

COMMUNITY IMPACT FUNDING PROCESS



Guidelines & Procedures

Live United

Revised February 2009

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Preface

In August 2006, United Way of Siouxland's Board of Directors approved an exciting new approach to having significantly greater impact on the major human service issues facing our community – an Agenda for Community Impact.

Realizing that current systems and programs addressing these issues, including United Way's historical fundraising and fund distribution efforts, are not enough, we developed the Agenda to provide a new framework for United Way's work.

In developing the Agenda, we engaged United Way volunteers, community and agency partners to identify potential elements. THANK YOU to the many caring individuals for their considerable dedication to this Agenda and our community.

Traditionally, United Way has worked to improve lives by mobilizing the financial resources of businesses, employees, other individuals and foundations in support of direct service programs at funded agencies that measurably improve people's lives. While we remain committed to this incredibly important work, it is not enough.

Despite all the money raised and all of the services we and others have helped provide, many problems in our community are growing. To address these issues, there is a need to deal with the conditions that created them in the first place and are causing them to worsen. Doing so calls for a new approach for United Way in addition to the traditional, direct service approach. This new Community Impact model adds a second approach focused on mobilizing diverse people and resources through unique approaches and partnerships that go beyond the dollars pledged through the annual campaign and the programs those dollars support. These community and agency partners include schools, government policy-makers and bodies, businesses, voluntary associations, the faith community, and others working together to change the conditions and improve the lives not just of program clients, but of community populations.

While United Way could work on practically every issue in the human services arena, we strive to ask the question: How can we have maximum impact on improving our community and people's lives? What are the best strategies and most scaleable solutions known at the time?

The following information, tools, and diagrams are intended to provide general guidance on how the new Community Impact Funding Process will operate to address these questions. It is not intended to be a detailed instruction book or operations manual. Like any strategic effort, this new approach is ever-evolving. And, while we share within these pages the recommended guidelines and procedures, we continue to refine it with new learning and ongoing monitoring of community conditions and issues.

Community Impact Funding Philosophy Statement and Guidelines

(Revised January, 2009)

United Way of Siouxland's mission is to enhance Siouxland's capacity to care for one another by working together through effective partnerships and leveraging resources. A strong community has a system of quality non-profit agencies that offer health and human services that improve the quality of people's lives. United Way of Siouxland supports a system of quality agencies and continues to fund *results* (outcomes).

In recent years United Way has moved from only funding the needs of agencies and programs to investing in strategies that align with or correspond to the Agenda for Community Impact. To affect change in community conditions requires mobilizing multiple revenue sources beyond the dollars raised by United Way annually. This reality calls for two key approaches to the funding process:

- Dealing with breakthrough systemic change
- Providing funds to existing services

The first entails engaging with new and existing community partners and setting aside a pool of United Way dollars that would be available for taking advantage of strategic opportunities that align with the Agenda for Community Impact and that may be initiated by United Way or by others. These are defined as strategies that can be brought to scale based on previous successes and/or offering the opportunity to enact systemic change that moves beyond thinking about individual organizations and includes leveraging opportunities such as matching funds needed to participate in local community partnerships or collaborations.

The second involves ongoing funding of current United Way agency partnerships. The historically strong relationship between United Way and our current Agency partners is a foundation for this funding philosophy. While United Way will continue to invest significantly in a wide array of agency programs and services, funding will be focused on achieving the Agenda outcomes. Current agencies will have the opportunity to propose how they fit within the Agenda and be able to seek funding for relevant programs that will achieve maximum impact on Agenda outcomes. In some cases, they may adjust or augment current programs to better meet today's needs.

In light of this, United Way will commit funding in the following manner:

1. Annual Community Impact Funding: Funding to United Way funded partner agencies that provide quality direct service programs. United Way is determined to continue support for the programs that are impacting lives on a day to day basis.
 - This type of funding is decided through United Way's Community Impact Funding Process.
 - United Way's Community Impact Teams made up of community volunteers and agency directors thoroughly review the programs that fall within three goal areas. The three Community Impact Teams and their goals are:
 - ✓ Children Grow into Successful Adults
 - ✓ Families and Individuals Achieve Self-Sufficiency
 - ✓ Safety Net Services
 - Annual Community Impact Funding is awarded to partner agencies on a multi-year basis.
 - Community Impact Volunteers will review the applications submitted online utilizing the Andar Community Building webbased software.
 - Partner Agencies are required to submit an Agency Quality Standards Assessment form (description of Quality Standards included in this document).

2. Community Impact Response Grant: This pool of funds will be determined annually and approved by the UWS Board of Directors, from donor contributions from the annual community campaign. The intent of the Community Impact Response fund is to award one-time grants to tax exempt health and human service organizations and community partnerships and collaborations that identify a strategy for impacting current issues related to the Agenda for Community Impact.

- This funding pool is meant to respond to a major community-wide issue through the support of significant planning, intervention or other problem solving efforts.
- Priority will be given to applications that include leveraging opportunities such as matching funds needed to participate in local community partnerships or collaborations.
- Start-up money for pilot projects (service delivery in a new, improved or creative way) with a community partnership or collaboration or UWS itself which, given success, may serve as a model for others
- Initiatives that address an identified community objective that United Way has taken a leadership role to address. The initiative funding will be included in ongoing funding after the first year. Initiatives will be decided through CIT discussions with partners and evidence of community momentum in the area of the initiative.
Currently the identified community objectives are:
 - ✓ Eliminate Achievement Gap
 - ✓ Reduce Violence Prevention/Anti-Bullying
 - ✓ Increase EITC Awareness
- All Community Impact Response Grants (except for Initiatives) will be limited to a one-year period. Funding may be carried over to the next year, but may not exceed a 14-month period. Agencies may apply annually, but no project will receive more than three years (total) of annual funding. Applicants that desire Annual Community Impact Funding will be required to apply for it through United Way's Community Impact Process.

Review and approval process for Community Impact Response Grant:

- Vice-President/Director of Community Impact will review written requests
- If request is up to \$10,000, approval is required from President, Vice-President/Director of CI, Community Impact Leadership (CI Chair, Vice-Chair and each CIT Chair) and UWS Board of Directors.
- Any request for funds in excess of \$10,000 requires recommendation from the appropriate Community Impact Team to full Board for approval, regardless of its urgent nature.
- A 45 day timeframe is needed for review/approval of submitted proposal.

Programs that are receiving multi-year funding awards from United Way are ineligible, unless there is a specific new component that was not included in the original application, or a serious change in circumstance unforeseen in the original application which impacts the health and safety of program clients.

At the end of the fiscal year, the UWS Board may distribute unspent Community Impact Response funds. Any unspent funds could be awarded to funded Partner programs in the form of additional awards.

United Way staff will be responsible for ensuring that sufficient funds are available in the CIR funds prior to any actions.

For more information on application process for Community Impact Response Grant please go www.unitedwaysiouxland.com and click on Community Impact tab to find the Community Impact Response Grant Application Process.

United Way Agency Quality Standards

The funding process that will be followed by the Community Impact Teams will allow volunteers to review an agency's capacity to produce its intended results.

In 2007 the United Way of Siouxland developed the Quality Standards to be used by United Way funded agencies:

- assure United Way donors that their contributions are efficiently utilized to help people in need;
- assist member agencies in structuring themselves in a manner conducive to providing consistent, effective, needed, and continuously improving services to the community; and
- encourage sustainability, growth, and development of non-profit organizations and serve as a catalyst for coordination and cooperation between non-profit agencies.

Each nonprofit organization exists to help people. These Quality Standards will be used as indicators of an agency's capacity to provide the most effective services. At the end of the day it is the change in the client's life that counts. These Quality Standards will not only attempt to measure that impact, but also look at other indicators that predict an agency's ability to serve the community. These Quality Standards are intended to reflect United Way's philosophy of how nonprofit organizations should operate.

The Quality Standards will be the foundation of the Community Impact Funding Process. The Community Impact volunteers will conduct a comprehensive review of each agency that receives

United Way funding. In each CIT's review of the agency Funding Packet and through continued periodic site visits, volunteers will determine if an agency demonstrates achievement of the Quality Standards, then recommend funding where they think it will best be used. The intent is to make the process more objective rather than subjective and to communicate clearly the basis for funding recommendations.

The Quality Standards are divided into four categories: Program, Governance, Finance, and Administration. The United Way believes that a non-profit agency will increase its ability to positively impact the lives of its clients when it is organizationally strong. An organizationally strong agency has a Board of active leaders who set a strategic direction and provide oversight; has programming that is well designed, well implemented, and includes a quality improvement process; is financially stable, accountable, and maximizes resources; and has sufficient infrastructure and capacity.

Each agency is required to complete a Quality Standards Self-Assessment and share responses with their Board. This self-assessment will be submitted with your funding application. Funding will be awarded on a multi-year funding cycle with opportunity for agencies falling into lower funding levels to be re-evaluated the following year.

The United Way of Siouxland guarantees that an agency will receive a portion of the funding that it received in the prior year. This guaranteed funding level is called the minimum funding level and is the starting point for yearly United Way funding to agencies. There are three minimum funding levels that will have minimum percentages assigned to them. A tiered minimum funding level system ensures that an agency that demonstrates achievement of the Quality Standards and scores high in the assessment process is rewarded with a higher level of United Way funding.

The three levels are:

- *SUBSTANTIAL ACHIEVEMENT (minimum funding level, 95% of previous FY):* An agency in the highest minimum funding level category is a historically superior performer in all categories and there are no concerns about the agency's ability to demonstrate achievement of the Quality Standards or its long term viability. The agency will demonstrate an on-going, consistent culture of quality and continuous improvement that permeates the agency. The agency demonstrates achievement of substantially all of the Quality Standards.
- *MATERIAL ACHIEVEMENT (minimum funding level, 85% of previous FY):* An agency in the middle minimum funding level category is an excellent performer in most categories; it may not demonstrate achievement of a small number of the standards or may not have demonstrated historically superior performance over time, but exhibits substantial quality, recognizes issues, and demonstrates efforts to improve. The agency demonstrates achievement of most or substantially all of the Quality Standards.
- *PROVISIONAL ACHIEVEMENT (minimum funding level 75%, of previous FY):* An agency in the lowest minimum funding level category may chronically fail to achieve Quality Standards or may undergo a dramatic event or decline in performance in such a way as to place doubt on the value of continued United Way investment in the agency. The agency will be placed on Provisional Status. The agency will receive written documentation identifying the specific standards that must be achieved and a time frame that the improvement(s) must occur. If the agency does not meet the conditions within the specified time frame, the agency's United Way membership will be terminated.

An agency will have the ability to contest the assigned membership category (NOT the allocation amount) through a formal appeals process if the agency's Board believes that it was incorrectly assessed.

The United Way volunteers carefully assess each funding request and use collective judgment to award available funding. The volunteers take into account the agency's demonstration of the Quality Standards, how the funding request ties to UWS Agenda for Community Impact and specifically how an agency is impacting the agenda's community outcomes.

Community Impact Response Grant Application Process

Application Process for CI Response Grant:

- Tax exempt organizations requesting a Community Impact Response Grant consideration may submit completed applications to:
 - United Way of Siouxland, 701 Steuben Street, Sioux City, IA 51101
- Questions should be directed to: United Way of Siouxland, Vice-President/Director of Community Impact @ 712-277-0519.
- Each Community Impact Response Grant application should consist of a brief narrative explaining the request and resulting outcomes, funding sought, organization name, address, email, date of request, director's name and signature, organization's Board Chair name, signature, phone number, and e-mail.
- Briefly describe the organization and the services provided (maximum of 1 page).
- Depending on the application, additional information may be required.

It is helpful to address the following in the organization narrative:

- How requests ties to the Agenda for Community Impact
- Brief description of the nature of the request, resulting outcomes and how the funds will be utilized.
- What other funding sources are being pursued?
- Describe proposed activity, program, or project – purpose, area of service it is designed to address and target population.
- If the requested funds will leverage additional resources please explain.
- How will you measure success? What are the specific, measurable outcomes expected.
- Please explain whether this program/project is a new or existing effort and the plans for continuation in the future.
- Include fiscal agent (if applicable)

Include the following attachments:

- Most recent balance sheet and program budget for year in which funds are being requested. Agency budgets and financial information may be requested upon the discretion of the Community Impact Team.
- Most recent Board of Directors list with professional affiliations, addresses and terms listed.
- Budget for the project or program, if applicable.
- One copy of your agency's IRS determination letter certifying your organization is tax-exempt – unless already on file with UWS.
- Most recent audited financial statement, if the organization conducts and annual audit – unless already on file with UWS.
- Most recent IRS 99- if organization is required to file.

Community Impact Funding “Lingo”

(Update February 2008)

Allocations Process: This was the old review process led by volunteers where United Way funding is determined. The “allocations” terminology will no longer be used.

Agenda for Community Impact: An action plan developed with representation from community and agency partners for changing community conditions. This agenda provides focus to United Way's work and serves as a rallying point for community action. It can be carved into time-specific pieces that allow for ongoing work, review, reevaluation, and improvement to help ensure that the work is on the right course.

Annual Community Impact Funding: Funding to the United Way funded partner agencies that provide quality direct service programs and tie to the Agenda for Community Impact. The Annual CI Funding is awarded to partner agencies on a multi-year basis. The CI Funding process is to create sustained community change by mobilizing community partners and community resources to address community-level outcomes to create lasting changes in community conditions that improve lives.

Community Impact Rapid Response Grant: A pool of funds that will be determined annually and approved by the United Way of Siouxland Board of Directors, from donor contributions from the annual campaign. The intent of these funds is to award one-time grants to tax exempt health and human service organizations and community partnerships and collaborations that identify a strategy for impacting current issues related to the Agenda for Community Impact.

Community Impact (CI) Leadership: This is the Chair and Vice-Chair of the Community Impact Funding Process along with the chairs from each Community Impact Team, plus United Way staff. The Leadership will make final funding recommendations to the United Way of Siouxland Board of Directors.

Community Impact (CI) Volunteers: Community members who help to ensure that invested dollars are distributed in an accountable, responsible and representative manner in line with the Agenda for Community Impact. CI Volunteers serve on all three Community Impact Teams. The Community Impact Volunteers will make funding recommendations to the Community Impact Leadership.

Community Impact Teams (CIT): Comprised of United Way volunteers, United Way agencies, other community organizations, and United Way staff developing strategies to achieve set goals.

Community Impact Teams and Goals:

Children Grow Into Successful Adults

Families and Individuals Achieve Self Sufficiency

Safety Net Services Continue to Provide Care and Support

Community Impact goals will have specific focus areas and measurable community impact. The Community Impact Team (CIT) for each goal will determine strategic initiatives. The work of the CIT will be as an integrated whole, rather than independent outcomes or goals. To be effective, the CIT must work together toward common outcomes; one effort can't be undertaken without determining how it will support or affect another. The question of maximum impact must be constantly posed, and answered with the best strategies and most scalable solutions known at the time. Specific agencies and initiatives will be supported in these Community Impact goal areas.

Funding Plan: This is a summary budget that specifically shows where campaign revenue and other funds received by the United Way of Siouxland will be spent.

Letter of Intent: A brief document in letter form that describes an organizations qualifications and what it could do should it receive positive consideration such as funding or selection to be a part of a process.

Safety Net Services Continue to Provide Care and Support: The Safety Net CIT is committed to providing a foundation of fundamental care and support, essential to maintaining Siouxland as a livable community that cares for its own and meets basic human needs.

Strategic Focus: Term used to identify a specific field of service or programming where a CIT will plan and coordinate strategies, collaborations, education, and other community efforts to have measurable impact on the outcomes identified in the Agenda for Community Impact. The Strategic Focus of a CIT is designed to address root causes of community issues to create lasting community change.

Strategic Prevention Framework (SPF): The administrative framework under which each CIT will operate.

United Way Agency Quality Standards: This assessment tool that will be used as indicators of an agency's capacity to provide the most effective services. United Way believes that a non-profit agency will increase its ability to positively impact the lives of clients when it is organizationally strong.

Goal:

Children Grow into Successful Adults

Community Outcome #1

Children are healthy (socially, emotionally, and physically) and experience academic success.

- Achievement for Community Targeted Outcomes for Positive Youth Development (Comp Strategy)
- % of children adequately accessing quality services (3rd party assessed)

Community Outcome #2

Children enter kindergarten ready to succeed.

- % of children with quality preschool or early childhood (pre-k) learning experiences.
- % of children assessed to be ready for kindergarten.

Goal:

Families and Individuals Achieve Self-Sufficiency

Community Outcome #1

Families/Individuals are safe and healthy (socially, emotionally, and physically)

- Crime rates
- % of families/indv. Involved in problem behavior (substance abuse, other additions, emotional issues, etc.)
- % of families able to access all forms of health care services.

Community Outcome #2

Families/Individuals access resources that create and sustain economic stability.

- # of families/indv. Seeking services able to adequately access them.
- # of services determined to be of quality (3rd party accessed)
- % of adult population with training beyond H.S. diploma/GED.
- % of families spending 30% or more of their income on housing.

Agenda for Community Impact

Safety Net Services continue to Provide Care and Support

“Safety Net” CIT is committed to providing a foundation of fundamental care and support, essential to maintaining Siouxland as a liable community that cares for its own and meets basic human needs. This will be accomplished by:

1. Temporary assistance made available to people facing such need or in crisis.
2. Services for individuals with special needs e.g. elder citizens and people with disabilities, needing essential services to live healthy lives and maintain independence and dignity.
3. Maintaining community preparedness and subsequent response capabilities to disasters and emergencies.
4. Continuing to support a system of quality member agencies that provide consistent, effective, needed and continuously improving services to the community.

Key measurements will be families seeking help able to access needed services, and number of quality services (3rd party assessed) available for families to access.

ISSUES AND INDICATORS AT-A-GLANCE

EDUCATION

CHILDREN GROW INTO SUCCESSFUL ADULTS

Target Issue: Readiness to achieve in school

Intended result: Children enter kindergarten ready to succeed; Young people graduate from high school

Indicators: Percentage of children assessed to be ready for kindergarten; Percentage of children with quality preschool or early childhood (pre-k) learning experiences

Target Issue: Academic success

Intended result: Elementary students are prepared to succeed in later grades; Young people graduate from high school

Indicator: Percentage of fourth graders who are proficient readers; Percentage of public high school students who graduate on time

INCOME

FAMILIES AND INDIVIDUALS ACHIEVE SELF-SUFFICIENCY

Target Issue: Achieving greater economic stability

Intended result: Lower-income working families move toward financial independence

Indicator: Percentage of lower-income working families that spend more than 30% of their income on housing; Percentage of adult population with training beyond high school diploma/GED

Target Issue: Increasing income

Intended result: Working families increase their income

Indicator: Percentage of families/individuals seeking services that are able to access them; Number of services determined to be of quality

HEALTH-SAFETY

IMPROVING PEOPLE'S HEALTH; CHILDREN GROW INTO SUCCESSFUL ADULTS; FAMILIES AND INDIVIDUALS ACHIEVE SELF-SUFFICIENCY

Target Issue: Safe and healthy families/individuals

Intended Result: Families receive timely, regular preventive health care

Indicator: Percentage of families able to access all forms of health care services; Percentage of families/individuals involved in problem behaviors

Target Issue: Healthy youth

Intended Result: Youth are healthy and avoid risky behaviors

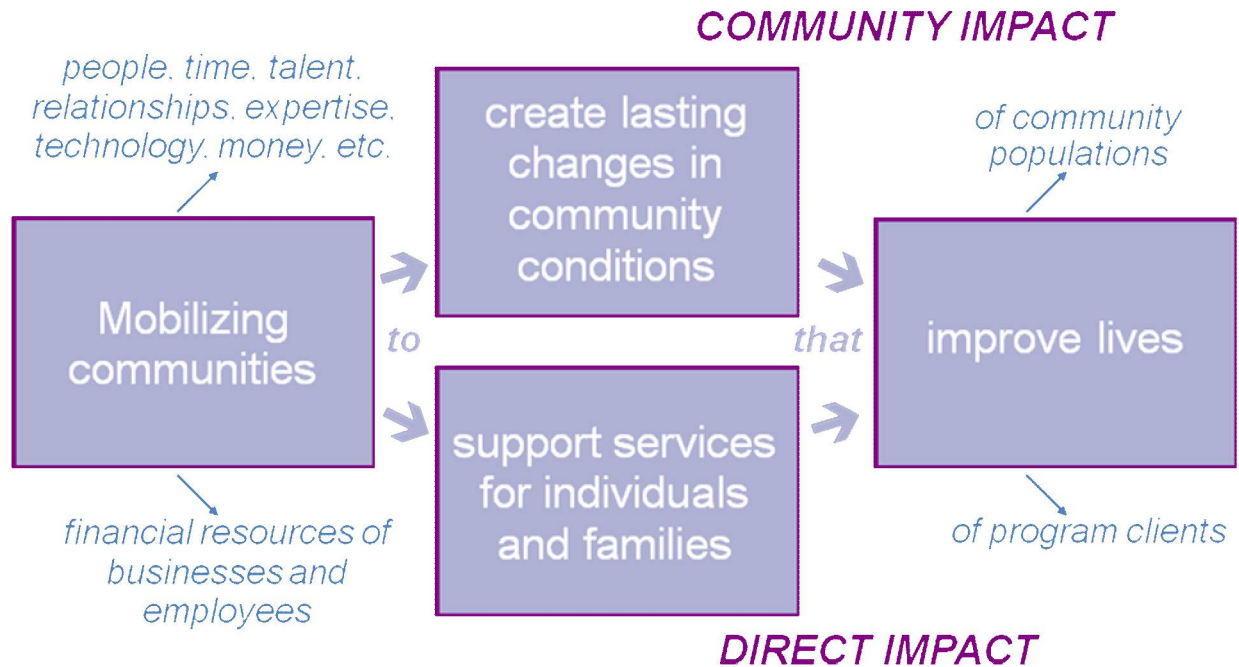
Indicator: Percentage of students grades 6-12 who are healthy and avoid risky behaviors; Percentage of children adequately accessing quality services

Target Issue: Providing care and support

Intended Result: Basic human needs met for families and individuals

Indicators: Temporary assistance made for people facing need or crisis; Services for individuals with special needs; Preparedness for disasters and emergencies; Number of support provided to agencies

New Model for Improving Lives Uses Two Approaches



Strategic Prevention Framework



Assessment/Capacity/Planning/Implementation/Evaluation

STEP 1: ASSESSMENT

Data collection to define problem, resources, and readiness within a geographic area to address needs and gaps.

DATA	MISSING DATA...	RESOURCE ASSESSMENT	READINESS

STEP 2: CAPACITY

Mobilize and/or build capacity within a geographic area to address need(s).

	STRENGTHS	WEAKNESS	OPPORTUNITIES	THREATS
People				
\$\$\$				
Gaps in Service				
Other Resources				

STEP 3: PLANNING

Develop a comprehensive strategic plan that includes policies, programs, and practices

to create a data-driven plan to address problems identified in Step 1.

Create a logic model for the Community Impact Team.

Example: "An Apple A Day Keeps the Doctor Away"

Who ...	Why ...	What	Where ...	When ...	How
K- 6 grades	Keep Dr. Away	One Apple	In Classroom	Daily	Delivered to classroom

Each entity of planning will need planning framework specific to their service rendered i.e.

- . individuals/organization coordinating procurement of apples and delivery
- . individuals/organization taking care of public relations for the apple project
- . " " establishing public policy(s) for project
- . " " providing evaluation for above processes

STEP 4: IMPLEMENTATION

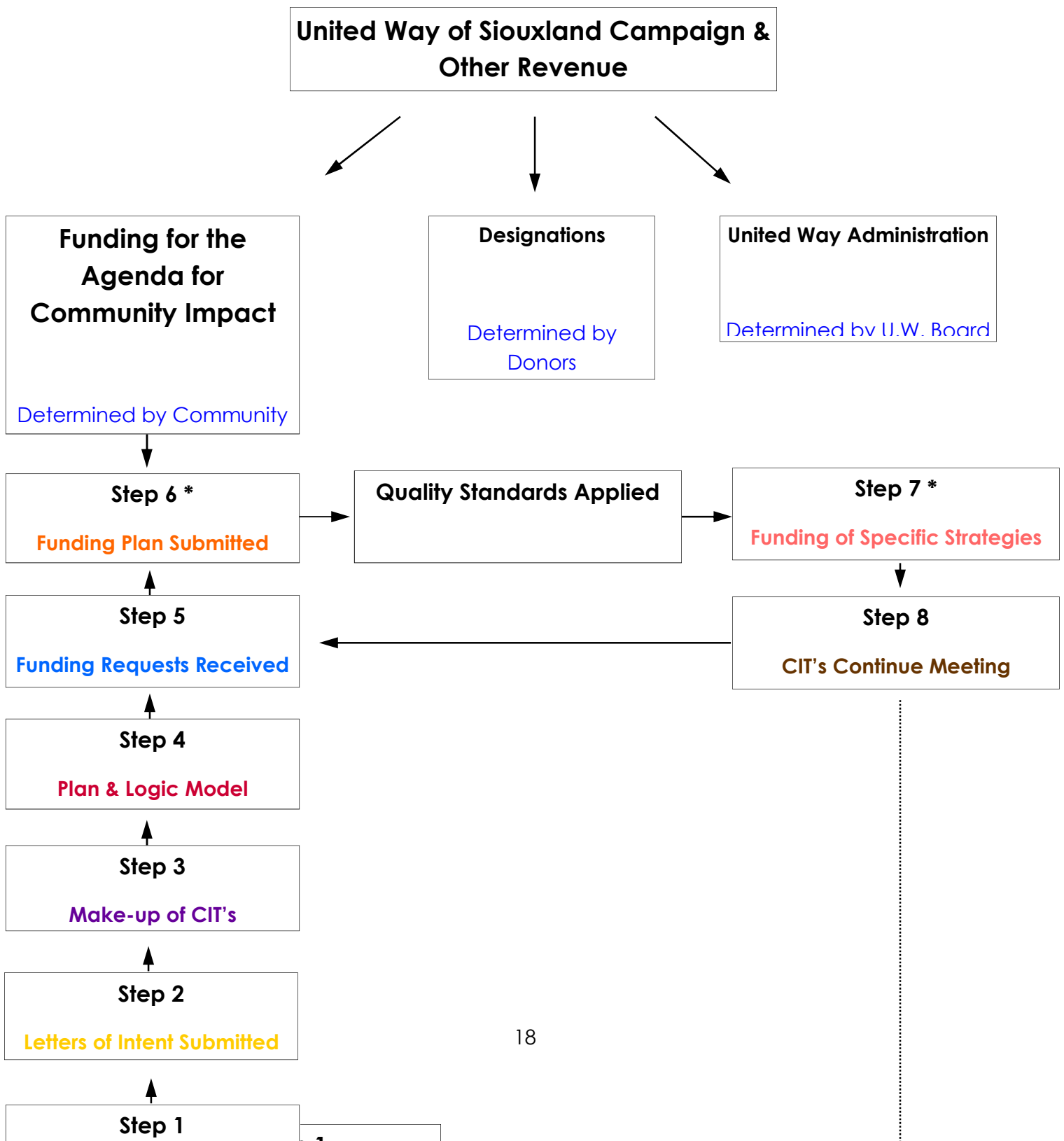
Implement evidence-based prevention programs, policies, and practices based on the

Planning Framework from Step 3.

STEP 5: EVALUATION

Get outside evaluator involved ASAP. Measure the impact and evaluate from the user perspective as well as from the organization entities involved.

Funding Process Framework



Community Impact Funding Process Description

Step 1: Strategic Focus Identified within CIT Goal Areas

CIT's identifies a specific *focus* for goal areas to impact.

For example:

- Eliminating/Reducing the Reading Achievement Gap
- Violence Prevention and Anti- Bullying in schools
- Earned Income Tax Credit Outreach

CIT's will develop a process to regularly review and determine if new focuses are warranted.

Step 2: Letter of Intent Submitted

An invitation is made community-wide for organizations to submit a two to three page letter of intent that describes their fit and expertise in the focus the CIT will address in the goal area. The letter may include information on current collaborations, past successes, and programs provided by the agency.

Step 3: Make-up of CIT's Determined

Community Impact Leadership and Community Impact Volunteers review the Letters of Intent and make determinations on which agencies and organizations should be on the Community Impact Team. Agencies and organizations may also be identified to serve on the CIT based on other factors as determined by the CIT membership.

Step 4: Plan & Logic Model Developed

CIT's meet to discuss potential action plans, costs, and review data, for the purpose of developing a plan. During this step, other community partners may also be added to the CIT's where appropriate.

Step 5: Funding Requests Received and/or Actions Determined

Applications from organizations and partners seeking funding, and/or other appropriate information is shared with CI volunteers to facilitate discussion around funding decisions, and other UWS action.

Step 6: Funding Plan Submitted

Community Impact volunteers develop a Funding Plan, similar to what is currently presented to the board. This Funding Plan will be approved by the board and will recommend amounts to fund each of the CIT's.

Step 7: Funding of Specific Strategies Determined

CI volunteers from each CIT's meet to determine specific funding recommendations to initiatives, agencies and other community impact activities. Board approves funding recommendations.

Step 8: CIT's Continue Meeting

Ongoing CIT meetings are held to monitor and discuss results, manage resources, and work through implementation. Additional actions can be recommended as a result of these meetings. A review from time to time of the CIT's focus will also be done.

Agency Quality Standards Self-Assessment

Instructions:

- Both the Board Chair and Executive Director must sign this assessment
- Share this assessment and your responses with the entire board and attach the board minutes that reflect this action.
- Answer all questions and provide a written explanation for any omissions or “no” answers.
- Submit this assessment with your funding application.

Responses will be kept confidential and will only be shared with essential volunteers and United Way staff.

Administration

Yes No

Does your agency possess a letter of exemption from federal taxes under Section 501 (c)(3) Internal Revenue Code and maintain its tax exempt status?		
Does your agency have an organization chart that identifies clear lines of authority and responsibility?		
Does your agency have written volunteer policies and procedures that address recruitment, screening, training, supervision and recognition?		
Does your agency disclose accurate and timely information to the public?		
Do agency volunteers and staff act in accordance with written policies addressing:		
- Conflict of interest?		
- Nondiscrimination?		
- Affirmative action?		

- Protection for whistle blowers?		
- Code of conduct?		
Does your agency maintain adequate and appropriate insurance coverage to protect against liability, loss and damage?		
Does the agency periodically conduct training for staff on policies and procedures?		
Does the agency have an operations and procedures manual that is periodically reviewed and updated as needed?		
Does the agency maintain all appropriate and applicable accreditations for the programs and services provided?		

Governance

Yes No

Is your agency governed by a Board of active volunteers?		
Does your agency's Board:		
- Convene for a minimum of four meetings (one per quarter) within a 12 month period?		
- Operate in accordance with the agency's bylaws?		
- Have sufficient policies, procedures and rules to guide it in its decision-making processes?		
- Meetings reflect actions taken and are recorded, distributed and retained?		
- Members have staggered terms?		
- Have a rotation policy for both officers and members in effect?		
Does your agency's Board:		
- Ensure program effectiveness?		
- Provide financial oversight?		
- Have an effective planning process to ensure the short-term and long-term financial stability of the agency?		
- Ensure adequate financial resources?		
- Receive and approve financial reports at least quarterly?		
- Take action to revise the agency's budget as needed?		
- Approve financial policies?		
- Approve the audited financial statements and review a management letter that accompanies the audit?		

- Ensure appropriate internal controls are in place to protect the agency's assets?		
- Ensure that policies are periodically reviewed and revised as necessary?		
Has your agency's Board adopted a code of conduct and ethics for itself and the agency's employees and volunteers?		
Does your agency's Board make available to the public an annual report of programmatic and financial data?		
Does your agency undergo an audit of its financial statements by an independent, certified public accountant who is approved by the Board?		
Is your agency issued an unqualified opinion on the audited financial statements?		
Are the agency's supporting services expenses (including management, general and fundraising costs) under 25% of total revenue?		
Does your agency's Board:		
- Provide professional support to the Executive Director so that he/she can further the goals of the agency?		
- Formally evaluate the Executive Director's performance annually?		
- Periodically review the appropriateness of the overall compensation structure of the organization?		
- Periodically review and update the agency's personnel policies and procedures?		

Finance

Yes No

Is the agency financially stable?		
Does your agency have a sufficient level of reserves to provide for flexibility of operations and to accommodate economic uncertainties?		
Does your agency have available working capital to cover cash shortfalls either in the form of cash reserves or a line of credit?		
Are your agency's revenue streams sufficiently diverse to assure continuance of operations?		
Are your agency's financial activities monitored and overseen?		
Does your agency have practices in place to safeguard assets and efficiently manage resources?		
Are the agency's financial reports prepared in accordance with Generally Accepted Accounting Principals (GAAP) unless other is required?		
Does the agency utilize standardized accounting policies, procedures and internal controls?		

Does the agency have a written accounting procedures manual?		
Does your agency have internal financial control systems that address:		
- Prevention and detection of errors, mismanagement or fraud?		
- Disbursement and receipt of monies?		
- Monthly review of the bank reconciliation by someone other than the preparer?		
- Threshold for multiple signatories on checks?		
- Approval of the Executive Director's expense reports by a member of the Board?		

Instructions for final section:

Select a criteria score of 1 to 4

1 = Strategic Strength 2 = Meets Expectations 3 = WIP (Work in Process) 4 = N/A

Please provide a written explanation for any response other than a 2.

Programs

1 to 4 rating

Does your agency's mission and programs address an important and defined community need?	
Does statistical data document the need for each program?	
Are the agency's programs effectively designed?	
Do your agency's programs have defined goals?	
Does your agency encourage innovation in its programs?	
Does your agency set a target for the number of service delivery units?	
Does your agency set a target for the acquisition of outcome goals?	
Does your agency have measurement protocols that are structured to collect information on clients, services provided and outcomes?	
Does your agency utilize standardized evaluation tools to gather and analyze outcomes for clients served whenever feasible?	

Are services geographically accessible to target populations?	
Are services physically accessible to target populations?	
Are services financially accessible to target populations?	
Are the agency's programs serving an appropriate number of clients?	
Do the agency's programs serve an appropriate number of clients that constitutes a significant number relative to need?	
Do the agency's programs have a positive impact in the community?	
Are the agency's programs measured and assessed?	
Does your agency collect data on all direct client contacts?	
Does your agency's data include demographic information such as gender, ethnicity, age, household income, residence, etc.?	
Does your agency's data include units of service per activity/program provided?	
Does your agency's data include outcome results?	
Does your agency's assessment analyze the extent to which the program compared favorably to similar programs, benchmarks or accreditation standards?	

This assessment was reviewed with our board of directors at their meeting held on: _____ and is reflected in the minutes of this meeting which are attached.

I affirm that the information provided in this assessment is accurate.

Board Chair Signature _____

Date _____

Printed Name _____

I affirm that the information provided in this assessment is accurate.

Agency Executive Director _____

Date _____

Printed Name _____

How United Way is Changing

Key Differences: Allocations vs. Community Impact

Yesterday's Allocations

Little ability to effect change in the community.



Funding only went to member agencies.



Fundraising organization.



Funding allocated across broad spectrum of services with no defined strategy.



Partners are primarily agencies.



Today's Community Impact

✓ Designed to build partnerships and focus resources to affect positive change.

✓ Funding goes to member agencies, and wherever else is needed to accomplish community objectives.

✓ Community impact organization.

✓ Funding is part of a strategy tied to community measurements.

✓ Partners are whoever can play a role.

✓ Resources include people, relationships

Resources = money

expertise, etc.

Give = donate to United Way



✓ Give = invest in community

Agencies focus services to program participants



✓ Agencies and United Way partner to s
community-level solutions beyond the
effect of individual programs.