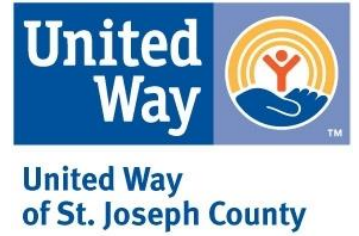


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**COMMUNITY IMPACT PARTNER**

**POLICY & PROCEDURE MANUAL**

**2019-2022**

The purpose of this Community Impact Partner Policy & Procedure Manual is to define the types of formal relationships that exist between United Way of St. Joseph County (UWSJC) and other organizations and entities. Such relationships help fulfill the UWSJC mission, goals and objectives, and enhance the efficient and effective operation of health and human services in St. Joseph County.

<b>CONTENTS</b>	<b>PAGE</b>
I. UWSJC MISSION AND CORE VALUES	3
II. COMMUNITY IMPACT PHILOSOPHY	4
III. COMMUNITY IMPACT PARTNERS	5
IV. ELIGIBLE AND NON-ELIGIBLE ORGANIZATIONS	6
V. PROCESS TO BECOME A COMMUNITY IMPACT PARTNER	8
VI. COMMUNITY IMPACT PARTNER REQUIREMENTS	10
VII. FUNDING PAYMENTS AND ADJUSTMENTS	11
VIII. ACCOUNTABILITY AND CONSEQUENCES OF NON-COMPLIANCE	12
IX. AGENCY EXECUTIVE COUNCIL	15
X. MARKETING REQUIREMENTS	16

## I. UWSJC MISSION STATEMENT AND CORE VALUES

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The mission of UWSJC is “To mobilize the community to collectively reduce poverty.”

To fulfill this special role, the following core values provide the foundation on which we base our actions and decision. We strive for:

1. **INTEGRITY:** We act with integrity that inspires the highest trust.
  - We stand “united” in the relentless pursuit of instilling and promoting public confidence and trust.
  - We maintain the highest standards of excellence and accountability, including prudent use of finances, and fair, accurate, and honest disclosures of information.
  
2. **IMPACT:** We make a positive difference and have a measurable impact of enduring consequence.
  - We improve lives.
  - We are accountable that our work will create sustainable change.
  - We are committed to a United Way that is relevant to our community, its people and the times.
  
3. **VOLUNTEERISM:** We are relevant and effective through the spirit of volunteerism.
  - We believe that the most powerful form of philanthropy is through community volunteerism.
  - We believe that the most effective modes of service and standards of excellence are created through the leadership and mobilization of volunteers.
  
4. **INCLUSIVENESS:** We are strong only when we are inclusive.
  - We believe in a movement built from the rich diversity and gifts of all people.
  - We act in ways that respect the dignity, uniqueness, and intrinsic worth of every person in our community: recipients of benefits, the donors, our own staff and families, boards, volunteers and collaborative impact partners.
  
5. **LEADERSHIP:** We provide leadership for community building to effect positive change.
  - We are effective educators and conveners of significant issues bringing the community together to promote individual well being and the common good.
  - We are leaders of a process that multiplies the impact of people’s innate desire and capacity to care for one another.
  - We help transform visions of compassion and giving into dynamic reality.

## II. COMMUNITY IMPACT PHILOSOPHY

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Achieving impact in a complex social problem such as poverty requires a shift from two previously, discrete *transactional* business functions (fundraising and allocations) to a more collaborative, *relational* model where we engage actively with partners in all sectors of the community to achieve outcomes we collectively seek. By broadening beyond the traditional allocation method as the sole mechanism for affecting change, we can deepen our relevance and impact. With the challenges facing our community, there is a strong desire for United Way to better leverage its brand and deep assets to work collaboratively with our partners to both invest resources and convene, organize and support critical work. This approach marks the first step that our United Way will engage more collaboratively and act with an understanding that the best solutions are often those that come up and out from the community.

United Way of St. Joseph County's assets for social change are broader than investment alone. A collective impact approach allows us to augment our community investments with our ability to be a convener, mobilize volunteers, and leverage additional resources. By shifting to a collective impact approach we will create and empower partnerships for social change. These partnerships will serve as catalysts for mobilizing people, gathering resources, promoting best practices, connecting coalitions and efforts and changing policy to better support the effective delivery of services for those in need.

To support newly-formed partnerships, UWSJC will invest in strategies as a way to deliver services to individuals in need. Investing in the right mix of strategies, aligned to our partnerships, will maximize the positive impact experience by each person served. As investments in partnerships and strategies evolve, United Way of St. Joseph County will continue to provide the leadership, convene partnerships, and develop the resources and solutions to improve lives and community conditions.

UWSJC begins our new phase committed to one big goal: moving people from poverty to possibility. While a reduction in poverty will be the highest-level outcome we seek, we recognize that the factors that contribute to poverty are myriad, they range from short-term and acute challenges to long-term and systemic, and they extend beyond any individual child or adult. Based upon needs assessments, community conversations and the sharing of best practices across the United Way network, United Way of St. Joseph County began the framework for the new Community Impact Plan. A first step was establishing several guiding principles that will guide future work and provide a lens for decision-making.

- UWSJC must become a more open, welcoming organization reaching new and diverse partners, especially in its community impact work.
- Our approach needs to be viewed as innovative and cutting edge with transparency to new procedures, timelines and operating models.
- Solving a complex, social issue like poverty is difficult work involving multiple partners and ever-changing models. UWSJC's strategic approach from moving people from poverty to possibility will evolve over time.
- We recognize that a collective impact approach will provide the framework for a stronger community.
- UWSJC's public voice as subject-area experts and advocates is needed in our community. Taking positions and advocating can distinguish and strengthen our role as a lead community problem solver.
- When UWSJC provides funding, high standards of accountability and reporting should be maintained, in ways that are succinct and efficient as possible.
- UWSJC will establish a clear, concise message about the work we do, why we do it, and how we do it and be able to clearly articulate the impact of our supporter's investments.

Over the next three years, this phase of our evolution will take us toward a broad-based, fully-integrated collective impact approach to moving people from poverty to possibility. Beginning in 2020, it is our goal to implement a Collective Impact model inclusive of all the conditions of collective success for a long-term approach to reducing poverty in St. Joseph County.

### III. COMMUNITY IMPACT PARTNERS

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United Way of St. Joseph County has evolved from its roots as primarily a fundraising organization to now including a role as a critical community convener that connects nonprofits, businesses, community leaders, public officials and community residents to expand opportunities for people to succeed. Our comprehensive, holistic strategy includes a range of resources – not only grant funding, but also volunteer investments, staff expertise and shared knowledge from collaborative partners. Through the power of working collectively, St. Joseph County is capable of achieving real and lasting impact toward reducing poverty.

Qualified organizations that are selected and maintain a formal relationship with a contract or memorandum of understanding (MOU) with UWSJC, while receiving funding, are considered **Community Impact Partners**. Organizations may become **Community Impact Partners** as follows:

#### A. Through the Community Investment Process

Community Impact Partners are awarded program funding through the Community Investment Process. The eligibility requirements, application and approval process, and other requirements pertaining to Agency Partners are covered in the following sections of this Policy and Procedure Manual.

#### B. Through United Way Initiatives

Community Impact Partners have an ongoing relationship with United Way through one or more of our initiatives. As of 2019, our initiatives in which community organizations may be approved to participate and named a Community Impact Partner include:

- People Gotta Eat
- Visionlink Network
- Emergency Food and Shelter
- Team HEAT

All Community Impact Partners (Lead or Support while meeting eligibility requirements) would be allowable recipients of Donor Designations given to UWSJC through fundraising.

## IV. ELIGIBLE AND NON-ELIGIBLE ORGANIZATIONS

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### A. Eligible Organizations for Community Impact Partner Status

An agency must meet the following requirements, as outlined by the Board of Directors.

1. Comply with all applicable federal, state and local laws, rules and regulations; meet applicable state and local standards for licensing and certification within its specific discipline when required to provide the service and/or practice within the discipline; and conduct its affairs in such a manner so as to remain exempt from federal income tax under the provision of Section 501(c)(3) of the Internal Revenue Code and shall have been notified by the Internal Revenue Service that it is not a private foundation as defined in Section 509(a) of the Internal Revenue Code.
2. Agency does not engage in discrimination based on age, gender, race, sexual orientation, national origin, religion or presence of a disability in the delivery of services.
3. Deliver services for a minimum of one (1) fiscal year.
4. Provide health and/or human service programs relating to the mission of United Way of St. Joseph County: "To mobilize the community to collectively reduce poverty." Bylaws of the agency must define the basic purpose, framework, and constraints within which its affairs are conducted.
5. Conform to generally accepted accounting principles (GAAP) with regard to the agency's financial records, including an annual independent, certified audit.
6. Maintain expenses connected with lobbying and/or attempts to influence voting or legislation at the local, state or federal level within the limitations imposed under 26 U.S.C. 501(h) that allow them to be classified as a tax-exempt agency.
7. Function under the leadership and direction of an active, local volunteer board of directors.
8. If the organization is the local arm of a regional, statewide or national organization, directed by a state or national governing board, or if it fulfills a specific mission of a local multi-mission organization directed by a governing board, the organization must have its own local representation on its governing body or have its own advisory board; employ or maintain responsible management; and ensure sound administrative and fiscal practices.
9. Employ or maintain responsible management and ensure sound administrative and fiscal practices.
10. Agency must be in compliance with the Patriot Act.

### B. Organizations Not Eligible for UWSJC Community Impact Partner Status

The following organizations are not eligible to be a UWSJC Community Impact Partner:

1. 501(c)(3) organizations (applicants or lead applicants) that have been in existence and providing services less than one full fiscal year.
2. Organizations that are primarily political in nature (including lobbying); governmental entities; and private foundations.

3. There are some religiously affiliated organizations that provide human care programs. UWSJC prohibits the direct support of churches but does support church-sponsored organizations (i.e. food pantries) that are providing social services.
4. Organizations that allow payment of commissions, finders fees, percentages, bonuses, or similar practices for conducting general solicitations of the public in connection with their fund raising activities.
5. Organizations that conduct publicity and promotional activities which are not based upon the actual programs and operations of the organization.

## V. PROCESS TO BECOME A COMMUNITY IMPACT PARTNER

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### A. Through Community Investment Process

1. If the agency meets the basic eligibility requirements for a Community Impact partnership, they may submit a grant application(s) between February and March with dates to be determined, annually or every four years, as dictated by the funding category as described in the Community Impact Plan. All applicants must attend a mandatory training prior to submitting an application.
2. Between April and May with dates to be determined, annually or every four years as dictated by the funding category as described in the Community Impact Plan, applicants will be asked to present their request for funding and related program to a Community Investment Panel made up of community volunteers.
3. Community Investment Panel recommendations will be made to the Community Investment Committee. The Community Investment Committee will make final recommendations to the Board of Directors in May, annually or every four years as dictated by the funding category as described in the Community Impact Plan. Grant awards will be announced in June.
4. Grant funding will begin in July 2019. Grant funding will begin in July 2020, July 2021, and July 2022 for years 2, 3, and 4.
5. If the agency does NOT meet eligibility requirements set forth for community impact partnership, the UWSJC Vice President of Community Impact will inform agency representative in writing.
6. Community Impact Partner status will take effect July 1st only if the Request for Program Funding was approved by the UWSJC Board of Directors and a contract is signed by both UWSJC and the funded agency. Community Impact Partner status will remain in effect until the end of the funding cycle or upon termination of the contract by either party.
7. If the request for program funding was denied, the agency will be able to re-apply for program funding the following cycle.

### B. Through Community Impact Initiatives

Community Impact Partners established through UWSJC Impact Initiatives (as of 2016) must meet the requirements as outlined in the Memorandums of Understanding, Contracts, Grant Awards, etc. of the following initiatives:

1. People Gotta Eat
2. Visionlink Network
3. Emergency Food and Shelter
4. Team HEAT



## VI. COMMUNITY IMPACT PARTNER REQUIREMENTS

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- A. Submit financial reports annually with year end (fourth quarter) outcome reporting.
  - 1. A year-to-date actual vs. budget Revenue and Expense report for each funded program.
  - 2. The most recent audited financial statements or Form 990.
  - 3. Any major changes that would affect the financial health of the agency.
  - 4. The dates of Board of Directors or Finance Committee reviewed the agency's financial statements within the past 60 days.
- B. Submit program outcomes as outlined in the Community Impact Plan within Visionlink on a quarterly basis.
- C. Distribute UWSJC Program Funding dollars within St. Joseph County.
- D. Publicly identify itself as a UWSJC Community Impact Partner and include the UWSJC logo on its program related materials (i.e. website, annual reports, program brochures, event fliers, etc.). See Section X: Marketing Requirements.
- E. Attend UWSJC sponsored events when able.
- F. Executive Directors or their delegates should attend and participate in the Agency Executive Council meetings on a regular basis.
- G. Conduct an annual UWSJC fundraising campaign among its employees utilizing good faith and strong effort.
- H. Keep agency information up-to-date for IN 2-1-1.
- I. Notify UWSJC of any changes to the Agency and/or programming which may negatively impact outcomes or jeopardize the effectiveness of the Agency within 30 days of any such occurrence.

## VII. FUNDING PAYMENTS AND ADJUSTMENTS

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### **Community Impact Partners:**

#### **A. Through the Investment Process**

1. Grant payments for UWSJC Program Funding will be processed at the beginning of each month. These payments will be in the form of EFT (Electronic Funds Transfer) payments. If necessary other arrangements can be made by contacting the UWSJC Vice President of Finance.
2. UWSJC reserves the right to adjust the amount, timing or any other provision of the funding contract if there is an occurrence, or circumstance, or condition beyond the control of UWSJC which may significantly alter, impair or prohibit the payment and receipt of UWSJC's outstanding campaign pledges, which are the revenue basis of the funding contract.
3. If a UWSJC funded program ceases to operate, the funds will be re-invested in other programs within that funding initiative area. The Community Investment Committee will decide the amount(s) of the re-investments(s). The Board of Directors will be apprised of those recommendations.

#### **B. Through Impact Initiatives**

Funding payments and adjustments for Community Impact Partners established through UWSJC Impact Initiatives (as of 2016) will be dictated by the terms and conditions in the Memorandums of Understanding, Contracts, Grant Awards, etc. of the following initiatives:

1. People Gotta Eat
2. Emergency Food and Shelter
3. Team HEAT

## VIII. ACCOUNTABILITY & CONSEQUENCES OF NON-COMPLIANCE

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### A. Accountability & Consequences of Non-Compliance

Community Impact Partners are health and/or human service organizations which have been approved to receive programmatic funding and donor designated dollars through the community volunteer-based investment process. Community Impact Partners must sign the Funding Contract and/or Memorandum of Understanding (MOU) that certifies the receipt, understanding, and agreement with the responsibilities and expectations of Community Partner status. The Funding Contract/MOU describes the requirements to remain a Community Impact Partner.

Agencies whose programs are approved for funding by UWSJC during the investment process are required to sign a Funding Contract that specifies the use of dollars and any contingencies that could preclude an agency program from receiving continuation of funding.

Agencies that require additional time to comply with the Funding Contract conditions must make arrangements with the Director of Community Impact, prior to the contract due date, to establish a mutually agreed upon compliance extension due date. Written requests for an alternate due date or extension must be received at UWSJC prior to the established due date.

Any Community Impact Partner that does not comply with the conditions of the Funding Contract will be held accountable for non-compliance and placed on probation. Probationary status could lead to the termination of investment awards.

### B. Areas Monitored for Compliance

During the routine funding review process and through the contractual period of funding, UWSJC will routinely monitor items that are required for compliance purposes. Those include:

	<b>Compliance Requirement</b>	<b>Due Date</b>
Financial Reporting Requirements	<p>Most recent Audited Financial Statements and/or Form 990 Requirements:</p> <p>The following list identifies key requirements for audits submitted to UWSJC including special UWSJC requirements.</p> <p>(a) Audits prepared in accordance with generally accepted accounting principles (GAAP). (Special Note on Donated Goods/Services: Because it is difficult to place a monetary value on donated goods and services, their values are not usually recorded. Donated goods and services may be included only if specific GAAP guidelines are followed in determining the value of these items.); or</p> <p>(b) An external audit performed in accordance with Government Auditing Standards.</p> <p>(c) A copy of the Management letter/letter of reportable conditions from the auditing firm.</p> <p>Form 990 if required by law.</p>	<p>Must be received with fiscal year end (fourth quarter) outcome reporting.</p>
	<p>A year-to-date actual vs. budget Revenue and Expense report for each funded program.</p>	<p>Must be received with fiscal year end</p>

		(fourth quarter) outcome reporting.
	Any changes to the Agency and/or programming which may negatively impact outcomes or jeopardize the effectiveness of the Program.	Within 30 days of change
Funding Requirements	<ol style="list-style-type: none"> <li>1. The Community Impact Partner agrees to conduct an annual UWSJC fundraising campaign among its employees utilizing good faith and strong efforts.</li> <li>2. Distribute UWSJC Program Funding dollars within St. Joseph County.</li> <li>3. Keep agency information up-to-date for IN 2-1-1.</li> </ol>	Ongoing
Outcome Reporting Requirements	Submit program outcomes within the Results Framework as outlined in the Community Impact Plan for review per the terms and conditions of the funding agreement.	Must be submitted according to a quarterly calendar.
Marketing Requirements	Publicly identify itself as a UWSJC Community Impact Partner and include the UWSJC logo on its program related materials (i.e. website, annual reports, program brochures, event fliers, etc.). See Section X: Marketing Requirements	Ongoing
Legal Compliance	<ol style="list-style-type: none"> <li>1. Comply with applicable federal, state and local laws and regulations</li> <li>2. Director, officer, employee or agent will not violate any law while acting in an official capacity.</li> </ol>	Ongoing

### C. Probation Procedure

When UWSJC staff or volunteer leadership becomes aware of a compliance issue(s), a Probationary Review Team is established and will consist of the UWSJC President & CEO, UWSJC Director of Community Impact, the Chair of the Community Investment Committee, and the Investment Panel Chair. The following process will be followed.

1. Initially, the UWSJC Director of Community Impact contacts the Community Impact Partner's Executive Director and notifies him/her of the nature of the concern. UWSJC Director of Community Impact requests clarification of the identified issue(s), passes clarification onto the Probation Review Team which makes a determination as follows:
  - Concern is resolved, process is complete;
  - Concern is not resolved;
  - UWSJC Director of Community Impact and Probation Review Team determine what action to take; or
  - Concern is not resolved and is extremely serious. UWSJC Board of Directors Chair and Executive Committee will decide if immediate action is required such as Probation. Such action could include immediately withholding any further investment payments.
2. Once an organization is placed on probation:
  - A letter will be sent to the organization's Executive Director and Board of Director's Chair.

- The Probation Team will schedule a meeting with the Community Impact Partner's Executive Director and Board Executive Committee within fifteen business days. A written Plan of Action will be developed by the organization on probation for resolving the issue(s) and submitted to UWSJC Director of Community Impact and the Probation Review Team for approval to ensure that the concerns leading to the probation are adequately addressed. The Probation Review Team and the Community Impact Partner will agree upon the content and due date for the Plan of Action.
- The Probation Review Team will measure outcomes as set forth in the Plan of Action.
- If a change in the Plan of Action is necessary, the organization on probation must submit to UWSJC a revised Plan of Action within thirty (30) days of the original meeting with the Probation Review Team. The Team will review the alternative Plan of Action within Twenty (20) days of receipt.
- Significant progress on the Plan of Action results in the release from Probationary Status for the Community Impact Partner. Community Impact Partner will be notified immediately in writing that they are no longer on probation.
- Lack of progress on the Plan of Action places the Community Impact Partner at-risk of losing its funding. It is UWSJC's intent to resolve the concerns quickly, quietly, and effectively. Termination of investment awards is an action of last resort.
- Funds will be held in escrow until compliance issues are resolved or program funding relationship is terminated.

#### **D. Termination of Program Funding Procedure:**

Program Funding Termination is a serious matter and is a decision that only UWSJC Board of Directors can make. In cases where the Probation Review Team recommends termination of program funding, the following procedures shall be followed.

- A Certified letter from UWSJC Board President and Chair of the Community Investment Committee explaining the proposed action shall be sent to the Community Impact Partner's Board President and Executive Director stating the cause for action and requesting comments. Letter will be mailed within 5 business days of the recommendation.
- The Community Impact Partner will communicate its comments in writing within 10 business days to the Director of Community Impact. It is incumbent upon the organization to show cause as to why funding for its program should not be removed.
- Program Funding may be terminated if the Community Investment Committee, the Executive Committee and the UWSJC Board of Directors approve the action by majority vote at a regular or special meeting.

The UWSJC Board's approval of funding termination is final and may not be appealed.

## **IX. Agency Executive Director's Council**

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UWSJC and its Community Impact Partners have an established relationship through the Agency Executive Director's Council and its bylaws, which is designed to serve as the key communication pathway between all parties.

Agency Executive Directors Council's purpose and objectives are to enhance communication, cooperation and collaboration among Community Impact partner agencies, to provide an opportunity for study and discussion of agency and United Way concerns, to make recommendations to the United Way and Community Impact partner agencies on matters of common interest, to share resources and concerns on common administrative problems, to provide training in areas of agency needs, to provide public relations support for the members and the agencies to which they relate, and to provide an organizational structure of voluntary leadership to meet the social service needs of the community and to share best practices to the agencies and the community.

UWSJC and its Community Impact Partners have responsibilities as active participants in their respective roles. These are as follows:

1. UWSJC and all Community Impact Partners are responsible for having a representative from their organization actively participate in the Council. The intent is to have the Community Impact partner Executive Director in attendance. However, the Director may, at any time, designate representation (i.e. an employee or a board member) from the agency to attend.
2. It is the responsibility of participants to communicate the information that was discussed in the meeting(s) to all appropriate parties within their organization.
3. If an organization is unable to have someone in attendance, it is the responsibility of the organization to obtain information that was discussed in the missed meeting(s).
4. Three key leaders are elected annually (see Agency Executive Director Council by-laws for nomination and election process) to represent and lead the Council. The Leadership positions are: President, Vice President and Secretary. Positions may be held for two annual terms.
5. Agency Executive Director leadership, with UWSJC Director of Community Impact, will develop a meeting agenda.
6. Meeting minutes will be transcribed by the Secretary, reviewed by the Council President, and shared with the membership for approval at the following meeting.

## **X. Marketing Requirements**

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### **A. Positioning Statement**

Community Impact Partners and United Way have a vested interest in conveying the value of United Way to donors and potential donors—all year long. Demonstrating the tremendous return on investment through stories of people whose lives have changed via United Way funded programs and services are essential. Such stories convey successful outcomes, as well as the breadth and depth of community impact in solving urgent needs and long-term issues. Without continuous communication of the United Way mission, it's difficult for donors to truly comprehend how their donation is put to work in the community. Indeed, it is through Community Impact Partners that the mission of United Way comes alive!

Therefore, communicating the impact and demonstrating the long-term partnership is a communications commitment, which requires mutual cooperation. United Way cannot accomplish this alone. When Community Impact Partners include recognition of United Way as a partner and a key donor, it presents the fundraising case in a compelling manner to current and prospective donors, advocates, and volunteers. United Way believes so strongly in this that Community Impact Partner websites can be accessed via a link from the UWSJC website.

In addition United Way should be verbally recognized at special events when reasonable and possible.

Finally, so that United Way can personally represent the partnership, reserving two (2) places at each of the Community Impact Partner key fundraising events for the United Way President & CEO and the Director of Community Impact or designee is appreciated. These events are perfect opportunities for the United Way and Community Impact Partner relationship to be visible, to personally thank Community Impact Partner donors, and to highlight the mutual partnership.

### **B. Marketing Requirements**

Community Impact Partners must publicly identify their relationship to UWSJC by including the UWSJC logo on:

1. Brochures/event programs for fundraising events.
2. Community Impact Partner website with link to the United Way website.
3. Annual report/President's Report.
4. Brochures describing United Way funded programs.
5. Space permitting in printed materials, the statement that some programs of (Community Impact Partner name) are funded in whole or in part by UWSJC.
6. Building Signage. Place the United Way logo on the most accessible/primary building entrance.

Community Impact Partners must submit a "Success Story Form" to UWSJC Communications Associate upon request. A submission calendar will be created to highlight each agency once annually. These submissions will be utilized in newsletters, social media, and other various forms of communication and marketing and can be directed to the UWSJC Communications Associate.