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United Way of Tulare County

Application for Affiliation

United Way
of Tulare County



United Way of Tulare County

Application for Affiliation

Organization Profile

Part I

This is a first step screening process to determine your organization's eligibility to begin the application process for possible United Way affiliation. **This application is a part of the eligibility process and does not guarantee affiliation or funding.**

Organization:

Contact Person:

Address:

City:

Zip:

Phone:

Fax:

Email:

Organization is: (check all that apply)

- Independently incorporated, 501(c)(3)
- A Chapter/Unit of a state/national organization
- A Branch of a regional organization.

Name and location of headquarters' organization: (If Chapter, Unit or Branch)

Describe the local organization's reporting and financial responsibility to the headquarters organization:

Mission/Purpose: _____

Describe the need or problem which the organization is addressing:

Brief description of programs/services provided: _____

Geographical service area: _____

Eligibility criteria for services: _____

What organizations do you network with and how? _____

Number of individuals/households/families served (UNDUPLICATED) in the preceding year? _____

Expected outcomes. What are the expected outcomes as a result of the service/programs provided by the organization? _____

List the name of any organization(s) within the service area that provides the same or similar services to those provided by the organization: _____

How is your organization different? How are you collaborating with other organizations to minimize duplication of services and/or to maximize resources. Please be specific. List the names of the organizations with which you are networking and collaborating.

Program evaluation. How does the organization measure results?

What are the organization's primary sources of funding?

Percentage of administrative and fundraising expenses as recorded in the organization's most current IRS form 990. Compute by adding line 14 to line 15 and dividing the resulting total by line 12.

_____ %

Part II

Please respond to all items listed below. Requested attachments are mandatory. Incomplete applications will not be considered.

Please Check:

- | <u>Yes</u> | <u>No</u> | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 1. Organization is incorporated, not-for-profit under Section 501(c) (3) of the IRS Code and corresponding provisions of other applicable state regulations. <ul style="list-style-type: none">— <i>Attach</i> copy of state and federal tax exemption forms.— <i>Attach</i> copy articles of incorporation— <i>Attach</i> copy of by-laws |
| <input type="checkbox"/> | <input type="checkbox"/> | 2. Date incorporated: _____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 3. Organization has provided human care services/programs in Tulare County for at least the last two consecutive years. |
| <input type="checkbox"/> | <input type="checkbox"/> | 4. Organization has a voluntary board (minimum 7 members) whose members have no material conflict of interest, serve without compensation, and periodically rotate off the board and meet, at least, quarterly. <ul style="list-style-type: none">— <i>Attach</i> a list of board officers & board members with addresses and phone numbers, and starting/ending dates of board term for each person.— <i>Attach</i> board agendas and minutes for three most current board meetings. |
| <input type="checkbox"/> | <input type="checkbox"/> | 5. The board meets annually to re-organize, evaluate, and plan. (Board Retreat) |
| <input type="checkbox"/> | <input type="checkbox"/> | 6. Organization carries Directors' & Officers' insurance. <i>Attach</i> copy of certificate of insurance. |
| <input type="checkbox"/> | <input type="checkbox"/> | 7. Organization carries general liability insurance which includes employee dishonesty bond. <i>Attach</i> copy of certificate of insurance. |
| <input type="checkbox"/> | <input type="checkbox"/> | 8. Organization provides services without discrimination as to religion, race, color, creed, gender, sexual orientation, physical or psychological impairment, or national origin. Does the organization engage in any religious proselytizing as a condition of providing services to any applicant? |

- | Yes | No | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | 9. Organization conducts an annual, independent audit of its books. <ul style="list-style-type: none"> a. Attach most recent audit report (including any management letter & footnotes) and IRS Form 990. b. If annual budget is under \$50,000.00, attach IRS Form 990 and CPA or accountant review. |
| <input type="checkbox"/> | <input type="checkbox"/> | 10. Organization operates with a board-approved annual budget. <ul style="list-style-type: none"> a. Attach current and previous year's annual operating budget which includes revenues and expenses. b. Attach most current Balance Sheet and Statement of Revenues & Expenses. |
| <input type="checkbox"/> | <input type="checkbox"/> | 11. Payroll taxes are paid and up to date? |
| <input type="checkbox"/> | <input type="checkbox"/> | 12. Organization has outstanding debt in the amount of \$_____. Please attach an explanation (if not included with the submitted financial records). |
| <input type="checkbox"/> | <input type="checkbox"/> | 13. Organization publishes an annual report which is available to everyone upon request. Please attach a copy. |
| <input type="checkbox"/> | <input type="checkbox"/> | 14. Organization has a written personnel policy which complies with all applicable state and federal laws. Date last reviewed:_____ |
| <input type="checkbox"/> | <input type="checkbox"/> | 15. Does the organization pay a commission for fund raising? (Example: Telemarketing by a professional fundraising company). If yes, attach an explanation. |
| <input type="checkbox"/> | <input type="checkbox"/> | 16. Is there any pending litigation or notification of a possible lawsuit against your organization and/or any current or former board member (in his/her board capacity)? If yes, please attach explanation. |
| <input type="checkbox"/> | <input type="checkbox"/> | 17. Local presence. Organization maintains a staffed facility, or office, in Tulare County. If no, please explain. |

Part III

Check list of mandatory attachments: (Incomplete applications will not be considered)

- _____ State & Federal determination letter of exemption.
- _____ Articles of Incorporation.
- _____ By-Laws.
- _____ Insurance certificates for Liability and Directors & Officers policies.
- _____ List of board officers & directors with addresses, phone numbers and term dates.
- _____ Board agendas and minutes for the three most recent board meetings.
- _____ Most recent audit report (or, if applicable, Account review) and IRS Form 990.
- _____ Current annual operating budget.
- _____ Most current Balance Sheet and Statement Revenues & Expenses.
- _____ Standard of Excellence

I am the dully-appointed representative of _____
authorized to certify and affirm all statements enclosed in this application.

President's Signature

Executive Director's Signature

Date

Date

Print Name

Print Name

**Please return to:
United Way of Tulare County
1601 E. Prosperity Ave.
Tulare, CA 93274**



UNITED WAY OF TULARE COUNTY
NONPROFIT MANAGEMENT SERVICES

STANDARDS OF EXCELLENCE:

SELF-ASSESSMENT

The goal of engaging in the Self-Assessment is to gain a clearer understanding of where your organization is in comparison to best practices, and to pinpoint areas for improvement.

For each Standard, please check those indicators that you have in place. The responses are simply “yes/no”...the indicator is in place...or it is not. For those areas that you may not be in compliance with now, you may be able to identify opportunities for improvement. The worksheet on page 7 is provided as a tool to help you formulate plans for meeting essential and other Best Practices indicators.

Please do not hesitate to contact United Way at 685-1766 if you have any questions regarding the standards or indicators.



UNITED WAY OF TULARE COUNTY

Nonprofit Management Services

MISSION

To equip nonprofit organizations in Tulare County to become models of excellence in program effectiveness, administrative stability, and long-term sustainability.

BEST PRACTICES INVENTORY

Organization: _____

Person Completing the Inventory: _____

Date: _____

NOTE: Italicized indicators are considered highly important/essential best practices to have in place.

1. STANDARD: MISSION

The organization has a clearly stated mission, approved by the board, in pursuit of improving the lives of the people it serves.

YES NO *Indicators:*

- A. The organization has a written mission statement.
- B. The mission statement is approved by the board.
- C. The mission statement is annually reviewed by the board.

2. STANDARD: ADMINISTRATION

The organization delivers high-quality operational support of its business, supporting human resources administration, finance, and information technology.

YES NO *Indicators:*

- A. The organization carries adequate insurance and liability coverage. Date policy last reviewed: _____
- B. Liability insurance includes dishonesty/fidelity bond.
- C. The organization carries Directors and Officers insurance.
- D. Federal and state payroll report filings are current.
- E. Quarterly and annual payroll report filings are current.
- F. The organization has security safeguards in place to protect the privacy of files and records.
- G. The organization has adequate and current computer equipment and software.
- H. The organization has internet access, website/email connectivity.

3. STANDARD: HUMAN RESOURCES

The organization has a written policy that includes affirmatively equal opportunity to all qualified employees and applicants for employment without regard to any individual's, sex, race, color, ancestry, citizenship status, religious creed, national origin, sexual orientation, physical disability (including HIV and AIDS), mental disability, medical condition (cancer), age, gender marital status, registered domestic partner status, status as a special disabled or Vietnam-era Veteran or the need for family care leave.

YES NO *Indicators:*

- A. The organization has an up-to-date HR policies and procedures manual.
Date Adopted _____ Date last reviewed _____
- B. The organization has a policy requiring background checks and fingerprinting of all potential employees and volunteers working with children and youth.
- C. A policy manual is provided to all employees and a signed acknowledgment of receipt is kept in each employee file.
- D. The organization maintains current job descriptions for all staff.
- E. The organization has current and legally compliant employee records for all staff (i.e. W-4 and I-9 Forms).

4. STANDARD: DIVERSITY

The organization adheres to a policy that ensures volunteers and staff broadly reflects the diversity of the community it serves.

YES NO *Indicators:*

- A. The organization has a written diversity statement/policy.

Date board approved: _____.

5. STANDARD: GOVERNANCE

A board of directors that is effective in setting direction for the organization, ensuring necessary resources and providing oversight of programs, finances, legal compliance, and values.

YES NO *Indicators:*

- A. All board members clearly understand their personal, legal, and ethical responsibilities in the governance of this organization.
- B. The board meets at least quarterly.
- C. The board includes at least two members with financial experience.
- D. The board approves the organization's operating budget.
- E. Board packets are distributed at least 3 days in advance of meetings and include at least an agenda, minutes, and financial statements.
- F. The board reviews and approves the annual audit and IRS Form 990.
- G. Board members periodically rotate off the board.
- H. The organization has a written process for board recruitment and training.
- I. Board members are provided a written job description that clearly outlines general and legal responsibilities.
- J. Board membership reflects the diversity of the communities the organizations serves.
- K. Board members annually verify in writing that they have reviewed the organization's code of ethics.
- L. Board members actively participate in the organization's fundraising efforts.
- M. Board members make annual financial contributions to the organization.

6. STANDARD: PLANNING

The organization establishes short and long-term goals and identifies strategies to accomplish them.

YES NO *Indicators:*

- A. A written strategic plan is in place creating the future of the organization for the next 3-5 years.
- B. The plan includes measurable objectives, strategies, timelines, and accountabilities.
- C. Reports are prepared during the year measuring progress toward objectives, explanations for variances, and changes in course as a result of lessons learned.

7. STANDARD: FINANCIAL PRACTICES

In order to maintain the public's trust, the organization has written policies and procedures in place to ensure strong financial management, compliance with legal and regulatory requirements, and internal controls over all of the organization's resources that help further its mission.

YES NO *Indicators:*

- A. The organization has written financial policies and procedures that are followed. Date last reviewed: _____
- B. The organization has an active finance committee that meets at least quarterly.
- C. Financial statements are prepared on time and reviewed with the board at least quarterly.

- D. Finance reports are made to the board by a member of the finance committee.
- E. Financial statements include both actual income and expenses, and budgeted income and expenses, as well as year-to-date totals as compared with budget
- F. Staff, board members, and volunteers who handle cash or investments are bonded to safeguard those assets.
- G. An annual audit or review is conducted by an independent Certified Public Accountant whose examination complies with generally accepted auditing standards and Generally Accepted Accounting Principles (GAAP).
- H. The audit/review/compilation and the IRS Form 990 is presented to the full board by the independent Certified Public Accountant.
- I. Government contracts, purchase of service agreements, and grant agreements are in writing and are reviewed by a staff member of the organization to monitor compliance with all stated conditions.
- J. The organization has a written policy identifying authorized check signers and the number of signatures required on checks in excess of specified dollar amounts.
- K. All expenses of the organization are approved by a designated person before payment is made.
- L. The organization has established, or is actively trying to develop, a reserve of funds to cover at least three months of operating expenses.
- M. The Board of Directors, or an appropriate committee, is responsible for soliciting bids, interviewing auditors, and hiring an auditor for the organization.
- N. The Board of Directors reviews and approves the audit report and management letter and with staff input and support, institutes any necessary changes.
- O. The audit, or an organization prepared annual report which includes financial statements, is sent to service recipients, volunteers, contributors, funders, and other interested parties.

8. STANDARD: INTERNAL CONTROLS

The organization properly ensures the accuracy of financial statements, safeguards assets and maintains and appropriate separation of duties for all financial transactions and functions by maintaining effective internal controls.

YES NO *Indicators:*

- A. The organization maintains a set of written internal controls, including the handling of cash and deposits, approval over spending, and disbursements, petty cash, spending authority/limits, ordering of supplies, authorized check signatures, and other financial transactions.
- B. Internal controls, policies and procedures are reviewed annually by auditors and by the finance/audit committee of the organization. Date last reviewed: _____

9. STANDARD: PUBLIC REPORTING AND TRANSPARENCY

The organization is open and candid about its activities and operations. It provides public access to documents appropriate to ensure transparency in governance, finances, and ethical matters.

YES NO *Indicators:*

- A. The organization adheres to a written code of ethics for volunteers and staff which includes provisions for ethical management, publicity, fundraising practices, and full and fair disclosure. Date board approved: _____

- B. The organization promotes a culture of ethical behavior at all levels and encourages employees and volunteers to communicate any known or suspected wrongdoing to the appropriate person.
- C. The organization provides public access to documents about its activities and operations such as the IRS Form 990, audited financial statements, and annual report.

10. STANDARD: LEGAL

The organization complies with all applicable legal, local, state, and federal operating and reporting requirements.

YES No *Indicators:*

- A. The organization promotes itself as an equal opportunity employer.
- B. The IRS Form 990 is filed in a timely manner (within nine months of fiscal year end).
- C. The organization has and adheres to a written policy to protect whistle-blowers from retaliation.
- D. The organization has and adheres to a written policy to prevent individuals from tampering with or destroying records so as to impede an official proceeding.
- E. The organization periodically, reviews bylaws for compliance.

11. STANDARD: RISK MANAGEMENT

The organizations is intentional and comprehensive in the protection of its assets such as financial, property, and people.

YES NO *Indicators:*

- A. The organization maintains a written emergency/crisis management plan.
- B. The organization has board approved, sound and prudent investment policies and financial practices.
- C. The organization has access to legal counsel.
- D. The organization employs a multitude of risk management techniques in order to protect all assets (e.g. directors and officers liability, workers compensation, crime/fraud, general liability, content and personal property insurance).
- E. The organization regularly reviews and updates its policies and procedures.

12. STANDARD: FACILITIES

The organization provides a safe, welcoming physical environment that is accessible, practical , recognizable, and expressive of the organization's mission.

Yes No *Indicators:*

- A. Facilities are adequate for staff and program needs and meet local, state, and federal safety standards as applicable.
- B. Office equipment is adequate for current needs of the organization.
- C. The organization provides a safe work environment through the creation and implementation of a building security plan, procedures and protocols, and a physical structure that is up to code, including compliance with the Americans with Disabilities Act (ADA), Occupational Safety and Health Administration (OSHA) regulations and other applicable laws and regulations.

- D. The organization maintains a healthy and productive workplace by providing job-appropriate workspace and equipment designed to enhance productivity.

Board President Certification:

Chief Executive Officer Certification:

I affirm that the information provided is true and accurate.

I affirm that the information provided is true and accurate.

Board President Signature

CEO Signature

Date

Date

Print Name

Print Name