participants.

The funding applications will be evaluated on the following criteria:

1. The degree to which the program or project would involve, help, or benefit the youth of Monroe County.
2. Potential for youth involvement, or the positive outcome on youth recipients.
3. The degree of duplication with other services currently available.
4. The potential for sustainable outcomes.

The Youth Allocations Panel is responsible for reporting its recommendations to the United Way Fund Distribution Steering Committee for approval, and for final approval to the United Way Board of Directors. In addition, the panel will be responsible for reporting to each of the school boards and to the general public.

Approved By: Fund Distribution Steering Committee: January 11, 2002
Board Executive Committee: January 22, 2002
Board of Directors: February 5, 2002

APPEALS PROCESS

The United Way of Monroe County does not consider appeals regarding admission or for annual funding decisions.

Approved By: Fund Distribution Steering Committee: May 10, 2002
Board Executive Committee: May 21, 2002
Board of Directors: June 4, 2002

EMERGENCY FUNDING POLICY

United Way of Monroe County Member Agencies may make emergency funding requests at any time to the Fund Distribution Steering Committee for consideration using the following criteria:

- The request must be submitted in writing to the United Way's Fund Distribution Steering Committee, and describe the situation that necessitated the need, the amount requested and possible additional or alternative funding sources.

- Funding will be offered in the form of short-term non-or low-interest loan with repayment requirements as determined by the Steering Committee. The Committee may alter or make adjustments to the terms of the loan on a case-by-case basis at the request of the United Way or the agency.
- The Member Agency must agree to the repayment requirements, meeting any additional conditions set by the Fund Distribution Steering Committee, including defined timeframes, before funds are disbursed. The granting of emergency funds will not affect the base funding level for the program or agency.
- There is a \$50,000 limit on the overall total available for emergency funding, and will be dependent on the United Way of Monroe County's financial situation. Emergency funding will come from the United Way's reserve funds (unrestricted net assets).
- The United Way of Monroe County is under no obligation to provide a loan to any requesting agency, and is under no obligation to renew or expand current loans. Discretion for loan making rests solely within the United Way.
- Recommendations regarding emergency funding requests will come from the Fund Distribution Steering Committee, and must be reviewed for availability of funds by the United Way Finance Committee, receive oversight review by the United Way Executive Committee, and receive final approval by the Board of Directors.

Approved:

By the Finance Committee	4/17/03
By the Fund Distribution Steering Committee	4/28/03
By the Executive Committee	4/29/03
By the Board of Directors	5/6/03

PARTNER AGENCY STANDARDS

Accountability Requirements

- Standard 1** The partner agency will maintain its incorporation as a non-profit organization in the State of Pennsylvania and have tax exempt status under IRS Code 501(c)(3).
- Standard 2** The partner agency agrees to comply with all applicable federal, state and local laws. There are no tax liens against the agency. The agency owes no delinquent federal or state payroll taxes or past due payments to other governmental agencies. There were no adverse actions against the agency by regulatory, licensing, or oversight agencies. All licenses necessary to provide the agency's programs and services are valid and in good standing. The organization must also have additional sources of funding and be adequately sustainable.
- Standard 3** The partner agency maintains by-laws/policies which state the purpose of the agency, make provisions for the size of the Board of Directors, and provide rules for membership, selection, tenure, number of officers and committees, financial and legal procedures and quorum requirements. The agency maintains written general board policies and procedures governing conflicts of interest.
- Standard 4** The Board of Directors is engaged in the organization and serves without compensation and no voting member of the Board is a staff member of the agency; unless the agency has a conflict of interest policy. The Board must also monitor compliance with the agency's mission statement and by-laws.
- Standard 5** The partner agency is committed to a policy whereby it does not unlawfully discriminate in providing its programs, services, facilities, and employment to the community.
- Standard 6** The partner agency prepares an Annual Report or an equivalent written summary of annual activity which will include either an annual audit or financial statements approved by an external accountant.
- Standard 7** The program(s) that the United Way supports has at least one identified outcome, indicators for that outcome and a data collection plan that is used to measure success of the program.
- Standard 8** The partner agency adheres to the United Way supplemental fundraising policy.

United Way of Monroe County Activities Involvement

- Standard 9** The partner agency or its representatives actively participate in the United Way Day of Caring, Super Saturday, and other campaign events in support of United Way of Monroe County.
- Standard 10** The partner agency assists in the Annual Campaign by encouraging financial contributions from agency executives, volunteers and personnel; by helping in United Way promotional activities; and by soliciting donated time and services from agency supporters on behalf of United Way fundraising activities.
- Standard 11** Partner agency representatives, which may include staff or board members attend regular Agency Executive's Association meetings, (4 per year) regular cabinet meetings, (2 per month) and all identified mandatory meetings. Mandatory meetings include; the annual fund distribution volunteer orientation, and community outcomes trainings when available.
- Standard 12** The partner agency promotes United Way by providing tours for contributors and potential contributors; providing speakers for campaign activities; providing loaned executives and campaign solicitors whenever possible.

United Way Partner Branding

- Standard 13** The partner agency identifies itself as a United Way partner agency through the display of United Way logo and name on its physical facilities and on its official stationery, newsletters, brochures, printed advertising, and other printed materials.
- Standard 14** The partner agency identifies itself and each funded program with United Way in news releases, public service announcements, public affairs programs, community presentations and other events, and through any other means, which would be beneficial to both parties.
- Standard 15** The partner agency is to provide a listing of its program outcomes and at least one testimonial (case examples of a person(s) helped through a United Way funded program for the purposes of campaign marketing and promotions.)

Standards Compliance

- Standard 16** Program Funding by the United Way is awarded, based in part, on an agency being found in compliance with all United Way policies as agreed upon in the agency funding agreement. Compliance will be determined by the Fund Distribution Steering Committee in conjunction with the recommendation of the United Way Executive Director.

Dormant Program Funding

Programs reviewed by a fund distribution panel for 2 consecutive reviews where either funding is not granted or no request is made, the program must resubmit an application for eligibility.

Approved By:	Fund Distribution Steering Committee:	August 12, 2005
	Board Executive Committee:	August 23, 2005
	Board of Directors:	September 6, 2005

Revisions Approved:	Fund Distribution Steering Committee:	January 18, 2006
	Board Executive Committee:	January 24, 2006
	Board of Directors:	February 7, 2006

Revisions Approved:	Fund Distribution Steering Committee:	February 17, 2006
	Board Executive Committee:	February 21, 2006
	Board of Directors:	March 7, 2006