



Endorsed Agency Criteria Application and Checklist

United Way of Decatur & Mid-Illinois Endorsed Agencies will participate in the agency endorsement process every 3 years. Although endorsement will be for a period of 3 years, United Way may ask for updated information during that 3 year timeframe.

Endorsement is a necessary condition to be considered for future United Way funding but does not guarantee or imply that an Endorsed Agency will receive United Way funding dollars. United Way will consider funding applications from Endorsed Agencies and all agencies who have received Endorsed Agency status by United Way will be eligible to apply for funding. Funding applications for each of the United Way priority areas will be issued to every Endorsed Agency.

Agency Endorsement will be conducted by United Way staff and overseen by the United Way Board of Directors. All written applications and supplemental materials will be reviewed by the following United Way staff: Executive Director; Director of Finance and Administration; and Community Impact Director. Written applications may be viewed by The Board of Directors if United Way staff have questions or concerns. The United Way staff and Board of Directors understand that some of the documents that you submit to the United Way for Endorsed Agency approval may be sensitive in nature and will be held confidentially.

Please complete this application and return it, along with all supporting documentation and an agency summary to the United Way of Decatur & Mid-Illinois, 202 E. Eldorado, Ste B, Decatur, IL 62523 on or before **February 26, 2010**. Your agency summary should include the purpose, vision, and mission of your organization, organizational history, summary of agency programs, the benefit that your organization provides for our community, as well as any additional information that you would like United Way staff to consider as we review your organization. Agency summary should not exceed 2 pages in length.

No late applications will be accepted and incomplete applications will be reviewed at the discretion of United Way. Applications not meeting all 19 standards will not be accepted for endorsement. Application and documentation should be submitted on 8 ½ x 11 paper, unstapled, and copied on front side only.

Please direct all questions to Chad Clevenger, Community Impact Director, by phone, 422-8537, or by e-mail, cclevenger@uwdecatur.org

Instructions:

- Both the Chief Volunteer and Chief Professional Officers must sign this application.
- Answer all questions and provide a written explanation for any omissions or “no” answers.

Agency Name: _____

Agency Address: _____

County: _____ Year Agency Incorporated _____

Phone: _____ Fax: _____

Agency Executive Director: _____ Length of Employment: _____

Agency Executive Director E-mail Address: _____

Name of Person Completing Application: _____

E-mail Address of Person Completing Application: _____

Is your organization accredited and/or regulated by any organization? Yes / No

If yes, please list: _____

Agency Fiscal Year: _____

Chief Volunteer Officer Certification

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

Signature of Chief Volunteer Officer

Name Printed

Date

Chief Professional Officer Certification

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

Signature of Chief Professional Officer

Name Printed

Date

Standard	Definition & Documentation of Standard	Yes	No
Standard 1	Is your organization recognized as exempt from taxation under Section 501 (c)(3) of the Internal Revenue Code? <i>Please attach copy of 501 (c)(3) letter.</i>	Yes	No
Standard 2	Does your organization file IRS 990 in a timely manner? Date last IRS Form 990 submitted to IRS: <i>Please attach most recent 990, and 1 year prior.</i>	Yes	No
Standard 3	Annual Financial Audit: Agencies with budgets of \$150,000 or above must conduct an annual examination of agency financial statements by an independent Certified Public Accountant in accordance with generally accepted auditing standards, to include an opinion regarding the presentation of the agency's financial statements. Does your organization undergo an annual audit by an independent Certified Public Accountant? If no, please submit an explanation, in writing, of why an audit is not conducted and an explanation of organization's financial review. <i>Please include copy of most recent audit, and 1 year prior, including Auditor's Management Letter. Please include an explanation of how your organization plans to address any issues identified in the Management Letter.</i> <i>• Please include Board minutes that highlight that the audit was presented to the Board of Directors.</i>	Yes	No
Standard 4	Annual Financial Review: Agencies with budgets below \$150,000 must conduct an annual independent financial review by an independent Certified Public Accountant in accordance with Statements on Standards for Accountability and Review Services issued by the American Institute of Certified Public Accountants. Does your organization undergo an annual independent financial review? If no, please submit an explanation, in writing, of why an audit is not conducted and an explanation of organization's financial review. <i>Please include copy of most recent financial review, and 1 year prior.</i>	Yes	No

Standard 5	Financial Reports: Regular financial reports to the Board of Directors with clear information regarding actual expenses as they related to annual budget, and actual revenues compare to projected income. Reports should be included as part of Board minutes and approved at least quarterly by governing body. Are financial reports approved by your Board of Directors at least quarterly?	Yes	No
	<i>Please enclose copies of the past 4 financial reports as presented to the Board, along with highlighted minutes that show approval of the reports.</i>		
Standard 6	Annual Budget: Organization submits an annual budget to the Board of Directors for its fiscal year, outlining projected expenses for major program activities, fundraising, and administration.	Yes	No
	<i>Please attach current year, Board-approved annual budget along with highlighted Board minutes approving the budget.</i>		
Standard 7	Financial Reserve Policy: A practice, approved by the governing body of your organization that promotes building and retention of agency cash reserves in an amount sufficient to keep agency solvent in the event of unforeseen disruption of incoming revenue for a set period of time.		
	Does your organization have a Board approved Reserve Policy?	Yes	No
	If yes, are you in compliance with your Reserve Policy?	Yes	No
	<i>Please attach a copy of Agency Financial Reserve Policy.</i>		
Standard 8	Viability of Agency: Agency must advise United Way of any event, including current or threatened litigation, that may threaten the viability of and/or have significant negative financial impact on agency operations or service delivery. Agency must also inform United Way of any agreements that might impair the agency's financial position. Examples of incidents include internal fraud or embezzlement, or discontinuation of funding or service.		
	Are there any known events that might threaten the viability of the agency?	Yes	No
	If yes, please enclose a report detailing concern.		

Standard 9	<p>Agency By-laws: Agency should have adopted by-laws that include the following:</p> <ul style="list-style-type: none"> • Minimum # of Board members. United Way will require a minimum of 5 members for United Way endorsement and all Board members should serve without compensation. • Length of board term, term limits, outline how board members are elected, and attendance requirements. • Election of officers and their responsibilities. • Definition of standing committees and their duties. • Definition of quorum & minimum # of Board meetings. United Way will require a minimum of 4 Board meetings annually. • Outline of process to amend by-laws. 		
	<i>Please attach a copy of Agency By-laws including date of last update to By-laws AND Board of Directors roster.</i>		
Standard 10	<p>Articles of Incorporation: Legal documents that must be filed to form a Corporation in Illinois that includes corporate name, its designation as a Charitable organization, and certain additional information. United Way endorsed agencies whose parent organizations are incorporated in another state and are a legal entity of the parent organization may submit the articles of the parent organization to satisfy this standard.</p>		
	<i>Please submit a copy of Articles of Incorporation.</i>		
Standard 11	<p>Insurance: The organization needs to maintain adequate levels of liability insurance to protect itself against claims of others and property insurance to protect its assets.</p> <p>Are insurance policies current?</p>	Yes	No
	<i>Please list types of insurance coverage maintained along with certificates of insurance coverage.</i>		
Standard 12	<p>Legal Requirements</p> <p>Does your organization comply with ALL applicable legal, local, state, and federal operating and reporting requirements?</p>	Yes	No
Standard 13	<p>Evaluation of Executive Director: Board demonstrates proper accountability and responsibility through an annual performance review of the agency's Executive Director. To qualify for endorsement, performance review must be conducted at least every 18 months.</p> <p>Date of the last Board review of the Executive Director:</p>		
	<i>Please attach board minutes that recognizes Executive Director has been reviewed OR a letter from Board President indicating that review took place and the date of the review.</i>		

Standard 14	<p>Code of Ethics policy: The organization adheres to an adopted code of ethics for Board of Directors and staff that includes policies and procedures governing conflicts of interest and self-dealing transactions, and policies of ethical management. This policy should be reviewed annually and signed by staff and Board of Directors.</p> <p>Has your organization's staff and Board of Directors signed a Code of Ethics policy?</p> <p>Are Signed Conflict of Interest Statements on file at organization and available for review to United Way, if requested?</p>	Yes Yes	No No
<i>Please include copy of Code of Ethics policy.</i>			
Standard 15	<p>Personnel Policy: These policies include practices and procedures for hiring, supervision, evaluation and compensation of organization staff including employment rights, benefits, and appeal procedures. These policies may also include a systematic approach to training and orienting new staff to their duties and reporting requirements.</p> <p>Does your agency have a personnel policy?</p> <p>Is it available to all employees?</p>	Yes Yes	No No
Standard 16	<p>Diversity Policy: United Way of Decatur & Mid-Illinois is committed to the principle of diversity. We therefore:</p> <ul style="list-style-type: none"> • Value and embrace diversity, and respect others. • Support equal employment opportunity programs throughout United Way. • Will not discriminate for or against any individual in violation of any applicable federal, state, or local law, including in the employment of staff and in the selection of volunteers. • Refuse to engage in or tolerate any form of harassment. <p>Does your agency comply with the United Way diversity policy?</p>	Yes	No
<i>Please attach a copy of agency Diversity Policy including date policy was adopted by Board of Directors.</i>			
Standard 17	<p>Accountability: Organization must have the ability to allocate expenses by program and, in particular, the ability to allocate expenses by program for which organization requests United Way funds. Organization agrees to keep accurate and complete financial and program information including program outcomes, and agrees to submit information to United Way on regularly scheduled intervals as determined by United Way.</p> <p>Does your organization comply with accountability standards?</p>	Yes	No

Standard 18	<p>Document Destruction Policy: Individuals shall not knowingly alter, destroy, mutilate, etc. documents with the intent to impede, obstruct, or influence an investigation of any department or agency of the United States. All United Way Endorsed Agencies must comply with this section and have a document destruction/ non-destruction policy in place. *United Way of Decatur & Mid-Illinois can provide an example if needed.</p> <p>Does your organization have a Document Destruction Policy in place?</p>	Yes	No
	<p><i>Please attach a copy of agency Document Destruction Policy. A copy of the policy along with the board minutes reflecting approval of the policy must be to United Way by June 30, 2010.</i></p>		
Standard 19	<p>Whistle Blower Protection Policy: It is unlawful to discharge, demote, suspend, threaten, harass, or discriminate in any other manner against any employee who provides information regarding conduct the employee believes constitutes financial fraud or a violation of the laws. All United Way of Decatur and Mid Illinois Endorsed Agencies must comply with this section and have a policy in place for reporting, communication and follow-up of any fraud or illegal misconduct. *United Way of Decatur & Mid-Illinois can provide an example if needed.</p> <p>Does your organization have a Whistle Blower Policy in place?</p>	Yes	No
	<p><i>Please attach a copy of agency Whistle Blower Protection Policy. A copy of the policy along with the board minutes reflecting approval of the policy must be to United Way by June 30, 2010.</i></p>		

Executive Director, Agency Staff, Board of Directors, Volunteers, and others acting on behalf of our agency agree to the following:

- The organization agrees to identify United Way partnership through the display or mention of United Way logo and/or name on the program activities, transportation vehicles (if applicable), official letterhead, newsletters, brochures, advertising and other printed program materials. The organization also agrees to identify itself as a United Way Endorsed Agency in news releases, public service announcements, community presentations, and other means, if possible.
- The organization agrees to cooperate as an Endorsed Agency with the United Way of Decatur & Mid-Illinois by conducting a United Way campaign among employees and Board members. The organization's staff agrees to serve as campaign volunteers, if asked, and the facilities are available for campaign meetings, and tours. The organization also agrees to regularly supply agency success stories to United Way for use throughout the year to promote the benefit of United Way funded programs.
- Organization agrees not to solicit gifts through payroll deduction at any time during the year. Organization will not undergo activities that will purposefully or accidentally negatively impact the United Way campaign. Organizations will not actively solicit designated gifts to their organization through the United Way campaign.
- Organization agrees to consult and work together on matters of common interest in an effort to achieve the best interests of the community, Macon and DeWitt Counties, as a whole.
- When an agency seeks bids for any capital project, either remodeling or new construction, it must make written solicitations, including obtaining bids from AFL-CIO union contractors.
- Organizations will furnish United Way with its annual audited (reviewed) financial statements and Form 990 upon completion.

Endorsed Agency Criteria Checklist

- ❑ Completed application signed by both the Chief Volunteer Officer and the Chief Professional Officer.
- ❑ Agency summary, up to 2 pages in length, including the purpose, vision, and mission of your organization, organizational history, summary of agency programs, and the benefit that your organization provides to the community.
- ❑ Standard 1 – attach copy of 501 (c)(3) letter.
- ❑ Standard 2 – attach most recent 990 and 1 year prior.
- ❑ Standard 3 – attach copy of most recent audit and 1 year prior (For agencies with budget of \$150,000 or above).
- ❑ Standard 4 – attach copy of annual financial review and 1 year prior (For agencies with budget below \$150,000).
- ❑ Standard 5 – attach past 4 financial reports as presented to Board, along with highlighted minutes that show approval of reports.
- ❑ Standard 6 – attach current year, Board approved budget, along with highlighted minutes that show approval of the budget.
- ❑ Standard 7 – attach copy of agency Financial Reserve Policy.
- ❑ Standard 8 – attach concerns addressing viability of agency (If there are no concerns, no attachment is necessary).
- ❑ Standard 9 – attach copy of Agency By-laws, including date last updated AND Board of Directors roster.
- ❑ Standard 10 – attach Articles of Incorporation.
- ❑ Standard 11 – attach list of insurance coverage and certificates of insurance.
- ❑ Standard 12 – no attachment necessary.
- ❑ Standard 13 – attach Board minutes acknowledging review of Executive Director OR letter from Board President indicating that review took place and date of review.
- ❑ Standard 14 – attach code of ethics policy.
- ❑ Standard 15 – no attachment necessary.
- ❑ Standard 16 – attach Diversity Policy including date policy was adopted by Board of Directors.
- ❑ Standard 17 – no attachment necessary.
- ❑ Standard 18- attach Document Destruction Policy along with the board minutes reflecting approval of the policy.
- ❑ Standard 19- attach Whistle Blower Protection Policy along with the board minutes reflecting approval of the policy.