

United Way 2016 Membership Certification

TIP! Enter responses into the certification via DocuSign, print or save as a PDF to share with your board, then return to DocuSign later to sign.

INSTRUCTIONS:

- Share this certification and your responses with the entire board and note date of meeting on page four. Note that you may enter responses in the DocuSign platform, print or save as a PDF for sharing with your board, and return to the document later to sign.
- Answer all questions and provide an explanation for any “no” answers.

Responses will be kept confidential and will only be shared with essential volunteers and staff of United Way Worldwide.

As stated in United Way Worldwide’s bylaws, United Ways will refrain from taking any actions or conducting activities likely to damage the welfare, interests, or reputations of the United Way system. United Ways will also meet the following requirements.

Requirement A: Tax-Exempt Status and Completion of the IRS Form 990

Yes No

Is your United Way recognized as exempt from taxation under Section 501(c)(3) of the Internal Revenue Code as well as from corresponding provisions of other applicable state, local and foreign laws or regulations?		
Did your United Way file the IRS Form 990 in a timely manner (within nine months of last fiscal year end)?		
Date the last IRS Form 990 submitted to IRS:		
Have you followed the <i>UWW Implementation Standards for Membership Requirement A</i> in completing the IRS Form 990?		
Was a copy of the IRS Form 990 provided to the organization’s governing body before it was filed?		
Does your United Way effectively communicate its program service accomplishments in the IRS Form 990, Part III?		
Is your United Way properly classified as a public charity as evidenced by checking box 7 on Part 1 of Schedule A of the IRS Form 990?		
For the prior fiscal year, did the organization become aware of a material diversion of the organization’s assets? Please provide an explanation for a “YES” response to this question. Per the IRS, a material diversion is more than 5% of gross annual receipts or more than \$250,000, whichever is less.		
Is the compensation for the top management official (e.g., CEO, executive director) and top financial official (e.g., chief financial officer) reported as required on the IRS Form 990 in Part VII?		
Does your United Way make the IRS Form 990 (or 990 E-Z) available to the public?		

Requirement B: Legal Requirements

Does your United Way comply with all applicable legal, local, state, and federal operating and reporting requirements (e.g., nondiscrimination)?		
In the last 12 months, have there been any government agency led investigations of your United Way for violations of local, state, or federal laws? Please provide an explanation for a “YES” response to this question.		
Does your United Way conduct anti-terrorism compliance measures?		
Does your United Way comply with provisions of Sarbanes-Oxley applicable to nonprofit corporations (whistleblower protection and implementation of document retention and destruction policies)?		
Does your organization promote itself as an equal opportunity employer?		
Is your United Way currently registered to conduct charitable solicitations at the state and local level? A response is not required if not applicable to your United Way.		

Requirement C: Governance

Yes No

Does your United Way have an active, responsible, and voluntary governing body which ensures effective governance over the policies and financial resources of the organization?		
Does the board approve the annual budget?		
Does the board include at least two members with financial experience?		
Does the board, or board-delegated committee, review financial statements on at least a quarterly basis?		
Does the board review and approve fund distribution decisions?		
Does your United Way regularly provide training to governing board members?		
Does your United Way produce an annual report?		
Does your United Way's governing board review its bylaws and other governance documents at least once every three years?		
Are meeting minutes maintained for all governing board meetings?		
Does your United Way have a board-approved business expense reimbursement policy?		
Does your board meet at least quarterly?		
Is the external auditor engaged by and working for the board or board-appointed committee?		
Does your board review the external annual audit, and is the audit presented to the board by the auditor or audit committee chair?		
Did the board approve the process for determining the CEO's compensation (e.g., type of comparability data, independent members of the board reviewing and approving CEO compensation)?		
Did the board specifically approve the CEO's compensation?		

Requirement D: Diversity & Inclusion

Does your United Way adhere to a locally developed and adopted statement to ensure volunteers and staff broadly reflect the diversity of the community it serves?		
Does your board review the organization's diversity statement at least once every three years?		
Does your board review, at least once every three years, a report of the board, volunteers and staff composition to ensure diversity is achieved?		

Requirement E: Trademark

Does your United Way represent itself as a United Way in accordance with all United Way Worldwide trademark standards and requirements, including those contained in the licensing agreement?		
Does your organization's name include a geographic modifier (e.g., United Way of XYZ County), and is the full corporate name included in public advertising (e.g., broadcast, print, electronic, email, social media, website)?		
Does your United Way follow United Way brand identity guidelines in all respects?		
Does your United Way only solicit businesses located in your zip codes on file at United Way Worldwide (GiftLink)?		
Does your United Way limit its workplace solicitations to individuals who work at facilities in your zip codes on file at UWW?		
Does your United Way limit its non-workplace solicitations of individuals to your zip codes on file at UWW (e.g., home addresses in your United Way's territory, special events in your United Way's territory)?		
Does your United Way purchase promotional products bearing the marks of United Way only from vendors licensed by United Way Worldwide?		

Requirement F: Membership Investment

Does your United Way provide financial support to United Way Worldwide in accordance with the membership investment formula?		
Will 2016 membership investment be paid in quarterly installments and in full no later than December 31, 2016?		

Requirement G: Code of Ethics

Does your United Way adhere to a locally developed and adopted code of ethics for volunteers and staff, which includes provisions for ethical management, publicity, fundraising practices, and full and fair disclosure?		
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	Yes	No
Do all staff and board members annually verify in writing they have reviewed the code of ethics?		
Does your United Way have a written conflict of interest policy?		
Does the code of ethics or conflict of interest policy instruct the board and staff to avoid conflicts of interest that would act against the best interest of United Way?		
Does the code of ethics or conflict of interest policy include a process for reporting and resolving conflicts of interest should they occur?		
Are the board members and staff required to disclose in writing, on an annual basis, any potential conflicts of interest?		
Does your board review the code of ethics at least once every three years?		

Requirement H: Audit

Does your United Way have an annual audit conducted by an independent certified public accountant whose examination complies with generally accepted auditing standards and GAAP? Organizations with annual revenue less than \$500,000 may have their financial statements reviewed by an independent certified public accountant.		
Annual revenue per most recent year-end financial statement: \$ _____		
Were most recent financial statements audited by an independent CPA (required if annual revenue exceeds \$500,000)?		
Was the auditor’s opinion unqualified (i.e., a “clean” audit)?		
Were most recent financial statements reviewed by an independent CPA (acceptable only for organizations with annual revenue of less than \$500,000)?		
Fiscal year of most recent audit or review: _____		
Has your United Way followed the <i>UWW Implementation Standards for Membership Requirement H</i> in preparing the audited financial statements?		
Has your United Way followed the <i>Functional Expense and Overhead Reporting Standards for United Ways</i> in preparing the audited financial statements?		
Does the board, executive committee or audit committee review the auditor’s management letter and take appropriate actions to minimize any risks identified?		
Has the board established or considered establishing an operating reserve policy?		
Has the board, or board-delegated committee, approved the current provision for uncollectible pledges (estimated shrinkage)?		

Requirement I: Self-Assessment

In the last three years, did your United Way conduct and submit to UWW a copy of its volunteer-led self-assessment of their community impact work, financial management, and organizational governance and decision making?		
Indicate year of last self-assessment		
<input type="radio"/> 2013 (next self-assessment in 2016) <input type="radio"/> 2014 (next self-assessment in 2017)		
<input type="radio"/> 2015 (next self-assessment in 2018) <input type="radio"/> 2016 (next self-assessment in 2019)		
<input type="radio"/> Prior to 2013; we acknowledge the self-assessment is overdue and will complete a self-assessment in 2016		

Requirement J: Database II

Did/will your United Way submit Database 2 to UWW by May 15, 2016, or by June 30, 2016 (if on a July-June fiscal cycle)?		
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Requirement K: Income and Expense Survey – Suspended for 2016

Requirement L: Campaign Reporting

Yes No

Does your United Way adhere to standard reporting guidelines contained in the Database 2 Survey in reporting campaign revenue and resources generated to United Way Worldwide?		
Are amounts reported on Database 2 provided in accordance with the NPC Total Resources Generated Policy?		
Has your United Way talked with neighboring United Ways and United Ways with whom you share accounts to ensure that your campaign proceeds are being properly reported in accordance with NPC policies?		

Requirement M: Cost Deduction Standards

Does your United Way adhere to the following cost deduction standards on designations (agency transactions): a) fees charged will be based on actual expenses; b) will not deduct fundraising or processing fees from designated gifts originating by or from another United Way organization?		
Does your United Way allow donor-designated contributions? If answer is no, you may skip next three questions.		
Have you calculated the maximum cost deduction rates according to the Cost Deduction Standards for Membership Requirement M (Part I) and are the rates charged at or below those rates?		
Has the board, or board-delegated committee, approved the currently used cost deduction rates for fundraising and management/general expenses?		
Does your United Way pay designated gifts quarterly that include reports required under this standard?		

Review by United Way Governing Board

This certification was reviewed with our governing board at their meeting held on _____ and is reflected in the minutes of this meeting.

Please provide contact information so that United Way Worldwide may communicate directly with your United Way’s leadership. United Way Worldwide will not share nor disclose this information to outside parties.