

United Way of Pierce County Board Meeting

March 25, 2016
 7:30 – 9:30 am
 HopeSparks
 6424 N 9th St, Tacoma



Mission: We work from the heart to unite caring people to tackle our community's toughest challenges.

AGENDA

| TIME | TOPIC | WHO | DESIRED OUTCOME |
|-------------|---|--|---|
| 7:30am | Opening Remarks <ul style="list-style-type: none"> • Call to Order/Welcome • Approval of Minutes from January 29, 2016 | Jamey McCormick Board Chair | ACTIONS: Approval of Minutes |
| 7:35am | Financial Updates <ul style="list-style-type: none"> • 2016 UW Membership Certification | Jennifer Nino Pete Grignon CFO | Information/ Discussion |
| 7:45 am | President's Report <ul style="list-style-type: none"> • Business Plan and Success in 2016 • Centers for Strong Families • Community Celebration • Community Leaders Conference – May 9-12th, Vancouver, BC | Dona Ponepinto President and CEO | Information/ Discussion |
| 8:05am | Campaign Updates <ul style="list-style-type: none"> • Status of 2015 Campaign • Gap Strategies Updates • Urgency Message | Dona Ponepinto Nicole Milbradt Director of Marketing | Information/ Discussion |
| 8:40am | Community Impact – Updates <ul style="list-style-type: none"> • Financial Models • Types of Funding/Funding Streams • Memorandum of Understanding • Timeline | Matt Levi Lindsay Morgan Tracy VP, Impact and Engagement | Information/ Discussion /Endorsement pending review and final recommendations from CIC |
| 9:10am | Governance <ul style="list-style-type: none"> • Updates • Approval of Incoming Board members <ul style="list-style-type: none"> ○ Eric Hahn, General Plastics ○ Jim Walton, Community Volunteer, Former UWPC Campaign Chair ○ Pat McCarthy, County Executive ○ Nathe Lawver, UFCW 367 | Linda Nguyen | Updates/Approval |
| 9:20am | Phoebe Mulligan, MSW, LICSW Clinical Program Director for Healing Hearts Counseling (Funded agency \$54,000) | Phoebe Mulligan HopeSparks | Information |
| 9:30am | Adjournment <ul style="list-style-type: none"> • Next meeting – May 27th | Jamey McCormick | |

**United Way of Pierce County
Board of Directors**

January 29, 2016
7:30 – 9:30 am

YMCA
1710 Market St conference rm 303

**Jamey McCormick, Presiding
Minutes**

| | | | | |
|-----------------------------|-----------------------|-------------------------|--------------------------|--------------------------------|
| Elizabeth Bailey | David Graybill | Marilyn Mullenax | Rich Rocks | Jackie Yeh |
| Bill Berry | Tim Holmes | Linda Nguyen | Kent Roberts | Katherine Cavanaugh |
| Tonya Burnett | Rod Koon | Jennifer Nino | Brenda Rogers | Troy Horn |
| Sebrina Chambers | Matt Levi | David Pearson | Patty Rose | |
| JoAnne Coy | Jamey McCormick | Linda Proett | Carla Santorno | |
| Gerald Denman | Rick Meeder | Dirk Raddau | Kristen Sawin | |

UWPC Staff: Dona Ponepinto, Pete Grignon, Lindsay Tracy, Heidi Hansen, Jody Jasinski, Greer Todhunter, Robyn Jones, Linda Kirkland, Linda Kaye Briggs Guest: Zach Druce

Call to Order/Welcome

Jamey called the meeting to order at 7:40am

Approve Minutes from December 16, 2015

M/S/C

Jamey introduced Zach Druce, Associated Executive Director at YMCA UWT. Zach thanked UWPC for our support of YMCA child programs. He will give a tour at the end of the meeting.

Jamey introduced Troy Horn from UWT Board Governance Course.

Financial

Monthly Financial reports – read only. No questions

President's Report

- 2015 Successes and the Year Ahead
 - Micro grant Pilot Project Executed – Five grants awarded
 - Agreement on 4 products with three year projected costs:
 - 2-1-1 - Having a Family Support Navigator (FSN) available to 2-1-1 callers, and located at partner agencies, and meeting with clients in-person at various meeting sites has given United Way of Pierce County's 2-1-1 tremendous reach in a short period of time.
 - Centers for Strong Families - Secured countywide support for the Centers for Strong Families and started accepting partner applications. Hopefully kickoff in the next few months.
 - Hunger Free Pierce County - we have purchased three refrigerated vans for the county. Provided Key Peninsula area families with 275 crockpots.
 - Summer Learning Every Child website – working with several schools
 - Leadership giving (\$1,000 or more) increased 3% year over year to 527 donors
 - Identified first potential United Way Life donor – application is in process
 - Collaborative Partnerships with FFTS and Urban League
 - Business Plan complete/scorecard
- ALICE - Newspaper coverage has been good; we are working on getting another Editorial Board meeting with TNT as well. Community wide conversation about ALICE is in the works; Dona was interviewed on January 15th, on KUOW radio. Dona was also interviewed on City Line on January 28th.

- RD Realignment – in the process of hiring a VP of RD, we need someone with strong marketing and sales experience.
- South Sound Together – Dona was a member for the first year. We received great benefits from this partnership. We received \$9,000 for neighborhood grants.

Internal priorities for the year:

- Execute Scorecard/Business Plan
- Create the CSF network
- Other products – Siemer/Food/211
- RD – Development of robust plan – diversity funding streams; individual donor engagement/major gifts/grants
- Ongoing – alignment of all work to focus on 10 year goals
 - Continue to build relationships with CEOs

Campaign – Deep Dive

Dona gave a brief high level overview of the campaign to date. We have taken some significant hits: Boeing, Russell Family Foundation gift was down by \$330K, Intel, Nordstrom and others that changed their campaigns from UW to more Employee giving campaigns. There is a potential of a \$500,000 gap and we need to do everything we can to close that gap and while there is an urgency for this year’s campaign, we have to think long term as well.

2015-16 Campaign Goals 12/31/2015 Benchmarks

| | Benchmark by 12/31/2015 | 2015 Actual | Gap (Act+Proj)-Goal |
|--|----------------------------|----------------|------------------------|
| Workplace | \$ 2,808,940 | \$ 3,017,605 | \$ 208,665 |
| United Way Life | \$ 250,000 | \$ - | \$ (250,000) |
| Direct Giving | \$ 189,000 | \$ 203,409 | \$ 14,409 |
| Sub Total: | \$ 3,247,940 | \$ 3,221,014 | \$ (26,926) |
| CSF Revenue Commitments | \$ 500,000 | \$ 125,000 | \$ (375,000) |
| Grants | \$ 200,000 | \$ 444,126 | \$ 244,126 |
| UWPC Total: | \$ 3,947,940 | \$ 3,790,140 | \$ (157,800) |
| ADT (Workplace & Direct included above)* | \$ 650,000 | \$ 373,907 | \$ (276,093) |

***ADT included in the UW campaign under workplace & direct giving above. Total of all ADT giving including EL.**

The campaign cabinet under Dianna Kielian’s leadership has meet a couple of times since December to talk about the strategies. Linda Kaye Briggs reviewed the strategies developed by the Campaign Cabinet, then broke out into small groups for further discussion.

Campaign Cabinet - Top 10 Strategies for Closing the Gap

1. Develop new message with “sense of urgency” that collaborates with existing marketing messages to be used by Staff/Board of Directors/Campaign Cabinet/Volunteers.
2. Meet with ADT donors who have not currently given this year to ask/strategize for larger gift and match with initiative (bigger donor impact) for more than \$10K. Incorporate with new message. [29 donors].
3. Prioritize remaining CEO calls for campaigns not started, but remain to begin between December 1 and June 30. Incorporate Volunteers/Campaign Cabinet/Board Members on call with Dona presenting new message/sense of urgency.
4. Deep review of future campaigns, determine if room for more aggressive projections.

5. Increase major gift donor engagement/calls/approaches with CEO – Dona.
6. Bring together previous Campaign Chairs (January 2016) and PAST Board Members to educate on new message and seek counsel for moving forward in filling gap/future gaps. Plan to include stewardship for ongoing relationship.
7. Complete personal Spider Map and return.
8. Bring together Company Campaign Coordinators for campaigns that have not run to introduce “sense of urgency” and best practices/testimonials (Spring Campaigns).
9. Identify which top 50 strongest campaigns are locally owned/operated for UWPC’s CEO and Volunteers to present new “urgency” ...merge with CEO call effort.
10. Create question on pledge form, “Do you belong to a union, if yes, which one?”
11. Research levels of recognition to discover if tiered leadership levels exist. Pete to research and connect with Mike Robinson and David Graybill. Investigate and recommend new/recognition levels for \$1,000 and up. [Currently on UWPC Website: Pierce, Evergreen, and Rainier levels] Assess possibility of recognition event with sponsors to leverage/celebrate leadership levels.

Community Impact

Matt gave the update for the Community Impact Cabinet (CIC). They have been working on developing the next investment process that will be in effect January 2017. The 2017 Investment Framework document was sent in the packet. The CIC aspires to achieve lasting community change on the most pressing human and social issues facing our community. The cabinet guides United Way strategies to achieve the community impact via its investments while ensuring they remain relevant and responsive to the community. Volunteers are recruited from the not-for-profit, public and private sectors. The cabinet works with Vice President and staff team to resource, develop and market UWPC’s mission and goals to break the cycle of intergenerational poverty through its three-year investment cycle commencing in January 2017.

2011 – Present: Impact Investments

- 2011 – Programmatic funding
 - Funded 117 programs:
 - In areas of Education, Income and Health (72%)
 - Emergency and/or support services, a.k.a. Safety Net (28%)
- 2014 – Shifted focus to programmatic work
 - Funded 57 programs:
 - In new focus area to support children and their families (70%)
 - Basic needs or support services (30%)
- 2016 – 2019
 - Moving to Funds for:
 - agencies
 - programs
 - CSFs
 - place-based initiatives
 - collaborative
 - capacity building and/or systems change work
 - Advocacy

Board Goals and Individual Plans

Discussed the Action Plan and gave a few minutes for those that need to complete it, now have all but 6.

Adjourn

Jamey adjourned the meeting at 9:20am and Zach gave a tour of the facility.

Board Meeting Evaluation January 29, 2016

(Total Responses 7/14)

1. Did this meeting deal with substantive issues of strategic importance to our Board?

Yes - 14

No - 0

What topics, issues or questions are on your mind coming out of this meeting?

How we turn ALICE into action

Financial report should never be "read only." Why don't we see 12/31 financial statements at a 1/29 board meeting?

Would like more information/background about our work with MDC and perhaps others in coalition as mentioned by Dona.

Not sure where this fits with ALICE, U.Way's role in breaking cycle of poverty

Best strategies to close the gap; Investment process

2. Did the advance materials provide the information you needed to make informed decisions?

Yes - 6

No - 1

A preview of the documents related to "closing the gap" strategies would have been helpful. Why aren't we using the UWPC website to post all material coming before the board?

We really did not make any decisions today.

3. Was ample time allowed for discussion and deliberation of each agenda item?

Yes - 7

No - 0

Breakout groups are helpful

4. Overall, did this meeting use your time and talents wisely?

Yes - 6

No - 1

I like it when we break into workshops and brainstorm ideas.

Had already heard/done most of this campaign gap work in "cabinet" meeting. Fine for those who had not.

I enjoyed the YMCA location

5. What would you like to learn more about prior to the next Board meeting?

How we can use ALICE to create a compelling case for investing through UWPC

Progress on CSF strategy? Development of "sense of urgency" and related messaging. Update on 41 remaining campaigns. I'd like to know how we track the companies that are coming into the Tacoma area. A clear chart as to the companies we have campaigns with and those we don't by company size, would be helpful. We need to be elephant hunting right now and I'd like to know the Top 50 companies in Pierce County, who we work with and which companies we don't work with. I'd also like to see a list of all new companies moving into the area. We talk about those moving out but what about those moving in?

Results and plans for specific "closing the gap" strategies

There has been a large turnover of staff in the last year or so. I would like the board to have a recap of current staff/responsibility structure.

Updates on ALICE and Lobby Day

Would like more information/background about our work with MDC and perhaps others in coalition as mentioned by Dona.

Not sure where this fits with ALICE, U.Way's role in breaking cycle of poverty

6. I was effective in fulfilling my role as a Board Member.

Strongly Agree: 1 Agree: 6 Disagree: 0 Strongly Disagree: 0

7. I responded the way I did because:

Active engagement and meaningful exchange of ideas

8. I actively participated in the discussions.

Strongly Agree: 2 Agree: 5 Disagree: 0 Strongly Disagree: 0

Size of meeting room did not support active engagement and effective communication. But I still like the idea of board meetings hosted by key community partners.

The board meetings are a great forum for coming together, updating on our progress and making decisions. I think we do that well. I'd like to be sure that the ideas we generate turn into actions. I'm guessing that comes at the cabinet level. I'm

Contributed to breakout session, full-board discussion

| 2015 - 2016 Board of Directors | 5/29/15 | 6/26/15 | | 8/28/15 | 9/25/15 | 11/13/15 | 12/16/15 | 1/29/16 |
|---|-----------|-----------|---|-----------|-----------|-----------|-----------|-----------|
| Elizabeth Bailey | 1 | | J | | 1 | 1 | 1 | |
| Bill Berry | 1 | | U | 1 | 1 | | 1 | 1 |
| Tonya Burnett | 1 | 1 | L | 1 | | | 1 | |
| Sebrena Chambers | 1 | 1 | Y | 1 | 1 | | | |
| Jo Anne Coy | 1 | | | 1 | 1 | 1 | 1 | 1 |
| Gerald Denman | 1 | | C | | | | | |
| Amy Eveskcige | 1 | | A | | | | | |
| David Graybill | 1 | 1 | N | 1 | 1 | 1 | 1 | 1 |
| Tim Holmes | 1 | | C | 1 | | | | |
| Rod Koon | 1 | 1 | E | | 1 | | 1 | 1 |
| Matt Levi | 1 | | L | 1 | 1 | 1 | 1 | 1 |
| Jamey McCormick | 1 | 1 | E | 1 | 1 | 1 | 1 | 1 |
| Rick Meeder | 1 | 1 | D | 1 | 1 | 1 | 1 | 1 |
| Marilyn Mullenax | 1 | 1 | | 1 | 1 | | 1 | 1 |
| Linda Nguyen | 1 | 1 | | 1 | 1 | | | |
| Jennifer Nino | 1 | | | 1 | 1 | | 1 | 1 |
| David Pearson | | 1 | | 1 | | 1 | 1 | 1 |
| Linda Proett | | | | 1 | 1 | 1 | 1 | |
| Dirk Rabdau | | | | 1 | 1 | | | |
| Rich Rocks | | | | 1 | 1 | 1 | 1 | |
| Kent Roberts | 1 | 1 | | 1 | 1 | | | 1 |
| Brenda Rogers | 1 | 1 | | 1 | 1 | | 1 | 1 |
| Patty Rose | 1 | | | 1 | 1 | 1 | 1 | 1 |
| Carla Santorno | 1 | 1 | | 1 | | | | 1 |
| Kristen Sawin | 1 | | | 1 | | | | |
| Total meeting Attendance | 21 | 12 | | 21 | 18 | 10 | 16 | 14 |

| Executive Committee | 5/20/15 | 6/17/15 | 7/15/15 | 8/19/15 | 9/16/15 | 10/21/15 | 11/17/15 | Dec | 1/20/16 | 2/17/16 | 3/16/16 |
|---------------------------------|----------|----------|---------|----------|----------|----------|----------|-----|----------|----------|----------|
| Jamey McCormick | 1 | 1 | C | 1 | 1 | 1 | 1 | | | 1 | 1 |
| Linda Nguyen | 1 | 1 | A | 1 | 1 | 1 | | | 1 | 1 | 1 |
| Matt Levi | | 1 | N | 1 | 1 | 1 | 1 | | 1 | | |
| Jennifer Nino | 1 | 1 | C | | 1 | 1 | 1 | | 1 | 1 | |
| Rick Meeder | 1 | | E | 1 | 1 | 1 | 1 | | 1 | 1 | 1 |
| Kent Roberts | 1 | | L | 1 | | 1 | | | 1 | 1 | 1 |
| Patty Rose | | 1 | E | 1 | | | | | | | 1 |
| Jo Anne Coy | | 1 | D | 1 | 1 | 1 | 1 | | 1 | 1 | 1 |
| Elizabeth Bailey | | | | | | | | | | | |
| Total meeting Attendance | 5 | 6 | | 7 | 6 | 7 | 5 | | 6 | 6 | 6 |

| Governance Committee | 6/9/15 | 8/11/15 | 10/13/15 | 12/8/15 | 2/19/16 | 3/15/16 |
|---------------------------------|----------|----------|----------|----------|----------|----------|
| Linda Nguyen - Chair | 1 | 1 | 1 | | 1 | 1 |
| Jamey McCormick | 1 | 1 | 1 | 1 | 1 | 1 |
| Matt Levi | 1 | 1 | 1 | 1 | 1 | 1 |
| Elizabeth Bailey | 1 | 1 | 1 | | 1 | 1 |
| Kristen Sawin | | | | | | 1 |
| Rick Meeder | 1 | 1 | 1 | 1 | 1 | 1 |
| Tim Holmes | 1 | | | | | |
| Bill Berry | 1 | | | 1 | 1 | 1 |
| Total meeting Attendance | 7 | 5 | 5 | 4 | 6 | 7 |

UWPC – TREASURER’S REPORT As of February 29, 2016

SELECTED FINANCIAL INFORMATION

PLEDGES - 2015-16 CAMPAIGN

Community Campaign:

Pledge revenue in the door \$3,362,723. Latest projections show us falling **short** of our budget goal by **\$614,000**. We anticipate that continued execution on campaign gap reducing strategies may shrink this number. Certainly the strategies will be beneficial when we start the 2016-17 campaign in the fall.

CFC Campaign:

Final results of the federal government campaign ran by UWPC show a decrease of **\$255,000**. This is a 100% designated campaign and we only receive \$1,500. However the loss effects our overhead. The decrease was not unique to and occurred across the USA with only a handful of increases. 2016 will be the last year for the CFC.

Community Impact Grant Budget Goal:

This area is our best opportunity for raising resources in support of our three main products: 2-1-1, Center for Strong Families and Hunger Free Pierce County. Through February we received \$27,500. We have asks out for \$500,000.

COLLECTIONS

Collections of dollars on pledges for the 2015-16 campaign are 32.68%, last year 33.62%; two years ago 33.84%. Our normal range in year over year comparison is 0-3 percent difference due to timing of pledge payments.

The Employee Campaign Fund of Boeing South Puget Sound fell **\$49,000** short on their pledge for the prior year campaign. We may need to write that off if other collections don't exceed our allowance for bad debt. We typically complete a collections cycle by April of the following year.

ENDOWMENT

The endowment stands at \$3,455,192 compared to \$3,594,559 prior year. The market got off to a rough start in 2016, but has started to bounce back.

FUNCTIONAL EXPENSES (DEPARTMENTAL EXPENDITURES)

We are under budget by \$40,000. Salary and benefit line items are from hiring lags and attribute to the savings. Other line items are related to timing differences in expenditures.

Line Items over by \$5,000: None

ON THE RADAR FOR 2016

Building reserves: Our goal is to make our final grant payment of \$102,100 to the Boys and Girls Clubs in 2016 for the operations of their Hope Centers. However reserves our thin, currently at \$156,000 as of January. The good news is we are back at 100% occupancy.

Community Campaign – 2015-16: We are updating projections on a weekly basis. The resource development team, board, campaign cabinet and others are working tirelessly on executing the gap strategies.

Unrestricted Reserves: Not all of the projected campaign shortfall of \$614,000 is unrestricted. \$350,000 was designated. When we add board approved reserve spending of \$270,000 to the \$264,000 shortfall of campaign undesignated dollars we anticipate a decrease to our minimum three month target of \$725,000 by year-end. This is a very early projection and we will do our best to update quarterly.

UNITED WAY OF PIERCE COUNTY SELECTED FINANCIAL INFORMATION

| AS OF FEBRUARY 29 2016 | | | |
|---|-------------------|-------------------|------------------|
| 2015-16 Community Campaign Budget Goal | | | 4,675,485 |
| Pledges Received | | | (3,362,723) |
| Pledges needed to reach Community Campaign Budget Goal | | | 1,312,762 |
| 2015 - Combined Federal Campaign (CFC) Budget Goal | | | 820,000 |
| Pledges Received | | | 565,461 |
| Final Results - CFC | | | (254,539) |
| 2015 - Community Impact Budget Goal | | | \$418,300 |
| Pledges Received | | | (27,500) |
| Pledges (over) under Goal | | | 390,800 |
| 2015-16 CAMPAIGN PERCENT COLLECTED | | | 32.68% |
| COLLECTIONS - SAME MONTH PRIOR YEAR | | | 33.62% |
| COLLECTIONS - SAME MONTH TWO YEARS AGO | | | 33.84% |
| BALANCE SHEET INFORMATION: | | | |
| | 2016 | 2015 | |
| Cash & Short Term Investments | \$2,273,340 | \$2,481,529 | |
| Unrestricted Asset Balances | | | |
| Building - Betye Martin Baker Human Service Ctr | 3,009,500 | 3,177,556 | |
| Equipment | 149,858 | 165,161 | |
| Endowment | 3,455,192 | 3,594,559 | |
| Undesignated | 459 | 22,500 | |
| STATEMENT OF ACTIVITIES INFORMATION: | | | |
| | 2016 Y-T-D | 2016 Y-T-D | 2016 |
| | ACTUAL | BUDGET | FULL YR BUDGET |
| Campaign Total (2015-16 Campaign) | \$3,928,184 | \$4,962,289 | \$5,495,485 |
| Designations (estimated) | (1,200,593) | (1,811,000) | (2,105,993) |
| Provision for Uncollectibles | (70,322) | (70,322) | (167,268) |
| Other revenues, gains and support | 56,853 | 67,167 | 941,813 |
| Net Campaign, Support & Revenue | 2,714,122 | 3,148,134 | 4,164,037 |
| Funded Partners | (194,430) | (194,430) | (1,166,579) |
| Impact | (23,000) | 0 | (294,638) |
| Functional Expenses & Dues (Incl UWPC Program) | (466,010) | (509,743) | (2,970,820) |
| Other Distributions | (300) | (500) | (105,000) |
| Depreciation on Equipment | (8,000) | | (19,000) |
| NET REVENUE(EXPENSE) | 2,022,682 | 2,443,460 | (392,000) |
| BETYE MARTIN BAKER HUMAN SERVICE CENTER | | | |
| As of JANUARY 31, 2016 | 2016 Y-T-D | 2016 Y-T-D | |
| | ACTUAL | BUDGET | |
| Net Inc./Loss - per books | (2,849) | (2,305) | |
| Net Inc./loss - cash flow | 8,255 | 14,847 | |
| | 2016 | 2015 | |
| Cash Position | 156,073 | 193,527 | |
| Miscellaneous Payables | 0 | 0 | |
| Long Term Debt | 0 | 0 | |

United Way
2016 Membership Certification

TIP! Enter responses into the certification via DocuSign, print or save as a PDF to share with your board, then return to DocuSign later to sign.

INSTRUCTIONS:

- Email membership@unitedway.org for instructions on submitting this certification via DocuSign. Both the Board Chair and Chief Executive Officer must electronically sign and submit this form via DocuSign in order to receive the "Requirements Completed" icon. If your United Way does not have a CEO, a second officer must also sign.
- Share this certification and your responses with the entire board and note date of meeting on page four. Note that you may enter responses in the DocuSign platform, print or save as a PDF for sharing with your board, and return to the document later to sign.
- Answer all questions and provide an explanation for any "no" answers.

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

As stated in United Way Worldwide's bylaws, United Ways will refrain from taking any actions or conducting activities likely to damage the welfare, interests, or reputations of the United Way system. United Ways will also meet the following requirements.

Note: If your organization's annual revenue is more than \$4 million, please submit the most recent audited financial statements, IRS Form 990 and code of ethics to membership@unitedway.org.

Requirement A: Tax-Exempt Status and Completion of the IRS Form 990

| | Yes | No |
|---|-----|----|
| Is your United Way recognized as exempt from taxation under Section 501(c)(3) of the Internal Revenue Code as well as from corresponding provisions of other applicable state, local and foreign laws or regulations? | X | |
| Did your United Way file the IRS Form 990 in a timely manner (within nine months of last fiscal year end)? | X | |
| Date the last IRS Form 990 submitted to IRS: <u>7-9-2015</u> | | |
| Have you followed the <i>UWW Implementation Standards for Membership Requirement A</i> in completing the IRS Form 990? | X | |
| Was a copy of the IRS Form 990 provided to the organization's governing body before it was filed? | X | |
| Does your United Way effectively communicate its program service accomplishments in the IRS Form 990, Part III? | X | |
| Is your United Way properly classified as a public charity as evidenced by checking box 7 on Part 1 of Schedule A of the IRS Form 990? | X | |
| For the prior fiscal year, did the organization become aware of a material diversion of the organization's assets? Please provide an explanation for a "YES" response to this question. Per the IRS, a material diversion is more than 5% of gross annual receipts or more than \$250,000, whichever is less. | | X |
| Is the compensation for the top management official (e.g., CEO, executive director) and top financial official (e.g., chief financial officer) reported as required on the IRS Form 990 in Part VII? | X | |
| Does your United Way make the IRS Form 990 (or 990 E-Z) available to the public? | X | |

Requirement B: Legal Requirements

| | | |
|--|---|---|
| Does your United Way comply with all applicable legal, local, state, and federal operating and reporting requirements (e.g., nondiscrimination)? | X | |
| In the last 12 months, have there been any government agency led investigations of your United Way for violations of local, state, or federal laws? Please provide an explanation for a "YES" response to this question. | | X |
| Does your United Way conduct anti-terrorism compliance measures? | X | |
| Does your United Way comply with provisions of Sarbanes-Oxley applicable to nonprofit corporations (whistleblower protection and implementation of document retention and destruction policies)? | X | |
| Does your organization promote itself as an equal opportunity employer? | X | |
| Is your United Way currently registered to conduct charitable solicitations at the state and local level? A response is not required if not applicable to your United Way. | X | |



Requirement C: Governance

| | Yes | No |
|---|-----|----|
| Does your United Way have an active, responsible, and voluntary governing body which ensures effective governance over the policies and financial resources of the organization? | X | |
| Does the board approve the annual budget? | X | |
| Does the board include at least two members with financial experience? | X | |
| Does the board, or board-delegated committee, review financial statements on at least a quarterly basis? | X | |
| Does the board review and approve fund distribution decisions? | X | |
| Does your United Way regularly provide training to governing board members? | X | |
| Does your United Way produce an annual report? | X | |
| Does your United Way's governing board review its bylaws and other governance documents at least once every three years? | X | |
| Are meeting minutes maintained for all governing board meetings? | X | |
| Does your United Way have a board-approved business expense reimbursement policy? | X | |
| Does your board meet at least quarterly? | X | |
| Is the external auditor engaged by and working for the board or board-appointed committee? | X | |
| Does your board review the external annual audit, and is the audit presented to the board by the auditor or audit committee chair? | X | |
| Did the board approve the process for determining the CEO's compensation (e.g., type of comparability data, independent members of the board reviewing and approving CEO compensation)? | X | |
| Did the board specifically approve the CEO's compensation? | X | |

Requirement D: Diversity & Inclusion

| | | |
|---|---|--|
| Does your United Way adhere to a locally developed and adopted statement to ensure volunteers and staff broadly reflect the diversity of the community it serves? | X | |
| Does your board review the organization's diversity statement at least once every three years? | X | |
| Does your board review, at least once every three years, a report of the board, volunteers and staff composition to ensure diversity is achieved? | X | |

Requirement E: Trademark

| | | |
|---|---|--|
| Does your United Way represent itself as a United Way in accordance with all United Way Worldwide trademark standards and requirements, including those contained in the licensing agreement? | X | |
| Does your organization's name include a geographic modifier (e.g., United Way of XYZ County), and is the full corporate name included in public advertising (e.g., broadcast, print, electronic, email, social media, website)? | X | |
| Does your United Way follow United Way brand identity guidelines in all respects? | X | |
| Does your United Way only solicit businesses located in your zip codes on file at United Way Worldwide (GiftLink)? | X | |
| Does your United Way limit its workplace solicitations to individuals who work at facilities in your zip codes on file at UWW? | X | |
| Does your United Way limit its non-workplace solicitations of individuals to your zip codes on file at UWW (e.g., home addresses in your United Way's territory, special events in your United Way's territory)? | X | |
| Does your United Way purchase promotional products bearing the marks of United Way only from vendors licensed by United Way Worldwide? | X | |

Requirement F: Membership Investment

| | | |
|--|---|--|
| Does your United Way provide financial support to United Way Worldwide in accordance with the membership investment formula? | X | |
| Will 2016 membership investment be paid in quarterly installments and in full no later than December 31, 2016? | X | |

Requirement G: Code of Ethics

| | | |
|---|---|--|
| Does your United Way adhere to a locally developed and adopted code of ethics for volunteers and staff, which includes provisions for ethical management, publicity, fundraising practices, and full and fair disclosure? | X | |
|---|---|--|

| | Yes | No |
|--|-------------------------------------|--------------------------|
| Do all staff and board members annually verify in writing they have reviewed the code of ethics? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Does your United Way have a written conflict of interest policy? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Does the code of ethics or conflict of interest policy instruct the board and staff to avoid conflicts of interest that would act against the best interest of United Way? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Does the code of ethics or conflict of interest policy include a process for reporting and resolving conflicts of interest should they occur? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Are the board members and staff required to disclose in writing, on an annual basis, any potential conflicts of interest? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Does your board review the code of ethics at least once every three years? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Requirement H: Audit

| | | |
|---|-------------------------------------|--------------------------|
| Does your United Way have an annual audit conducted by an independent certified public accountant whose examination complies with generally accepted auditing standards and GAAP? Organizations with annual revenue less than \$500,000 may have their financial statements reviewed by an independent certified public accountant. | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Annual revenue per most recent year-end financial statement: \$ <u>6,845,076</u> | | |
| Were most recent financial statements audited by an independent CPA (required if annual revenue exceeds \$500,000)? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Was the auditor's opinion unqualified (i.e., a "clean" audit)? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Were most recent financial statements reviewed by an independent CPA (acceptable only for organizations with annual revenue of less than \$500,000)? <u>N/A</u> | | |
| Fiscal year of most recent audit or review: <u>2016</u> | | |
| Has your United Way followed the <i>UWW Implementation Standards for Membership Requirement H</i> in preparing the audited financial statements? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Has your United Way followed the <i>Functional Expense and Overhead Reporting Standards for United Ways</i> in preparing the audited financial statements? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Does the board, executive committee or audit committee review the auditor's management letter and take appropriate actions to minimize any risks identified? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Has the board established or considered establishing an operating reserve policy? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Has the board, or board-delegated committee, approved the current provision for uncollectible pledges (estimated shrinkage)? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |

Requirement I: Self-Assessment

| | | |
|---|-------------------------------------|--------------------------|
| In the last three years, did your United Way conduct and submit to UWW a copy of its volunteer-led self-assessment of their community impact work, financial management, and organizational governance and decision making? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
| Indicate year of last self-assessment | | |
| <input type="radio"/> 2013 (next self-assessment in 2016) <input type="radio"/> 2014 (next self-assessment in 2017) | | |
| <input checked="" type="radio"/> 2015 (next self-assessment in 2018) <input type="radio"/> 2016 (next self-assessment in 2019) | | |
| <input type="radio"/> Prior to 2013; we acknowledge the self-assessment is overdue and will complete a self-assessment in 2016 | | |

Requirement J: Database II

| | | |
|--|-------------------------------------|--------------------------|
| Did/will your United Way submit Database 2 to UWW by May 15, 2016, or by June 30, 2016 (if on a July-June fiscal cycle)? | <input checked="" type="checkbox"/> | <input type="checkbox"/> |
|--|-------------------------------------|--------------------------|

Requirement K: Income and Expense Survey – Suspended for 2016

Requirement L: Campaign Reporting

| | Yes | No |
|---|-----|----|
| Does your United Way adhere to standard reporting guidelines contained in the Database 2 Survey in reporting campaign revenue and resources generated to United Way Worldwide? | X | |
| Are amounts reported on Database 2 provided in accordance with the NPC Total Resources Generated Policy? | X | |
| Has your United Way talked with neighboring United Ways and United Ways with whom you share accounts to ensure that your campaign proceeds are being properly reported in accordance with NPC policies? | X | |

Requirement M: Cost Deduction Standards

| | | |
|--|---|--|
| Does your United Way adhere to the following cost deduction standards on designations (agency transactions): a) fees charged will be based on actual expenses; b) will not deduct fundraising or processing fees from designated gifts originating by or from another United Way organization? | X | |
| Does your United Way allow donor-designated contributions? If answer is no, you may skip next three questions. | X | |
| Have you calculated the maximum cost deduction rates according to the Cost Deduction Standards for Membership Requirement M (Part I) and are the rates charged at or below those rates? | X | |
| Has the board, or board-delegated committee, approved the currently used cost deduction rates for fundraising and management/general expenses? | X | |
| Does your United Way pay designated gifts quarterly that include reports required under this standard? | X | |

Review by United Way Governing Board

This certification was reviewed with our governing board at their meeting held on _____ and is reflected in the minutes of this meeting.

Please provide contact information so that United Way Worldwide may communicate directly with your United Way's leadership. United Way Worldwide will not share nor disclose this information to outside parties.

I affirm that the information provided in this certification is accurate. I acknowledge my United Way's obligation to comply with the membership eligibility criteria contained in the United Way Worldwide bylaws, and to adhere to the rules and guidelines for use of United Way Worldwide collective and service membership marks as contained in the Member Trademark License Agreement. Failure to comply with United Way Worldwide membership eligibility criteria, including payment of membership investment, or to adhere to trademark policies, may result in termination of United Way Worldwide membership status.

Must be signed via DocuSign. Email membership@unitedway.org for instructions.