

### 3. AFFILIATION & COMPLIANCE POLICY

<b>Policy Number</b>	CI-003
<b>Board Decision</b>	<input checked="" type="checkbox"/> Approved <input type="checkbox"/> Not Approved
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<b>Adaptation of CI 005,006,007</b>	

#### ***Introduction***

United Way of the Greater Chippewa Valley (UWGCV) is committed to providing ongoing funding to help maintain a network of strong, effective human service agencies and community organizations and to help maintain the infrastructure necessary to provide needed community services. This commitment is expressed through our efforts to raise the optimal amount of money available in support of programs that have been found to meet high standards of performance effectiveness. UWGCV is fortunate to receive thousands of donations from individuals and businesses who support the mission to create stronger Chippewa Valley communities. UWGCV takes the stewardship of those funds seriously and works to invest those funds the best way possible.

#### **Affiliation**

Agencies that apply for Program Grants choose to affiliate with UWGCV. These agencies may be referred to as “program partners,” “funded agencies”, “affiliated agencies”, “community partners” or “participating agencies”.

Affiliation shall not be deemed or construed to create the relationship of principal and agent, partnership, joint venture, or any other relationship between UWGCV and any agency.

In order to receive funding, the agency must meet certain standards related to voluntary governance, fiscal management and accountability, as well as continue to provide services relevant to the community. In turn, funded agencies are asked to support and cooperate with UWGCV in all of its functional areas which include fund raising, community planning and initiatives, communications and allocations.

Certain safeguards must be in place to ensure that UWGCV meets legal requirements and remains in compliance with its bylaws. Safeguards must also be in place to ensure the promised delivery of service by agencies.

## ***Requirements of Affiliation***

All agencies that seek funding from UWGCV must meet the following eligibility requirements. In addition, coalitions or collaborations that seek funding from UWGCV must have a designated fiscal agent that meets the following eligibility requirements:

### 1. Policies

Agencies that receive grant funding must be in compliance with the following policies:

- Affiliation & Compliance Policy
- Anti-Terrorism Compliance Policy
- Designation Policy
- Fundraising Policy

### 2. Non-Discrimination Requirements

Agencies which receive funding from UWGCV shall operate and provide services on a non-discriminatory basis based on current law. Agencies must have written policies which clearly indicate they will operate without discrimination and encourage diversity in programs, services, staffing and volunteer areas. The following documentation may be required by UWGCV:

- A written affirmative action plan, or
- A diversity plan.

### 3. Fiscal and Administrative Requirements

A demonstrated ability to manage the finances of the programs/services in accordance with generally accepted accounting principles is critical to United Way support. Agencies' financial practices shall follow standards set forth by the Financial Accounting Standards Board (FASB) or the American Institute of Certified Public Accountants. Agencies must submit the following financial information to UWGCV on an annual basis:

- Copy of the most recent Federal Tax Return (e.g. IRS Form 990N, Form 990, Form 990-EZ, etc)
- Copy of one of the following:
  - Balance sheet and income statement approved by the board treasurer and chairperson
  - Review by an independent certified public accountant, approved by the board treasurer and chairperson
  - Audited financial statement and opinion of an independent certified public accountant on the audited financial statements, approved by the treasurer and chairperson

### 4. Program Requirements

Programs which receive funding from UWGCV must serve Chippewa and/or Eau Claire counties. UWGCV does not fund cultural, religious, or political activities.

## 5. UWGCV Campaign Support

Programs which receive funding from UWGCV must support its fundraising campaign in the following ways:

- Support and assist in the UWGCV community campaign in all appropriate ways, both internally and externally;
- Actively conduct a successful employee workplace campaign within the agency, promoting payroll deduction as a convenient way for employees to give;
- Encourage UWGCV giving among all the agency's constituents, including board members.

## 6. Communications Guidelines

The following agency guidelines have been established to strengthen UWGCV's ability to provide ongoing financial support:

- Positively promote the agency's UWGCV affiliation(s) and refer to the agency's UWGCV affiliation(s) in the agency's promotional efforts, at the organization's public functions, and in news releases and media interviews for the funded program;
- Actively promote the partnership with companies where the agency has an existing relationship with the company;
- Cooperate and collaborate with UWGCV in its year-round promotional efforts;
- Use United Way logos on public relations materials for the funded program(s), including, but not limited to: stationery, brochures, invitations, and annual reports (UWGCV will provide you with logos); display the logo prominently on agency buildings (UWGCV will provide logos);
- Provide speakers, assist with tours, and participate in other mutually agreed upon activities;
- Communicate questions, concerns and issues directly to the UWGCV office.

## 7. Annual Review

UWGCV requires each organization to submit an Annual Progress Report (APR) for each funded program.

- Special consideration may be given to the submission deadline of financial information such as 990s and audits dependent upon fiscal year end of the submitting organization. Such considerations are on an individual basis and must be in writing to UWGCV.
- Grant funding to agencies that do not meet the report deadline is suspended beginning the first of the month after the Annual Progress Report due date. Funding is reinstated (not retroactively) once a complete report is filed.

Volunteers, in coordination with UWGCV staff, will review each report and recommend action.

## **Compliance**

UWGCV strives to set forth clear and realistic expectations between UWGCV and funded agencies. Occasionally during the Annual Progress Report review process, or at other times, certain issues are raised that cause concern about an agency's ability to continue to provide quality programming. The issues may be ongoing or they may be a one-time event in the course of the agency's lifespan. Those issues will be reviewed thoroughly and monitored consistently to ensure continued quality programming.

When it is determined that a program is not following policy & procedure as agreed upon in the UWGCV Memorandum of Agreement (MOA), and/or the program has changes that effect grant deliverables, and/or the program is not following agreed upon use of UWGCV funding, recommendations may be made for any of the following actions to the UWGCV Executive Director:

- A site visit may be held
- The program may be asked to provide additional reporting within a reasonable timeframe
- The UWGCV Executive Director and/or Community Impact Director may meet with program administration
- A written Action Plan may be required to address the issues/concerns
- Repayment of UWGCV grant funds.

## **Compliance for significant and/or ongoing issues:**

When it is determined that a program is not following policy & procedure as agreed upon in the UWGCV MOA in a significant and/or ongoing manner and/or the program has significant changes that effect grant deliverables and/or the program is not following agreed upon use of UWGCV funding in a significant and/or ongoing manner, recommendations may be made for any of the following actions.

**Probation** Programs and/or agencies may be recommended to be placed on probation if programmatic issues warrant it.

Agencies or programs placed on probation should make every effort to improve their processes immediately. If the concerns raised have not been adequately addressed according to the written Action Plan within the prescribed timeframe, further action may be taken, inclusive of suspension of payment and/or defunding.

Other recommendations when there are significant and/or ongoing issues include:

- **Suspension of Payment** Program's allocated payment is suspended due to noncompliance. Suspension can be temporary or permanent and may include requirements for continued payment. There are no appeal rights.
- **Defunding of Program** Program is defunded due to noncompliance. There are no appeal rights.

### ***Termination of Affiliation***

Either UWGCV or an affiliated agency may choose to terminate the relationship at any time. For the purposes of this document, terminating affiliation shall be referred to as “disaffiliation.”

1. Termination of funding for a program is separate from disaffiliation.
  - Affiliation continues if UWGCV defunds one or more programs of an agency, but continues to fund other programs of that agency.
  - Disaffiliation occurs when UWGCV defunds all of the programs receiving funding.
2. Written notice of disaffiliation is required by either UWGCV or the agency.
3. UWGCV can choose to disaffiliate with an agency at any time. Examples of reasons for disaffiliation include, but are not limited to, the following:
  - The agency’s programs and services are no longer needed as determined by the Community Impact Committee.
  - The agency discontinues the provision of service of the programs funded by UWGCV.
  - A program or agency exhibits questionable management practices.
  - The agency is no longer in compliance with the eligibility requirements set forth in this policy.
4. Disaffiliation occurs upon action of the Board of Directors. There are no appeal rights.
5. A disaffiliated agency that seeks re-affiliation must undergo the entire application process.
6. When it is deemed that noncompliance is severe, the program/agency may be automatically recommended to defunding or disaffiliation. The Board of Directors would take direct immediate action on this.