



# AGENCY HANDBOOK 2018

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United Way  
of Central Alabama, Inc.



**UNITED WAY OF CENTRAL ALABAMA  
2017 AGENCY HANDBOOK**

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## RESOURCE DEVELOPMENT

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Resource Development at United Way is a year round activity. Through Workplace Campaign, Major Gifts, Legacy Giving Divisions and Hands on Birmingham, UWCA gives donors and volunteers the opportunity to improve the quality of life for all people in all communities. United Way implements workplace campaigns in the summer months beginning in June and in September until the first week in December. Campaigns optimize annual giving and philanthropy in the community giving to over 80 health and human service partners. Resource Development engages over 3,000 volunteers during the campaign and other fund and friend raising activities. In 2016, United Way raised over \$39,000,000 for its agency partners, direct services and programs.

### WORKPLACE CAMPAIGNS

**Timetable:** The Pacesetter Campaign is held during the summer months and the General Campaign begins in September and runs through November. Over 4,000 companies are solicited annually.

***Description** – Payroll deduction makes up 72% of campaign funds. Campaign success depends the active participation by everyone in the community. Donors give because they believe their contributions make a difference. Led by a campaign chairperson and a cabinet of volunteers, CEOs visits enlist support through an annual pledge drive, engagement in volunteer activities, leadership giving, and agency tours and speakers.*

### HOW YOU CAN HELP

- Support ALL agencies in the federation by running a workplace campaign
- Appoint a top staff leader to coordinate your campaign and send this person to United Way training.
- Run a model campaign in your agency. Include tours, speakers, video, payroll deduction, and leadership giving. Promote giving.
- Offer new employees the opportunity to contribute to United Way through the New Hires program.
- Identify your association with United Way in all media.
- Participate in the speaker's bureau.
- Conduct tours of your agency for employee groups.
- Lend a staff member to serve as a loaned executive. The benefits of the Loaned Executive Program include leadership development, team building, enhanced speaking skills, and strengthened professional skills.
- Recruit clients to give testimonials about your agency.
- Provide client statistics for campaign communications.
- Participate in agency fairs by creating and staffing a visual display.
- Abide by the United Way fund raising policy –The fundraising blackout period is from the kickoff in September to Thanksgiving in November.
- Encourage Board Members and volunteers to conduct and advocate for the United Way Employee Campaign in their workplace.

Staff Title	Staff Name	Contact
Senior VP Resource Development	Ellyn Grady	458-2010
Administrative Support	Rita Ward-Maxwell	458-2009
Vice President Annual Campaign	John Martin	458-2011
Vice President Staff and Volunteer Training	Emily Fields	458-2034
Vice President Market Dev/Donor Relations	Michelle Lawley	458-2039
Administrative Support	April Taylor	458-2052
Administrative Support	Donna Thomas	458-2080

## MAJOR GIFTS

**Timetable:** The Major Gifts Division works within the Campaign timeframe and throughout the year to assist individual donors in meeting their philanthropic goals.

***Description** – Staff works with individuals who wish to make significant investments in their community. Several leadership-giving associations exist to recognize and thank individuals, families and foundations who have made United Way of Central Alabama their primary philanthropic focus. A leadership gift is \$1,000 or more annually. UWCA has one of the largest Tocqueville Societies in the Nation.*

## HOW YOU CAN HELP

- Be knowledgeable about leadership levels and the matching programs.
- Participate in leadership campaigns as a speaker.
- Promote leadership giving in your organization.

Staff Title	Staff Name	Contact
Vice President Major Gifts/Tocqueville	Caroline Bolvig	458-2038
Administrative Support	Rita Ward-Maxwell	458-2009

## LEGACY GIFTS

**Timetable:** The Legacy Gifts Division works annually to build the endowment. During the General Campaign, it plays a major role in the Loyal Contributor Direct Mail solicitation of people who have retired or no longer give through a company.

***Description** – Legacy Giving uses a variety of philanthropic strategies that help donors provide for needs in the community while advancing their own financial and personal objectives. It maintains long-term relationships with donors, volunteers, loaned executives and advocates. It celebrates the philanthropist in all of us. Gifts may be a current or deferred gift and may result in significant tax benefits. The purpose is to leave a lasting legacy that touches lives well into the future.*

## Legacy Giving Program

- Planned gifts are pooled into an endowment, which is an additional resource for supporting United Way's mission.
- Provides a way for donors to endow their gift and support the community far into the future
- Allows United Way to touch more lives through its support of partners, programs, and initiatives

## Types of Giving Vehicles

- Gifts from a will, estate plan, trust, or foundation
- Gifts from a retirement plan or life insurance policies
- Gifts of stock or other asset
- Memorials and Bequests

## Diamond Donors

- Any individual or couple who has donated or volunteered to any United Way for 25 years or more at any level of support.
- Designed to thank, recognize and involve these individuals in the corporate setting or in their retirement.

## HOW YOU CAN HELP

- Consider a planned gift to United Way to endow your gift and benefit the community far into the future.
- Encourage your board, volunteers and staff to consider making provisions in their will or estate plans for a gift to United Way.
- Identify Diamond Donors, people giving 24 or more years to United Way, and begin a Diamond Donor program in partnership with United Way staff.

Staff Title	Staff Name	Contact
Vice President Legacy Gifts	Kathy Briscoe	kbriscoe@uwca.org
Administrative Support	Camille Kahlert	458-2036

## YOUNG PHILANTHROPISTS SOCIETY (YPS)

The Society nurtures the next generation of volunteers and philanthropists. The mission of the Society is to engage, inspire, educate, and empower young leaders in Central Alabama to share their spirit and resources for betterment of our community. YPS members serve on committees, participate in community service projects and attend events with Tocqueville Society members, corporate leaders and experts in philanthropic giving.

## HOW YOU CAN HELP

- Recruit young leaders to the group.
- Support young leader events as a speaker, or provide an opportunity for volunteer activities.
- Sponsor a meeting or a volunteer activity.

Staff Title	Staff Name	Contact
Director of Annual Campaign	Joanne Patterson	jpatterson@uwca.org
Relationship Manager	Elizabeth Ragland	eragland@uwca.org

## WOMEN UNITED

Women United raises awareness about the importance of local philanthropic involvement with a specific appeal to the women in Central Alabama and a goal of increasing leadership level contributions. Women United works in concert with other leadership groups such as Feather Association (beginning at the \$1,000 level). Builders Society (\$5,000+ level giving) or Tocqueville Society (\$10,000+ level giving), and does not conflict or compete with them. Women United members plan and conduct events that bring women together to learn about needs in the community, volunteer engagement, and philanthropic opportunities.

### HOW YOU CAN HELP

- Identify young women who would benefit from building relationships with successful women leaders and encourage them to join this affinity group.

Staff Title	Staff Name	Contact
Relationship Manager	Courtney Orazine	Corazine@uwca.org

## HANDS ON BIRMINGHAM (HOB)

Hands on Birmingham (HOB) was established in 1998 with the goal of making volunteering accessible to everyone. HOB's mission is to connect individuals to meaningful volunteer opportunities to improve their community. Through use of an online database, Hands on Birmingham is the area leader for volunteer recruitment and management, coordinating thousands of volunteers for such events as the MLK Day of Service and Project Homeless Connect, as well as, episodic volunteer opportunities for individuals, families, civic groups and companies. HOB also works with corporate volunteer groups to plan and implement group volunteer events, such as days of caring. Projects take place in office settings, in neighborhoods, schools and at agencies.

### HOW YOU CAN HELP

- Agencies with volunteer-friendly projects are encouraged to list their activities with HOB. Call the director for more information or refer to the web site at <http://www.handsonbirmingham.org/>

Staff Title	Staff Name	Contact
Director, Hands On Birmingham	Benga Harrison	Bharrison@uwca.org

## MARKETING & COMMUNICATIONS

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**Timetable:** Year-round

**Description** – *The Marketing & Communications Team is responsible for the overall marketing strategy, internal and external communications and branding of United Way. This includes the newsletter, annual report and news releases as well as advertising, social media and direct marketing.*

### AGENCY-RELATED RESPONSIBILITIES

- **Videos/Stories:** We are proactive in telling the United Way story, and our partners are a big part of our message. We need video testimonials about agency clients and the benefits of partnership with United Way. You can help by letting us know when clients are willing to tell their story and advocate on our behalf.
- **Social Media:**
  - ◇ Facebook: United Way of Central Alabama
  - ◇ LinkedIn: @UnitedWayofCentralAlabama
  - ◇ Vimeo: United Way of Central Alabama
  - ◇ Twitter: @UNITEDWAYAL
  - ◇ Instagram: @unitedwaycentralal
- **Needs and Results:** We always strive to illustrate the needs in our community and show the results of our work. Any infographics, stats or the impact a dollar may have, help us show our value.
- **Marketing Materials:** We produce various print and digital promotional materials for targeted markets designed to inform our various audiences about how United Way and our partners serve people. Examples include: pledge cards, annual report, marketing brochures, training booklets, posters, newsletters, e-communications, PowerPoint presentations, and videos.
- **Web Site Management:** Visit our web site at [www.uwca.org](http://www.uwca.org). Your organization's information is listed on our [Partner Agency page](#) and we like to keep your content current. Let us know if we need to make updates and if you have a website so we can link your site to ours.
- **Organizational Special Events:** We plan and implement such events as the Annual Meeting, Campaign Kick-offs, Loaned Executives welcome and thank you events. Please support these activities!
- **Tours:** We encourage donors and potential donors to visit our partner agencies. In fact, we may call and ask if you can show groups through your organization. Agency tours are one of our best marketing tools. Here are some suggestions for conducting successful tours:
  - ◇ Warmly welcome your tour group.
  - ◇ Give brief overview of your agency and tell one or two stories of success.
  - ◇ Identify needs (quantify); is there a waiting list?
  - ◇ Show the "link" between client, agency, United Way, and contributor's gift.
  - ◇ Explain the challenges of your clientele and the reason your agency exists.
  - ◇ Encourage questions.
  - ◇ Talk about volunteer opportunities.
  - ◇ Stay on schedule with the tour.
  - ◇ Thank group for choosing your agency.

- **Agency Fairs:** We schedule agency fairs only when companies request them. We encourage companies to provide incentives for their employees to attend (refreshments or door prizes) and ask agencies to staff the booths with printed materials and photos of their services. Volunteers from your agency can also staff the agency fairs. We do not promote fairs but try to meet our customers' needs.
- **Speakers:** We ask you to provide speakers (and clients if appropriate) from your agency primarily during campaign (the busiest months are August - November). A "picture story" is most effective (what happened to a client before and after your services were provided), so contributors can easily make the "link" between United Way and your agency. In addition, we ask that agency speakers highlight the partnership between United Way's work and the agency's work in the areas of health, education, financial stability and access to services/crisis response. Staff and volunteers are offered speakers bureau training presented by United Way staff. Agency speakers are encouraged to attend training before they speak on behalf of the United Way/agency partnership. One-on-one training can be offered upon request.

## IDENTIFY YOUR AGENCY WITH UNITED WAY

- **Printed Materials:** The United Way Brand is one of the most recognized and respected in the world. This non-profit seal of approval is an asset to any non-profit organization. Your partnership agreement with United Way says that you agree to display the United Way Brand to ensure a unified and consistent identification of the relationship between your agency and United Way. Examples: newsletters, general brochures, e-mail signature, web footer, annual reports, letterhead, posters, invitations, envelopes.
- **Examples:** websites, newsletters, general brochures, annual reports, letterhead, posters, invitations, envelopes.
- **Signs:** The United Way logo should be visible somewhere on the exterior and interior of your office or building. Miscellaneous signs, including banners, billboards, etc., are also a great way to show your agency and United Way are working together.
- **Logos:** Call Marketing and Communications for logos to use in your printed materials.
- **Web Sites:** Prominently display the United Way logo on your web site and provide a link to United Way's site at [www.uwca.org](http://www.uwca.org).

Staff Title	Staff Name	Contact
Senior VP Marketing and Communications	Chip Graham	458-2040
VP-Marketing and Communications	Nancy Cargile	458-2049
Director of Outreach Communications	Bryan Chace	458-2042
Communications Associate Graphic Design	Chris Goodson	458-2048
Marketing and Communications Associate	Carter Pine	458-2041

## PUBLIC RELATIONS

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**Timetable:** Ongoing

***Description** – The Public Relations department creates, manages and implements Public Relations campaigns and strategies with the goal of enhancing United Way’s image. We strive for a strategic communication process that builds mutually beneficial relationships between organizations and our publics. In addition, we manage and maintain strong relationships with regional and state media organizations. The PR department often arranges partnerships with government, businesses and other nonprofit organizations to raise the profile of United Way of Central Alabama, Inc.*

### AGENCY-RELATED ROLES

- **Telling Your Story:** We are proactive in telling the United Way story and we want our allocation partners to be part of our messaging. You can help by suggesting success stories and agency impact content for our website, newsletters and social media.
- **Needs and Results:** Surveys, studies and reports help us show the need for services. Send us information that you think might help us communicate the need for services and updates on emerging health and human service trends.
- **Crisis Communications:** If you have an agency crisis that you believe will generate disturbing publicity please contact Samuetta Nesbitt, Senior VP of Public Relations at 458-2050 or (205) 613-5373 (mobile) as part of your crisis plan. If you don’t have a crisis plan, we will help you develop one.
- **Public Relations Consultations:** If you don’t have a dedicated public relations staff and you want to bounce an idea off our staff, we are here for assistance, advice or referrals.

### IDENTIFY YOUR AGENCY WITH UNITED WAY:

- **Media Relations:** When talking with the media, mention your affiliation with United Way (such as: partnerships, collaborations and funding).
- **Community Outreach:** When talking to a group or club, mention your agency as a United Way partner and that part of your funding comes from United Way. Public service opportunities such as health/agency fairs or media sponsored help lines are excellent places to mention your United Way affiliation. Any type of agency meeting is also an excellent way to link your agency with United Way.

Staff Title	Staff Name	Contact
Senior VP-Public Relations	Samuetta P. Nesbitt	458-2050
Public Relations Specialist	John Brimley	(on military leave)
Public Relations Specialist	Emily Cook	458-2046

## FINANCE

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**Timetable:** Ongoing

***Description** – The Finance department is responsible for reporting on United Way of Central Alabama’s overall budget and expenses, bookkeeping, collection of all pledges and receivables, and disbursing allocation checks.*

### WHAT FINANCE DOES

**Bookkeeping Services/Data Processing:** These services may be available to member agencies provided United Way has the operational capacity to deliver needed services. Services include payroll and accounts payable. The cost for these services is the participating agency's share of operational costs.

- Payroll changes are due six working days prior to payroll date. The normal payroll date is the 14th and the 28th of each month.
- Payables are due by 2:00 p.m. on Wednesday of each week for processing by the following Wednesday. Manual checks are issued for emergencies only, with a 24-hour turn-around time.

### Financial Reporting & Fund Distribution

- Agencies receive 1/12 of their allocation monthly and payment is mailed by the 10th of each month or sent via electronic fund transfer (EFT).
- Agencies using our accounting system have expenses paid by United Way and receive credit for 1/12 of their allocation on the first (1st) of every month. Any funds advanced for payment of expenses beyond the thirty (30) day grace period and which exceed the accrued allocation will be charged interest at the prime rate.

Staff Title	Staff Name	Contact
Chief Financial Officer	Kelly Carlton	458-2090
Vice President Finance	Chris Luketic	458-2089
Human Resource/Benefits Administrator	Tamara Calvert	458-2093
Agency Payroll	John McLeod	458-2098
Allocation Distributions	Pam Lester	458-2085
Agency Accounts Payable	Judy Dial	458-2187
Pledge Collections/Agency Designations	Lisa Jett	458-2082
Receipting for Gifts	Lisa Jett	458-2082
Stock Transactions	Sandy Deason	458-2053
Admin Assistant/Finance	Karen Bell	458-2092

## ANNUAL AUDIT

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**Timetable:** Annually

**Description** – *As part of the membership agreement, agencies with annual revenue of more than \$100,000 are required to submit their annual audit with their annual allocation request that is due in August of each year. The audit must comply with the Standards of Accounting and Financial Reporting for Voluntary Health and Welfare Organizations as set forth in the American Institute of Certified Public Accountants (AICPA) Industry Audit Guide for Audits of Voluntary Health and Welfare Organizations (which includes FASB #116, 117, and 124 as appropriate).*

Each year the agency must submit an unqualified audit that includes disclosure of all assets and liabilities and provides an income statement on an accrual accounting basis meeting Standards for Charity Accountability established by the Better Business Bureau.

Audits must be completed within eight months after the end of the fiscal year so they can be submitted to United Way by mid-August. If the agency fiscal year end falls at a time where the mid-August deadline cannot be met, the agency is requested to submit in writing the date the audit can be expected. If the expected date passes and the audit has not been received a follow up call to the agency is made for details.

Complete financial statements should be prepared in conformity with generally accepted accounting principles (GAAP), accompanied by a report of an independent certified public accountant, and reviewed by the board. A GAAP audit requires that:

- a statement of functional allocation of expenses should be available and that
- audits include the auditor's report, notes and any supplementary schedules.

When appropriate, agencies receiving federal grants, fees and contracts are expected to comply with federal reporting guidelines (e.g. OMB A-133) and make these statements available.

Staff Title	Staff Name	Contact
Senior Vice President	Sara Newell	458-2067

## OPERATIONS

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**Timetable:** Ongoing

***Description** – The Operations function includes the management of: Human Resources, Benefits, Information Systems Management, Rental of the Facility, Risk Management, Grant Fiscal Reporting, and eServices. Most of these functions include collaboration between all departments of United Way of Central Alabama and member agencies.*

**Human Resources:** Human Resources (HR) is the function within the organization that focuses on providing direction for employees. HR is an organizational function that deals with issues related to people such as hiring, organizational development, performance, safety, payroll, health insurance and other benefits.

- **Benefits:** Health insurance, life and disability insurance, cancer insurance, and a cafeteria plan are available through United Way to member agencies. The United Way is committed to bringing more competitive pricing and better benefits to our organization and partners by joining with partners and administering these plans allowing lower costs to participating partners and their employees and increasing benefits to all involved.
- **Health Insurance:** United Way administers the self-insured health and dental care plan. The health plan is an all-inclusive plan, which includes health, dental, prescription card, substance abuse and, mental health benefits. Currently two health plans are available: PPO plan and Personal Choice (Networking) plan. Each plan includes health, dental, vision, and a prescription card. Contact Tamara Calvert, Human Resources Director at (205) 458-2093 for more information, rates and open enrollment dates. Currently 40 partners participate in these plans. Participating agencies agree to participate in the plan for a period not less than one year. Upon withdrawal, the participating agency will not be able to adopt, subscribe or participate in the plan until the date that is two years after the withdrawal date state in the withdrawal notice. Any participating agency being readmitted to the plan shall pay a 10% premium in addition to the monthly contribution amount for twelve months. Stability in projecting is necessary to keep participants rates competitive year to year. In the past 5 years, increases to the plan have continued to be below the national averages each year. We are continuing to navigate several changes to Healthcare Reform.

**Grant Fiscal Reporting and Record Keeping:** Responsible for fiscal reporting requirements for all governmental and institutional grants. In 2016, UWCA received and managed \$24,928,548.

**Grant/Subcontractor Compliance:** If the agency is a subcontractor with UWCA, this section is responsible for processing monthly invoices. This section also conducts monitoring visits for fiscal compliance with subcontractors.

**eServices:** This function of United Way provides online business and data services for both client management and customer relationship database systems. These systems contain modules for online services that include electronic pledging (ePledge), online event registration (iAttend), volunteer registration (eVolunteer), and allocation and grant applications (Community Building). eServices also works in partnership with grants, programs and initiatives of UWCA to automate data collection functions through software applications to achieve digital client systems.

**IT Services:** The IT department manages all the technology equipment, network and software access for the staff of UWCA, including any remote sites. United Way has the capacity to host technology services as a service for agencies and other United Ways. These services include virtual access to system resources such as applications, desktops, server and exchange mail systems. Currently, UWCA IT hosts email and application services for two agencies and one United Way. In addition, the United Way IT department offers consultation to member agencies about design, development, implementation, support and/or management of computer-based information systems. Information Security is also managed by IT Services, with an Information Security team, which meets quarterly to promote security awareness among staff, complete program risk assessments and implement the company’s Information Security Policy. In accordance with NIST and AICPA guidelines, IT Services also conducts regular penetration assessments, vulnerability reviews and SOC audits to monitor and improve the security of UWCA data and its network.

**2-1-1 Services:** 2-1-1 Connects Alabama is a statewide network of regional call centers who aim to provide easy access to and information about available assistive services. 2-1-1 Central Alabama, housed within UWCA, serves six counties including Jefferson, Shelby, Walker, St. Clair, Blount and Cullman. There are currently nine call centers in the state of Alabama, with all calls being routed through a phone system managed by UWCA’s IT department. 2-1-1 Connects Alabama also provides assistance with disaster response and recovery, partnering with local VOADs and state service providers.

**Building Space:** Member agencies may be housed in the Spain Complex as space permits. Crisis Center is currently the only agency housed at United Way. Agencies are charged operational costs based on the cost per square foot of maintaining and operating the building. Rent cost includes electricity, water, heat, cleaning, trash pickup and maintenance. We currently do not have any space available.

**Building Access:** All building access is monitored and restricted using ID Badges. General staff have access to the building from 7am – 7pm, while any staff with after-hours access are required to be approved by their Senior Staff member and Human Resources. The building remains locked during non-business hours. All public entrances are manned by a receptionist during business hours to ensure all visitors have a legitimate purpose for their visit and are escorted to their destination.

**Reception and Meeting Services:** UWCA offers services performed by a team of receptionists that enable visitors, clients, volunteers and vendors to feel welcomed and assisted. The receptionist team also receives all calls from the United Way’s main phone line and directs phone calls accordingly. Beyond general customer services duties, other services performed include making meeting room reservations for internal staff as well as for partner agencies and updating lobby monitors with current, reliable information. These duties are all performed while maintaining proper security and compliance procedures. All reception services are shared jointly with Crisis Center, a United Way partner agency located at United Way’s Community Services entrance.

Staff Title	Staff Name	Contact
Executive VP and Chief Operating Officer	Kelly Carlton	458-2090
Vice President of Operations	Tyler Lowros	458-2084
Human Resource/Benefits Administrator	Tamara Calvert	458-2093
Grant Financial Administration	Tyler Lowros	458-2084
Grant Subcontractor Compliance	Tyler Lowros	458-2084

Staff Title	Staff Name	Contact
eServices	Peggy Murphy	458-2097
IT Services, Building Information	Doug Goodwin	458-2032
Building Space	Kelly Carlton	458-2090
Reception and Meeting Services	Jodi McMillian	458-2094

## COMMUNITY IMPACT

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**Timetable:** Ongoing

***Description** – The Community Impact Department is overseen by the Community Impact Committee. This Committee will primarily be responsible for community planning and fund distribution through two main channels: unrestricted allocations to United Way Federation partner agencies, and competitive grant-making in each of the four impact areas of Education, Health, Financial Stability and Access to Services. Staff within Community Impact also facilitates the Bold Goals Coalition of Central Alabama, a community-wide effort in partnership with a variety of other organizations to affect positive change in the region through collective impact.*

### **FUNDING: THE ALLOCATION PROCESS**

United Way of Central Alabama’s allocation system is an entirely volunteer-driven process. All partners submit an online allocation application each year that is carefully reviewed by volunteers who make funding recommendations to the Community Impact Committee.

Each year approximately 500 community volunteers are recruited to assist the Community Impact Committee in making decisions. These volunteers are divided into Visiting Allocation Teams (VAT’s), each of which is assigned to visit and review the applications from a small group of agency partners. Each VAT is comprised of between 20 and 25 volunteers from the community and a chairperson who has typically participated as a VAT member in previous years. Supported by United Way staff, chairpersons orient the team to the process and present the team’s findings to the Community Impact Committee and other team chairs during an all-day hearing. The following factors are considered in allocating funds to each agency: current community needs, agency capacity, alignment with United Way impact areas, available funding through reported campaign results and overall capacity to affect community change.

In mid-December, the Community Impact Committee representative presents all agency allocation recommendations to the Executive Committee for their approval and to the Board of Directors for vote. Funding, as approved by the Board, is usually announced to agencies at beginning of January.

### **FUNDING: STRATEGIC INVESTMENTS IN COMMUNITY COLLABORATIONS**

For many years, United Way has funded organizations outside it’s federation through short-term agreements with agencies meeting identified community needs. In 2014, the Community Impact Committee expanded these efforts through competitive funding to meet strategic needs. Wherever possible, it is the stated priority of the committee to make awards in collaboration with other funding partners to leverage community dollars and maximize impact. Volunteer oversight for this process is planned through a sub-committee, or Vision Council, for each respective impact area. These groups are made up of community volunteers, board members, practitioners and content experts from the field. The Chairperson of each Vision Council sits on the larger Community Impact Committee. Funding recommendations may be presented at any of the quarterly Executive Committee and Board of Directors meetings.

## COMMUNITY PLANNING: THE BOLD GOALS COALITION OF CENTRAL ALABAMA

The purpose of the Bold Goals Coalition of Central Alabama (BGCCA) is to be a catalyst with shared ownership aligning collective actions and resources to improve measurably the health, well-being and overall vitality of the Central Alabama region. The Coalition is working together and concentrating efforts in the areas of Education, Health and Financial Services. United Way serves as the backbone organization by leading efforts to organize, facilitate, and create a strong, sustainable infrastructure to address our area's toughest problems.

Creating lasting, equal, system-wide changes takes more than a vision. The Coalition is seeking innovative solutions with the greatest potential for impacting the most people. By directing attention to systemic problems, aligning community-wide agendas, and sharing information and resources, the Coalition is committed to working together to make our region thrive and succeed.

Staff Title	Staff Name	Contact
Senior Vice President	Sara Newell	458-2067
Administrative Support	Veronica Horton	458-2059
<b>Allocations &amp; Financial Stability</b>		
Vice President	Randy Betsch	458-2171
Community Engagement Specialist	Robert Givens	458-2170
<b>Education</b>		
Vice President	Dan Stephens	458-2169
Community Engagement Specialist	Caroline Harris	458-2066
<b>Health</b>		
Vice President	Kadie Peters	458-2168
Community Engagement Specialist	Ryan Parker	458-2063
Health Partnerships Specialist	Elyse Peters	302-0001

## STEWARDSHIP PROCESS

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**Timetable:** Ongoing

***Description** – One of United Way of Central Alabama’s functions is to ensure community needs are identified, resources are properly allocated to meet these needs, and allocation agencies have a credible structure to utilize the resources. The Community Impact Department fulfills this role by reviewing partner agencies and program services to ensure they are as accountable as possible.*

The purpose of the Stewardship Process is to align components of allocations and agency review processes into a more seamless “continuum” of stewardship over donor dollars. As the annual United Way allocable dollars continue to decrease, it’s important for the Stewardship process to outline fair guidelines to address this issue.

UWCA and the Alabama Association of Non-Profits (AAN) are now working together on our stewardship review process. AAN is utilizing a Standards of Excellence rating system to evaluate UWCA partner agencies in the areas of Leadership, Goals and Strategies, Legal Compliance and Ethics, Finance and Operations, Resource Development and Public Engagement. AAN has developed a “dashboard” for each agency which summarizes their findings onto a one-page report. This report is provided to the agency, as well as the VAT members reviewing that agency. Also, AAN has developed a comprehensive management report for each agency, which outlined their findings and recommendations in each area of review. This report is primarily intended for the agency and UWCA leadership; however, it may also be provided to VAT members upon request. UWCA has aligned the AAN evaluation results with its VAT process for a more thorough and comprehensive annual stewardship review process.

## ALLOCATIONS PROCESS

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**Timetable:** Allocation applications are provided to partner agencies in July; applications are due in August.

***Description** – Funds are allocated to United Way partner agencies using a combination of methods, including volunteer review, contracts, designations, the Combined Federal Campaign, and the Alabama State Employee Combined Charitable Campaign. Strengthening the relationship between the United Way and its agency partners is one desired outcome of the allocations process.*

### HOW YOU CAN HELP

- Attend the agency application workshop in June.
- Submit **all** documents requested.
- Communicate with United Way staff as soon as issues arise, and feel free to ask as many questions as needed.
- Request technical assistance early in the process.
- Establish site visit dates/times as soon as possible.
- Report concerns as soon as they are encountered.
- **Review your allocation request thoroughly to ensure its accuracy prior to submitting it.**
- Ask your board members to lead the agency presentation during the site visit.
- Use your agency site visit as an opportunity to educate Visiting Allocation Team volunteers about how you impact the community.
- Report specific, measurable results and outcomes. Ask UWCA staff for technical assistance if needed.
- Report apparent conflicts of interest in the Visiting Allocation Team (VAT) to UWCA staff.
- Thank the volunteers.
- Remember, allocations are determined based on an agency's alignment with community goals and measurable results. A campaign that exceeds its goal does not automatically result in a higher allocation.

United Way of Central Alabama's allocation system is a volunteer-driven process. It is the responsibility of a volunteer Community Impact Committee, coordinated by the Community Impact Department, and supported by professional staff from all departments of the United Way. All agencies submit annual allocation requests that are carefully reviewed by volunteers who make funding recommendations to the Community Impact Committee.

VATs are comprised of about 20 volunteers from the community and a chairperson who has typically participated as a VAT member in previous years. Teams are given allocation request information (budgets, client demographic information, program details, and administrative information) from their assigned agencies and review the documents. Team members discuss and evaluate the request, prepare questions for clarification, and visit the team's assigned agencies. After the agency visits, the team discusses its observations and findings in view of the written material and the visit. Team members provide guidance and feedback to the chair for generating a report, including a funding recommendation for the Community Impact Committee. Community Impact Department staff support the process by coordinating meeting logistics, documenting the outcomes of each team meeting, serving as liaison between the agency and the team, and working with the team chair to prepare final reports.

The Community Impact Committee and all VAT chairs meet to discuss the reports of each team. After each report, there is discussion, questions, and deliberation by the committee. Current community needs, agency capacity, alignment with community goals and available funding based on campaign results are considered. The following types of questions might also be considered:

- Does the agency demonstrate financial need for the allocation? Are there other funds available? Are they able to leverage United Way dollars?
- Does the agency appear to be making enough of a difference in the lives of the people served to justify the requested level of United Way support?
- Have they clearly communicated their outcomes and results?
- Does the approach used to address the problem appear to be effective and appropriate?
- Does the agency collaborate with other organizations to improve results?
- Does the program address a key need?
- Does the agency show acceptable progress in implementing any recommendations made by the United Way Board or Community Impact Committee?

The Community Impact Committee Chair presents all recommendations to the Executive Committee and the Board in December. After Board approval, award letters containing anticipated funding amounts are sent to each agency’s Chief Volunteer Officer and Chief Professional Officer the no later than the first week of the new year. Any recommendations generated by the VATs are communicated to agency staff either verbally or in writing. Community Impact department staff are available to provide technical assistance to address those recommendations.

If the amount allocated to an agency is different than the amount requested, a revised budget should be submitted by March 31 to the Community Impact Department.

Any funds designated to an agency through the Combined Federal Campaign, the Alabama State Employees Campaign or individuals donors will be included in the agency’s allocation amount. All designations are considered “first dollars in” the allocation. If the designations exceed the amount allocated, the agency will receive all funds above and beyond the allocation.

Following is a brief schedule of the allocation process:

- **June** – Training sessions offered for agency staff.
- **July** - United Way on-line application period opens.
- **August** - Agency allocation requests are due.
- **September** - Visiting Allocation Team volunteers are trained and meeting dates are set for agency visits.
- **October and November** - VATs review agency allocation applications, and make site visits to their assigned agencies.
- **December** - Team Chairs report VAT findings and funding recommendations to the Community Impact Committee. The Committee makes funding recommendations to the Board of Directors. Final allocations are approved by the Board of Directors. Allocation award letters are mailed.

Staff Title	Staff Name	Contact
Vice President Community Impact	Randy Betsch	458-2171

## COMMUNITY INITIATIVES

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**Timetable:** Ongoing

***Description** – The Community Initiatives Department helps develop and organize resources to help meet the needs of people and improve community conditions. In collaboration with the Bold Goals of Central Alabama and other agencies and programs, the department facilitates community collaborations, provides program development and proposal writing in addition to operating a variety of community initiatives providing direct services to over 35,000 individuals each year.*

United Way of Central Alabama builds on the organization’s history of addressing critical needs in the community. With involvement from volunteers, partner agencies, government and the public and private sector, United Way assesses and examines emerging needs, builds partner coalitions and implements strategies to address core issues and strengthen the community.

### COMMUNITY INITIATIVES FOCUS AREAS:

- Early Childhood Education and School Readiness
- Healthy Communities
- Financial Stability/ Family Stability/ Housing Counseling
- Veteran Services
- Senior Services
- 2-1-1 Information & Referral Service
- Community Outreach
  - ◇ Senior Issues
  - ◇ Latino Issues
  - ◇ Disaster Response
  - ◇ Reducing Homelessness

### HOW YOU CAN HELP

- Notify the department of important trends, issues, and needs in your service area
- Participate on task forces and community building efforts
- Develop strategies in collaboration with other agencies
- Participate in strategic planning activities
- Coordinate with the department to secure grants and external funding to expand services

Staff Title	Staff Name	Contact
Senior Vice President	Karla Lawrence	458-2065
Office Manager/Project Manager	Kathy Holland	458-2061
Fund Development	Trish Hoover	458-2064
Volunteer Coordinator	Candice Harris	458-2057
Financial Stability Partnership	Kimekia Holifield	458-2056
Community Service Center: 2-1-1	Shakeitha Tatum	458-2078

Staff Title	Staff Name	Contact
Priority Veteran/Mission United	Lula Skrowonek	458-8920
Early Childhood/Healthy Communities	Nick Sims	458-2178
Homelessness/Latino Issues/Disaster Recovery	Courtney Newton	458-2058
United Way Area Agency on Aging	Helen Anderson	458-3321
Meals On Wheels	Becky Wright	458-3329

**EARLY CHILDHOOD EDUCATION AND SCHOOL READINESS**

**Success By 6**

United Way’s Success By 6 Program seeks to ensure children enter school ready to learn and thrive. Success By 6 promotes school readiness through daily interaction with teachers and students in preschool classrooms, as well as through leading collaborative partnerships such as the Jefferson and Walker County’s Blueprint for School Readiness, Bold Goals Early Learning Network and Help Me Grow – Central Alabama.



In the 2016-2017 school year, Success By 6 partners in 40 classrooms serving 700 four-year-old children and prepares them to develop the skills necessary to enter school ready to learn. Each classroom receives research-based curriculum, state-of-the-art classroom equipment and teacher training

with side-by-side technical assistance from School Readiness Specialists. Focusing primarily in under-served communities, Success By 6 transforms childcare settings into high quality early learning environments.

**Help Me Grow**

Providing healthy options early in life puts our children on course to become healthier adults. Success By 6 is committed to safe learning environments and providing healthy options for physical activity and nutrition in the preschool years. Success By 6 partners with the Alabama Chapter of the American Academy of Pediatrics on the innovation program, Help Me Grow, which provides health and developmental screenings for children ages 0-8. As needs are identified, Help Me Grow connect families to resources so children start school healthy and ready to learn.



*For information, please call Nick Sims (205) 458-2166, or visit our website at [www.uwca.org/successby6](http://www.uwca.org/successby6).*

## HEALTHY COMMUNITIES

United Way's Healthy Communities initiative promotes active modes of transportation, such as walking and biking, through its Safe Routes Program. Safe Routes works with schools to educate and encourage students to make healthy lifestyle choices and partners with cities to improve the physical environment to be more conducive to walking and biking.



This initiative strives to increase physical activity, increase safety, mitigate traffic, improve air quality and increase community engagement. School-based activities include bicycle and pedestrian education, walking school buses, bicycle rodeos, walk-to-school days and providing schools with safety supplies and signage.

*For information, please call Nick Sims (205) 458-2166.*

## FINANCIAL STABILITY/ FAMILY STABILITY/ HOUSING COUNSELING

### Financial Stability Partnership

The United Way Financial Stability Partnership of Alabama mission is to provide financial stability for all Alabamians by helping hard-working individuals and families to maintain economic stability through learning financial management skills, maximizing earnings with access to programs and benefits and acquiring stabilizing assets.



The United Way Financial Stability Partnership of Alabama uses three strategies to help individuals gain knowledge, income and assets to achieve financial stability:

1. **Learn:** Financial Management Information and Skills
2. **Earn:** Maximize Earnings with Benefits and Services
3. **Save:** Acquire financial stability assets

The program works in collaboration with more than 100 partners across the state committed to empowering low-income earners and providing ways to help them become financially independent and self-reliant. Specific programs and strategies to prepare families and help them achieve their asset goals, and in doing so, to protect and sustain those assets in the long-term. Programs include:

### Asset Building/Matched Savings Accounts

Known as the IDA (Individual Development Account), this innovative matched savings program allows families to build assets and develop skills for financial self-sufficiency. The IDA is a statewide program that provides opportunities for individuals with low-to-moderate income to:



- purchase a first-time home
- pay for college or job training
- start or expand a small business

*For information, please call Kimekia Holifield (205) 458-2056, or visit our website at [www.uwca.org/ida](http://www.uwca.org/ida).*

## Free Tax Assistance

UWCA's Volunteer Income Tax Assistance program (VITA), in partnership with the IRS, provides free tax preparation assistance to low-to-moderate income individuals focusing on increasing income through the Earned Income Tax Credit. Each year UWCA provides free tax preparation for over 3,000 individuals resulting in tax refunds of over \$2 million.



For information, please call Kimekia Holifield (205) 458-2056, or visit our website at [www.uwca.org/taxes](http://www.uwca.org/taxes).

## Family Stability Services

In 2013 United Way of Central Alabama, with funding from the Siemer Institute for Family Stability, launched a program to work with vulnerable families with children who are encountering instability in finances, housing and/or educational attainment. As a HUD certified housing counseling agency and in partnership with community resources, UWCA helps families secure stable housing and finances and supports them in helping their children achieve success in school.



## VETERAN SERVICES

### Priority Veteran/Mission United



UWCA is in its fourth year of a \$2 million renewable federal grant to provide intensive case management and financial assistance linking homeless veterans to Federal, State and Community-Based services to ensure that low-income Veterans live safely in permanent and sustainable housing. UWCA established Priority Veteran in October 2013 as a subsidiary to staff 4 locations throughout the state to reach this population; Birmingham, Tuscaloosa, Huntsville and Tuskegee. In 2014, Priority Veteran expanded their reach of service to include homeless veterans from Columbus and LaGrange, Georgia. To date, Priority Veteran case managers have assisted more than 2,100 veterans in attaining or maintaining permanent sustainable housing. At present, United Way is in the process of working with regional partners to launch Mission United which will assist veterans in a broader range of services.

For information, please call Lula Skowronek (205) 458-8920, or visit our website at [www.priorityveteran.org](http://www.priorityveteran.org).

## SENIOR SERVICES

### United Way Area Agency on Aging for Jefferson County

United Way's Area Agency on Aging in Jefferson County is one of 13 Area Agencies on Aging in Alabama to assist seniors and disabled individuals with information, assistance and resources. The Area Agency on Aging assesses needs of older persons, distributes funds for the provision of services to older adults, plans services and provides information about available resources to older adults and caregivers. Services provided by the Area Agency on Aging of Jefferson County include:



- Aging and Disability Resource Center (ADRC) – 1-800-AGE-LINE is the entry point for individuals, caregivers, family members and professionals. The ADRC provides information, benefit screening and referrals.
- Meals on Wheels – providing home delivered meals to home bound Seniors through a network of 500 volunteers
- Elderly Nutrition Program– coordinating Senior Center lunches Monday – Friday in Jefferson County and helping develop activities within the Senior Centers
- Senior Health Insurance Assistance Program (SHIP) – provides Medicare Part D counseling and helps enroll Seniors during the annual Medicare open enrollment period from October to December.
- Long Term Care Ombudsman – assists individuals or family members with concerns about the health, safety or welfare in a long term care facility
- SenioRx Prescription Assistance – providing free or low-cost prescriptions to qualified Seniors
- Alabama Cares - providing respite care to caregivers and homemaker/personal care assistance to care recipients
- Alabama Legal Assistance Program – a free service that helps seniors and their family members navigate legal options and maintain their rights on issues as income, shelter, health care, nutrition, financial fraud and abuse.

*For information, please call Helen Anderson (205) 458-3321, or visit our website at [www.uwaaa.org](http://www.uwaaa.org).*

### **United Way Meals on Wheels – Jefferson County**

United Way began administering the Meals on Wheels program in 2016. Each weekday approximately 700 homebound seniors receive a home-delivered through a network of 500 volunteers. In addition to providing nutrition, Meals on Wheels volunteers also provide an opportunity for conversation and socialization.



*For information, please call Becky Wright (205) 458-3329, or visit our website at [www.mowjeffco.org](http://www.mowjeffco.org).*

### **2-1-1 INFORMATION & REFERRAL SERVICE**

2-1-1 is a free, easy to remember telephone number that gives people in Central Alabama a fast and easy way to get connected to services and resources in their community. United Way of Central Alabama’s 2-1-1 Call Center has access to non-profit services, as well as local, state and federal government resources to provide referrals to people in need. In 2016, United Way’s 2-1-1 Call Center provided information and referrals to over 25,000 callers with top callers looking for utility payment, tax preparation, food pantries, rent payment and low income/subsidized private rental housing.



*For information, please call Shakeitha Tatum (205) 458-8927, or visit our website at [www.uwca.org/211](http://www.uwca.org/211).*

## COMMUNITY OUTREACH

### Senior Issues

Addressing the needs of the region's growing senior adult population is an important area of interest for United Way. United Way works with various organizations interested in addressing the needs of older adults including representatives from UAB Center for Aging, Area Agency on Aging of Jefferson County, Middle Alabama Area Agency on Aging (M4A), American Association of Retired Persons (AARP), Veterans Administration, Collat Jewish Family Services, Jefferson County and others. The Senior Support Fund administered by UWCA provides financial resources to pay for basic living supports needed by seniors, such as utility bills, weatherization, prescription co-pay, etc.



Senior  
Initiatives

*For information, please call Courtney Newton (205) 458-2058*

### Latino Interests

The **Latino Issues Partnership** is a multidisciplinary partnership focused on eliminating barriers and addressing health and human service issues that affect our local Latino community. UWCA has convened stakeholders since 2004 who meet regularly to address issues affecting the Latino community.

*For information, please call Courtney Newton (205) 458-2058*

### Improving Disaster Response

In an effort to strengthen Central Alabama's capacity to quickly and effectively respond to local emergencies, United Way partners with local Emergency Management officials and partner agencies in Volunteer Organizations Active in Disaster (VOAD) chapters in each of the five counties in our service area. Because of this partnership, UWCA continues to coordinate and convene the Central Alabama Long Term Recovery Committee.



United Way  
**DISASTER**  
RECOVERY

*For information, please call Courtney Newton (205) 458-2058.*

### Reducing Homelessness

Since 2007, United Way has participated in a community effort to dramatically reduce chronic homelessness in our region including continued involvement in the Ten year Plan to End Chronic Homelessness. United Way helps convene local leaders to execute the annual **Project Homeless Connect**, a one-day, one-stop event to provide services for homeless individuals at Birmingham's Boutwell Auditorium. Nearly 100 Birmingham faith-based and nonprofit organizations and government agencies work together on Project Homeless Connect to deliver services in one location to more than 600 people struggling to break out of the cycle of homelessness. Services provided included housing, medical treatment, employment and even haircuts. Each year more than 700 volunteers provide thousands of services to help struggling families get back on the path to independence.



*For information, please call Courtney Newton (205) 458-2058.*

# **ADDITIONAL INFORMATION**

## **AGENCY FUND RAISING POLICY**

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### **INTRODUCTION**

The United Way of Central Alabama and its affiliated agencies must work together to secure the necessary funds needed to maximize the community's support of its voluntary social service organizations. The intent of the United Way of Central Alabama is to be flexible and attentive to the needs of those with whom it works to satisfy the human needs of this area. As a result, this policy is intended to provide a guide to be used by each agency in determining their course of action in relation to fund raising activities. In this context, agencies need to be sensitive to the impact their fund raising efforts have on United Way fund raising.

### **STATEMENT OF PRINCIPLES**

1. All circumstances and contingencies simply cannot be addressed by establishing regulations for agency fund raising.
2. Supporters of agency events, individuals and corporations, must make the decision on whether or not to support a fund raising effort.
3. The United Way has the responsibility to communicate to agency boards and the corporate community the policy and philosophy that guide agency fund raising activities.
4. Agencies must seek to preserve the effectiveness of the fund raising relationship between the corporate community and the United Way.
5. Agency fund raising should be conducted in a manner that reflects good judgment and common sense. Most often, market factors serve to regulate the conduct of agency fund raisers; however, the possibility exists that the approach will not work as intended and fund raising will be viewed negatively. The United Way will review these situations that arise on a case by case basis when they are reported and work with the agency and the company to find a resolution.

Specific Agency Fundraising Guidelines are included on the statement of Partner Agency Responsibilities listed on page 31.

## **PARTNER AGENCY RESPONSIBILITIES**

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*United Way of Central Alabama member agencies agree to:*

1. Maintain a responsible management with a board of directors which meets at least quarterly.
2. Abide by the Agency Fund Raising Guidelines
  - A. Agencies may not conduct fund raising efforts between **September 1<sup>st</sup> and Thanksgiving Day**.
  - B. Agencies may not campaign for employee contributions since the United Way provides this service on behalf of agencies. With the exception of the Combined Federal Campaign (CFC) and the State Employees Campaign, agencies may not engage in efforts to promote designations of gifts within any payroll deduction campaign.
  - C. Events that involve third-party fund raisers should be sanctioned by the United Way. This includes any group considered by the agency to raise funds in the name of that agency. The United Way and all participating agencies have a vested interest in legitimate events that provide a reasonable return for the funds given, as well as efforts that are conducted in an ethical manner by reputable fund raising representatives. All interests are considered when the United Way reviews these events or efforts beforehand.
  - D. All capital campaigns must be approved beforehand by United Way in order to avoid scheduling conflicts.
3. Participate annually in the Combined Federal Campaign and Alabama State Employee Campaign as a member of the United Way Federation.
4. Cooperate with other agencies, both governmental and voluntary, in avoiding duplication of effort and in promoting economy and efficiency in operation.
5. For agencies with revenues exceeding \$250,000, furnish two official copies of the annual audit which complies with the Standards of Accounting and Financial Reporting for Voluntary Health and Welfare organizations as set forth in the American Institute of Certified Public Accountants (AICPA) Industry Audit Guide for Audits of Voluntary Health and Welfare Organizations.
6. Annually provide a completed and current IRS Form 990, board roster (including officers and roll off dates), annual report and newsletters.
7. Identify itself to the community as a United Way agency in every practical way, including informing clients, displaying the United Way logo on its property, offices, stationary, and publications, and ensuring positive media reports adequately acknowledge the United Way affiliation.
8. Provide program budget and service data, including specific outcomes, to the United Way on a periodic basis in a form prescribed by the United Way of Central Alabama, Inc. Board of Directors.
9. Participate in the annual campaign and lend every effort toward making the campaign a complete success. This includes giving to the United Way campaign, being available for tours, accepting campaign organization responsibility and providing volunteers and staff support when requested, maintaining a year-round program of public information and program promotion through the use of publicity and media, and in general assist in all appropriate ways in making the annual campaign fully effective.
10. Make every effort toward full disclosure of information and be responsive to the recommendations of the United Way of Central Alabama, its volunteers and staff.

## **STATEMENT ON AGENCY RESERVES/FUND BALANCE**

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Periodically, United Way donors, volunteers or allocation committee members discuss the level of agency reserves or fund balance in relation to a funding request. Industry-wide, the question concerning the *reasonable* levels of reserve for a charity to maintain is widely debated.<sup>1</sup> United Way considers these questions legitimate in terms of both sufficiency of funds to adequately run day-to-day agency operations, and to sustain and maintain operations in an economic downturn or crisis. **Agencies can expect that their fund balance or reserves, or lack thereof, may factor into the allocation discussions. However, having healthy reserves should not be the sole factor in the funding decision. An agency reserve policy may help establish and clarify the agency's current and future needs.** For additional guidance, please refer to the Better Business Bureau's *Wise Giving Alliance Standards*.

Each agency's reserves are the responsibility of the Board of Directors. United Way will not determine the amount of reserves an agency should have. Responsible fiscal management includes the maintenance of a *reasonable* operating reserve. United Way assumes agencies will define the parameters of "reasonable."

United Way partners should have or be working toward establishing an operating reserve and an operating reserve policy approved by their Board of Directors. Approval of a policy should be documented in the board meeting minutes with the date of adoption noted on the policy itself. United Way of Central Alabama's Fund Balance Policy was established in January 1998.

A Board decides, in consultation with agency staff, board members and other individuals with appropriate financial expertise and knowledge of the work of the agency, the size and appropriate use of reserves. The plan should be suitable for the unique needs and financial composition of the organization. Size of agency, number of funding sources and size of budget, source of revenues, cash flow needs and equipment needs are some of the considerations in determining reserves.

An outline of a simple policy follows:

### **Agency Definition of General Fund Reserves**

- Purpose and rationale: The reasons for implementing and maintaining a fund balance
- Financial objective: Specific financial target
- Funding Sources: Sources used to establish and maintain the fund reserves
- Maintenance of funds: Definition of the basis for determining shortfalls
- Use of Asset Reserves: The process by which use of funds will be recommended and approved
- Implementation: Effective Date and any amendments

### **<sup>1</sup>Samples of Standards**

Charities Review Council: Unrestricted net assets available for current use are not more than twice the current or next year's budgeted operating expenses. Standard 3B, Financial Activity  
(<http://www.crcmn.org/standards/philosophies.htm>)

*Philosophy: While the Council believes that organizations should maintain a reasonable level of cash to safeguard against unexpected financial challenges, maintaining excess reserves indicates the organization is not maximizing the use of its resources in pursuit of its charitable mission. In such cases, it may not be appropriate to continue soliciting from the public.*

### Better Business Bureau:

The Better Business Bureau “Wise Giving Alliance Standards for Charitable Accountability Implementation Guide” (<http://www.give.org/standards/implementation.asp>)

#### Standard 10

Avoid accumulating funds that could be used for current program activities. To meet this standard the charity’s unrestricted net assets available for use should not be more than three times the size of the past year’s expenses or three times the size of the current year’s budget, whichever is higher.

*An organization that does not meet Standards 8, 9, and/or 10 may provide evidence to demonstrate that its use of funds is reasonable. The higher fund raising and administrative costs of a newly created organization, donor restrictions on the use of funds, exceptional bequests, a stigma associated with a cause, and environmental or political events beyond an organization’s control are among the factors which may result in expenditures that are reasonable although they do not meet the financial measures cited in these standards.*

### National Charities Information Bureau (NCIB):

#### Standards in Philanthropy

(<http://www.give.org/standards/ncibstds.asp>)

#### Standard 6.c. Use of Funds

Have net assets available for use in the following fiscal year not usually more than twice the current year’s expenses or twice the next year’s budget, whichever is higher;

*Assets available for use are essentially unrestricted and temporality restricted net assets (excluding property, plant, and equipment used in operations, less related liabilities, and assets restricted to investments in property, plant and equipment) adjusted to include deferred income and including long term debt.*

*Unless specifically told otherwise, most contributors believe that their contributions are being applied to current program needs identified by the organization. Organizations may accumulate funds in the interest of prudent management. Accumulation of such funds in excess of the Standard may be justified in special circumstances.*

*In all cases the needs of the constituency served should be the most important factor in determining and evaluating the appropriate level of available net assets.*

## **AGENCY ELIGIBILITY FOR THE COMBINED FEDERAL CAMPAIGN (CFC)**

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### **CONTEXT**

The CFC represents a significant share of the overall campaign. The CFC is a “donor choice” driven campaign, meaning donors can designate the agency or agencies, which should receive their gifts. This feature of the CFC means it is critical for United Way to have as many partners as possible listed to maximize the opportunity to increase the share of dollars designated to the United Way.

Criteria and Procedures to be listed in the CFC are mandated by Federal regulations and compliance is audited periodically by the Office of Personnel Management. As the CFC has become more competitive and audits more thorough, it has become more critical that all procedures are followed. Simply stated, United Way cannot list agencies in the CFC if they do not qualify.

### **CFC CRITERIA**

The following are the criteria for participating in the CFC:

1. Complete the CFC application.
2. List programs and services offered in the five county area.
3. Most recent IRS Determination letter.(if your organization’s letter is older than 5 years REQUEST an AFFIRMATION Letter from the IRS.
4. Names and addresses of Board Members and service terms.
5. A copy of the most recent annual report. The annual report must include a summary of services provided, a board list, and a list of chief administrative officers.
6. Copy of an IRS Form 990. The 990 is required by the CFC whether or not the agency is required to submit a 990 to the IRS. Form 990 EZ is not acceptable.
7. Most current audited financial statement. Audit and Form 990 should cover the fiscal same period.
8. Application should include attachment E-25 word description that describes the organization’s program activities.

### **REQUIREMENTS**

Each agency, as a part of membership and participation in the United Way, is expected to comply with requirements for inclusion in the CFC. Agencies should work with United Way staff to ensure needed materials are completed and received in a timely manner. Agencies that do not qualify may have allocations reduced in an amount proportionate to their share in the United Way campaign to replace lost CFC funds.

### **IMPLEMENTATION**

The Agency Impact Department will assist agencies to provide needed information. Board lists are maintained in the Agency Impact Department and most documentation, such as 990s and annual reports can be obtained as a part of the allocations process. 501(c) (3) letters should be kept on file and Agency Impact Department staff will work to ensure agency Administrative and Fundraising cost are accurately reported. In cases when an annual report is not available United Way staff will assist agencies to develop a suitable substitute. Agency Impact Department staff will work with Campaign Department staff to be sure documents are requested only once by United Way.

**SPECIAL EVALUATION GUIDELINES ADDRESSING AGENCIES  
WHICH DO NOT MAKE PROGRESS IMPLEMENTING RECOMMENDATIONS  
UWCA Board Approved 6/14/11**

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In order to protect the ability of United Way of Central Alabama to leverage community improvement through allocations to health and human service providers, Visiting Allocations Team Chairs may recommend that an agency be more closely monitored through a Special Evaluation process separate from the Allocations and Agency Review processes.

The standard practice of working with all agencies which do not make progress implementing recommendations will be as follows:

1. United Way will specifically and clearly communicate recommendations to the agency, in writing and in a timely manner.
2. The agency will be given time to respond, get clarification and implement the recommendations.
3. If after a reasonable amount of time the agency does not make progress, United Way volunteers, including the Chair of the Agency Impact Committee, will meet with representatives from the agency's board.
4. The Committee will work with agency representatives to develop a formalized plan detailing a time frame in which to implement change and outlining the expected progress to be made. An understanding between both parties about progress reports and the possible ramifications of non-compliance should be reached. The results of non-compliance could be:
  - a. **Moderately reduced (or level) funding**
  - b. **Restricted Allocations**— (in whole or in part) with spending limited to support specific programs or functions.
  - c. **Contingent Allocation Payouts**—with funding only released upon an agency's satisfactory completion of reporting requirements.
  - d. **More Drastic Allocation Decreases (up to and including de-funding)**
  - e. **Disassociation**
  - f. **Other options as recommended by the Agency Impact Committee.**
5. This agreement will be communicated in writing to the agency and documented to the agency's file.
6. Agency implementation of recommendations, as well, will be documented, reported to and acknowledged by United Way.
7. If the agency does not fulfill its agreement as detailed in the formalized plan, further reductions or other changes may occur as stipulated in the plan or as determined by the United Way Board of Directors.

## STATEMENT ON SECTARIAN AGENCIES<sup>1</sup>

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### What is a Sectarian Agency?

- The primary goal of a sectarian agency is meeting the needs of a distinctive group of people within a given community. Examples of sectarian agencies include the Jewish Community Center, Catholic Family Services, Jewish Family Services, YMCA, YWCA, United Community Centers (Methodist), and the Salvation Army. Each has a primary mission to develop human services programs which are sensitive to a specific set of religious values.
- According to the Interfaith Consultation on Social Welfare, it is in the best interest of America itself for sectarian groups to fulfill their own social ideals and aspirations through institutions that express their unique value systems.

### Why Should United Way Fund Sectarian Agencies?

- United Way was established as a coalition of many sectarian and non-sectarian agencies. These agencies banded together because they understood that when an agency serves a particular group in the community everybody benefits.
- Historically, the agencies in United Way have always been deeply concerned with the needs of the poor, elderly, handicapped, and the disadvantaged. However, problems affect people at all levels, and require a variety of services from many voluntary agencies. United Way recognizes this and seeks to fund services which are sensitive to a wide range of individual needs and values.
- Sectarian groups were among the first to establish and to support United Way and other human service agencies. The initiatives of sectarian agencies are firmly rooted in the American ideal of pluralism, and the realization that many humanitarian efforts are based on religious conviction. Catholic, Jewish and Protestant agencies within United Way represent a drive to address social problems in the context of a special set of values. Where appropriate, a sectarian agency may provide services to persons who are *not* members of their sectarian community, but these agencies should not be *compelled* to extend their services beyond members of their groups.
- United Way is the instrument of the total community. The sectarian agencies are part of the community, not separate from it. They represent historic, grass roots interests in communities. Sectarian agencies are ideal examples of religious convictions in action. They are also a primary force in volunteerism.
- It is important that Board members of a sectarian agency be committed to the unique values and purposes of the community it serves. Therefore, it is not uncommon that all or most Board members in these agencies are also members of their respective sectarian groups.
- Community building, or making the community a better place in which to live, is an important goal of United Way. Sectarian agencies support community building by addressing the special needs of various groups, by providing a place where cultural exchange can occur, and by providing culturally sensitive services to those in need.

*"The well-being of each group is dependent on the well being of all  
-- and the well-being of all is dependent upon the well-being of each group."*

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<sup>1</sup>Prepared by United Way Community Impact Department, based on Interfaith Consultation on Social Welfare, 1991. Statement on United Ways.

## **DONOR DESIGNATION POLICY**

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### **FUNDAMENTAL OVERVIEW**

The intent of the Annual United Way Campaign, initiated in Denver, Colorado in the late 1880's, is to have one appeal for many partners. The foresight of those who initiated the Annual Campaign counted on community volunteers to study the current and most pressing needs, and allocate the funds accordingly. Keeping the Annual Campaign dollars in a general and unrestricted pool for allocations provides the allocation volunteers the greatest opportunity to meet the most pressing needs.

Over time, many communities have allowed donors to designate, or restrict their gifts, to one or more United Way partners and outside agencies. This practice has diminished the ability of these communities to meet their most pressing needs. Many of these communities recognize that this was the wrong road to travel and have tried, with great difficulty, to curtail this practice.

UWCA has always tried to provide the allocation volunteers with the largest pool of unrestricted dollars and to limit designated or restricted gifts. It is in this spirit that the Board of Directors appointed this Donor Designation Committee to look at the current designation environment and advise the Board of its guidelines on designations going forward.

The policy took effect January 1, 2005.

### **Policy**

1. All designations to UWCA partners and initiatives receiving funding from the allocation process or board designated funds will be treated as "First Dollars In" with the exception of the previously accepted "Over and Above" designations that will be "Grandfathered" (See Attachment B for definitions and see any of the following employees for grandfathered list: Senior Vice President Resource Development, Vice President Major Gifts, Executive Vice President and Chief Financial Officer, Director Financial Accounts Management).
2. The minimum gift required for a designation to UWCA partners, affiliates, United Way Initiatives, and special funds will remain at \$25.
3. Designations to outside (501)(c)(3) health and human service agencies will require a \$1,000 gift with a maximum designation of \$500 so that 50% of the gift will remain in the general allocation pool (See Attachment B for examples).
4. Gifts received through a Donor Advised Fund cannot be further designated except to UWCA agencies or initiatives. These designations will be treated as "First Dollars In". Designations paid from a Donor Advised Fund will not reflect an individual donors name on remittances to an agency or initiative.
5. The United Way of Central Alabama will provide in its printed material an explanation of the importance of contributions to the general allocation pool.
6. A committee, designated by the Chairman of the Board of Directors, will be named to determine gift acceptance guidelines as needed.
7. Matching dollars will not be designated to either United Way partners, affiliates, United Way Initiatives, funds or approved outside agencies. They must remain in the general allocation pool.
8. Companies must agree in writing to allow outside designations. If a company has no signed agreement form on file with Resource Development, it will be assumed that the company does not permit designations to outside agencies. Designations to partners, affiliates and United Way Initiatives funds are allowed. The exception to this is a designated gift from a major donor (\$5,000 and above) whose company has fewer than 10 employees and/or the major gifts make up 80% of giving for that company. The

company will not be required to have a letter allowing designations on file. All other aspects of the designation policy apply.

9. Principal Gifts (gifts over \$100,000) are to follow the spirit of the designation policy (see Attachment C for an outline of the Mega Gift Program).
10. The United Way Global Corporate Leadership (GCL) program enhances a company's ability to impact communities around the world through strategic philanthropic partnerships leveraging United Way's global reach and local leadership in communities worldwide. United Way USA helps companies with a national and global footprint implement their philanthropic goals by increasing employee engagement, furthering corporate social responsibility (CSR) work and enhancing consumer engagement and brand image in their communities. In the United Way of Central Alabama catchment area there are approximately 65 companies who actively participate in the GCL program. This means the corporate headquarters works with UW GCL Staff to select the level of involvement, timeline, approach and reporting process for its entire footprint and the local United Way serves as the ground agent. The corporate headquarters of that GCL Company makes the decisions on its designation policy and its pledge processing vendor on behalf of all its locations. Examples of GCL companies in our area are: AT&T, Publix, and Wells Fargo.

Each Local United Way (LUW) establishes its own donor designation or donor choice policy based on the Board of Directors' recommendations. The United Way of Central Alabama Board of Directors represents the community, and in this capacity believes in the importance of maintaining gifts locally, supporting partner agencies and initiatives and holding an annual allocations process. Through the allocations process, the United Way of Central Alabama counts on more than 600 community volunteers to study the most pressing needs and to allocate the funds raised through the Annual Campaign accordingly. We believe that through this process, United Way adds value to the community and is able to maintain a certain level of quality control. The United Way of Central Alabama is fully invested in this process but at the same time respects the donor, and thus the Board of Directors has established a policy for outside (non-partner agency) designations:

- The company must inform United Way of Central Alabama that it will allow outside designations.
- The minimum gift accepted for an outside agency is \$1,000 with at least 50% of this gift remaining with United Way to be allocated to its partners.
- Designated agencies must be 501(c)(3) tax-deductible health and human service organizations. This does not include churches, schools, athletic teams, environmental agencies, etc.
- When a pledge made within these guidelines is paid, United Way forwards the payment, minus cost, to the designated organization.

In recent years, many companies with national headquarters and those participating as Global Corporate Leadership (GCL) have increased their utilization of central processing and e-pledging services. These services are managed by other local United Ways or independent pledge processing companies, and they typically process contributions raised by multiple United Ways. They often have different approaches to the handling of donor designated pledges and have differing donor choice options.

In keeping with the various policies, local pledges made through a company utilizing another processor will be counted in the United Way of Central Alabama campaign as "where raised." These dollars are raised by the United Way of Central Alabama, who has built and maintained the relationship with the local company. Results are tabulated by the processor and UWCA receives a report on the pledges made and the detail of designations. As these results are raised in the community, UWCA recognizes the company for its total pledges (including all outside designations).

If a donor chooses to follow the United Way of Central Alabama outside designation policy, he or she will receive credit for the entire gift. For example, if a donor pledges \$10,000 through the processor, he or she will be recognized as a Tocqueville donor if the donor designates 50% of the gift to United Way and 50% to the chosen organization.

However, if a donor chooses to designate the entire gift to an agency and does not follow the outside designation policy, he or she will not be recognized at the leadership level. This is because the pledge and payment would not meet the established aims of the policy. As referenced above, this donor's designation will be recognized as part of the company's giving results, but the individual donor will not be recognized in any giving category unless the UWCA designation policy is followed.

This policy has been established to provide the donor with designation options while protecting the importance of the allocations process.

## **PRINCIPLES OF PARTNERSHIP**

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**Principle One:** Partnerships should be defined by mutually beneficial goals and objectives. United Way engages in partnerships that share a philosophy of improving lives and community conditions by building and mobilizing resources.

**Principle Two:** Each partner's role in the unified collaboration shall be set forth so that there is a clear understanding of each role and responsibilities, as well as the collaborative activities necessary to ensure the defined goals are achieved.

**Principle Three:** The working relationship among partners must overcome power, cultural, racial and economic differences. Mutual trust and respect are developed by valuing input from all partners and shared accountability.

**Principle Four:** Partnerships must entail institutional commitment and leadership involvement of all parties.

**Principle Five:** Partners will establish a clearly defined means of communication between all partners and with non-partner entities. Partners shall regularly and appropriately acknowledge and recognize the involvement and work of partners through internal and external communications.

**Principle Six:** Partnerships will fully disclose conflicts of interest and agree to terms of confidentiality.

**Principle Seven:** To attain the highest level of efficiency and effectiveness, the partnership should work to avoid duplication of effort.

**Principle Eight:** Partners will determine decision-making processes and the most suitable structure in which to conduct business.

**Principle Nine:** Partnerships shall be guided by collaborative agreement on outcomes, benchmarks, and measures of progress. Measures of success should be established at the outset of the partnership, and a mutually agreed evaluation process should be implemented.

**Principle Ten:** The partners will define both the terms and duration of its relationships and its transactions.

Nothing contained in this document shall be construed to grant United Way or its respective partners control over the other's operations, activities, governing bodies, employees, or contractors. It is understood that each respective partner retains financial responsibility for its own affairs, including all obligations and any deficits that it may have.

**Giving Guideline Definitions**

1. “First Dollars In” means that designated dollars to a UWCA partner will go into the general allocation pool to be distributed by the allocation process. These dollars will be a part of the allocated dollars to that partner unless the total designations exceed the allocated dollar amount. In that case, the partner will receive the amount of the total designations.

Designations to UW Initiatives receiving funds from the allocation process or from board restricted funds will also be treated as “First Dollars In”. If total designations received exceed the amount of funds allocated or approved to use from board restricted funds, then the initiative will receive the excess amount as designations.

2. Each designation to a UWCA partner must be at least \$25, but can be more.
3. Each designation to an acceptable (501)(c)(3) must be at least \$500, but can be more.
4. A minimum of 50% of a donor’s personal contribution must be left with the UWCA general allocation pool as undesignated, i.e. \$50,000 of a \$100,000 contribution may be designated either to United Way partners or approved outside health and human service agencies. (\$25 minimum to each UWCA partner or \$500 minimum to each outside agency.)
5. All matching dollars must stay with the general fund. This means that any donor’s gift that is matched must leave the matching dollar amount as undesignated to the general allocation pool.
6. A United Way Initiative is defined as a Board approved program that has a clearly outlined plan of action with an identified campaign code. (Example: Success by Six, Financial Stability Partnership, 2-1-1).
7. A United Way special fund is defined as a short term project activated as a response to an emergency situation that calls for immediate community action. (Example: Community Crisis Fund, Hurricane Katrina Assistance)

**Gift Giving Examples**

1. A donor contributes \$10,000 and requests a \$5,000 designation divided between several UWCA partners. The donor is able to do this as long as the \$25 minimum designation is met, and they leave at least 50% in the general allocation pool.
2. A donor contributes \$10,000 and requests a \$5,000 designation to an approved outside agency. The donor is able to do this since they are leaving at least 50% of their contribution with the general allocation pool.
3. A donor contributes \$1,000 and requests that \$500 be designated to an approved outside agency. The donor is able to do this. They are leaving 50% of their total contribution to the general allocation pool. They can designate to UWCA partners as long as each designation meets the \$25 minimum.
4. A donor contributes \$1,000 with the assistance of matching dollars. They request that \$500 be designated to an approved outside agency. The donor is able to do this since all of the matching dollars remain in the general allocation pool.

**Mega Gift Program**

In addition to its mission of increasing the organized capacity of people to care for one another, United Way can play a pivotal role in matching donor's philanthropic interests with community needs. In order to accommodate each donor's vision, and at the same time United Way's system of allocating funds to its agencies, United Way of Central Alabama will work with donors making annual gifts of at least \$100,000 so that contributions reflect the overall philanthropic wishes of the donor. Such contributions are deemed vital to the current and future growth of the organization. Gifts of \$100,000 or more will be welcomed as long as the gift:

1. Enhances the long term relationship with the donor.
2. Increases the Annual Campaign/Community Fund.
3. Fits within the overall mission of the United Way of Central Alabama.

United Way appreciates its donors and their contributions. Every effort will be made to give appropriate recognition to those individuals and families who make a contribution at the mega gift level. The donor will receive United Way recognition for the portion of the gift relating directly to the above criteria.