

**Minutes of the Meeting of the Board of Directors  
United Way of Northeast Mississippi  
11:30 a.m., Wednesday, May 1, 2019**

**Members Present:** Brandi Abbott, Jesse Bandre, Tyler Basil, Rodger Brown, Beth Davis, Hilary Hamblin, Shane Hooper, Jeff King, Neal McCoy, Buzzy Mize, Bentley Nolan, Greg Pirkle, Evie Storey, Mike Webb, David Wilson and Eddie Wright

**Members Absent:** Jeff Cox, Stewart McMillan and Aaron Washington

**Staff Present:** Melinda Tidwell, Mary Ann Plasencia, Mattie Mize, Russ Wilson, Mike Mitchell, Robin McKinney and Cara Waters

Chairman Jeff King called the meeting to order and Tyler Basil gave the invocation.

**Approval of Consent Agenda.** Jeff King, Chairman, stated everyone received the minutes and the financial statements prior to the meeting for review. Mr. King asked for approval of the minutes and financial statements if there were no objections or discussion needed. Greg Pirkle made a motion to accept the minutes and financial statements as presented with Rodger Brown seconding. The motion carried.

**Investment Report.** Eddie Wright, Chair, presented the minutes from the Investment Committee meeting dated February 27, 2019. Mr. Wright noted we do have several funds on the watch list that are being closely monitored by Hardy Reed. Mr. Wright stated our reserve and endowment funds were down for fourth quarter 2018 by 10.28% but as of March 31, 2019 they had gained 8.8%. Over a ten-year period, the funds have been up more than they have been down. The bond funds were down by 2.17% for fourth quarter 2018 but as of March 31, 2019 they had gained 3.41%.

### **Develop Enhanced Resource Development Efforts**

**Campaign Presentation.** Jeff King, Chairman, presented David Wilson with a plaque of appreciation for his service as the 2018 Campaign Chair. Mr. Wilson thanked everyone that helped make the campaign a success.

### **Refine Our Value Proposition and Brand**

**Community Impact Plan.** Mary Ann Plasencia stated she has secured three individuals to head the three focus areas for the agency applications. In the Health area will be Dr. Ormella Cummings, in the Academic Success area will be Dr. Kristi Luse and in the Family Stability area will be Carrie Coggins.

## Explore Community Level Focus

**Hunger Coalition – Summer Feeding Program.** Jason Martin, Executive Director, stated the summer feeding program this year will be called Break Box. Mr. Martin stated he would like to raise \$60,500 to support the program. Mr. Martin has launched a website for Break Box where you can donate online. A short term lease has been secured in the vacant end of the Vanity Fair Outlet building. An occupancy permit will be secured today. Mr. Martin has gotten several necessary items donated such as a forklift. The food to pack the boxes should arrive between May 6-17. Packing days are planned later in the month following the delivery of food. One big change this year in the distribution will be instead of receiving a weekly box, families will receive a monthly box containing more food items. There will be 7 distribution sites available throughout Lee County. Mr. Martin stated they are targeting to serve 800 children and their families over the summer.

**Strategic Plan – Year 2 Update.** Melinda Tidwell gave a brief overview on how and where we are on meeting and achieving our goals on the strategic plan. Our number of givers has increased but the amount given has decreased. We have increased our social media presence and we have updated our materials to reflect a more targeted approach. We began the Groundswell group, which targets millennials. Employee campaign growth declined by 4% but individual giving increased due to the 50K Giveaway. We continually look for other funding sources through grant opportunities.

With no further business, the meeting was adjourned.

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Neal McCoy, Secretary-Treasurer

## **United Way of Northeast Mississippi Conflict of Interest Policy**

### **Policy Statement**

The purpose of the conflict of interest policy is to protect United Way of Northeast Mississippi when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of United Way of Northeast Mississippi or might result in a possible excess benefit transaction.

No member of United Way of Northeast Mississippi's Board of Directors, or any of its Committees, shall derive any personal profit or gain, directly or indirectly, by reason of his or her participation with the United Way of Northeast Mississippi. Any interested person(s) shall disclose to United Way of Northeast Mississippi any personal or indirect interest, which he or she may have in any matter pending before United Way of Northeast Mississippi's Board and shall not participate in any decision on such matter.

**Interested Person:** Any director, principal officer, member of a committee with governing board delegated powers, employee, or volunteer who has a direct or indirect financial interest, as defined below, is an interested person.

A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:

- a. An ownership or investment interest in any entity with which the Organization has a transaction or arrangement.
- b. A compensation arrangement with the Organization or with any entity or individual with which the Organization has a transaction or arrangement, or
- c. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the Organization is negotiating a transaction or arrangement.

### **Disclosing a Conflict of Interest**

In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to present all material facts to the directors and members of committees.

### **Determining Whether a Conflict of Interest Exists**

After disclosing the actual or potential conflict, and after any discussion with the interested person, he/she shall leave the meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.

### **Procedures for Addressing the Conflict of Interest**

1. An interested person may make a presentation at the board or committee meeting, but after the presentation, he/she shall leave the meeting during the discussion or, and the vote on, the transaction or arrangement involving the possible conflict of interest.
2. The President of the Board of Directors or chairperson of the committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
3. After exercising due diligence, the board or committee shall determine whether United Way can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
4. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in United Way's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination it shall make its decision as to whether to enter into the transaction or arrangement.

**Recording the Conflict of Interest**

The minutes of the board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the board's or committee's decision as to whether a conflict of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceeding.

**Violations of Conflict of Interest Policy**

If the board of directors has reason to believe that an interested party has failed to disclose an actual or potential conflict of interest, it shall inform the person of the basis for such belief and afford the person an opportunity to explain the alleged failure to disclose.

If, after hearing the response of the interested party and making such further investigation as may be warranted in the circumstances, the board determines that the interested party has in fact failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and/or corrective action.

United Way of Northeast Mississippi  
Conflict of Interest Policy  
**Annual Affirmation of Compliance and Disclosure Statement**

At this time, I \_\_\_\_\_ am a Board member, a committee member, or an employee of the following organizations (please attach a separate sheet if needed) that could be determined to have a conflict of interest:

| Organization/committee | Relationship to Organization | Nature of Conflict of Interest |
|------------------------|------------------------------|--------------------------------|
|                        |                              |                                |
|                        |                              |                                |
|                        |                              |                                |

A business relationship is defined as:

1. One person is employed by the other in a sole proprietorship or by an organization with which the other is associated as a trustee, director, officer, key employee, or greater-than 35% owner.
2. One person is transacting business with the other (other than in the ordinary course of either party's business on the same terms as are generally offered to the public), directly or indirectly, in one or more contracts of sale, lease, license, loan, performance of services, or other transactions involving transfers of cash or property valued in excess of \$ 10,000 in the aggregate during the organization's tax year.
3. The two persons are each a director, trustee, officer, or greater than 10% owner in the same business or investment entity.

Please list any other Board members or staff members with which you have a business relationship as defined above:

| Board Member | Relationship |
|--------------|--------------|
|              |              |
|              |              |

A family relationship is defined as:

Individuals serving with his or her spouse, ancestors, brothers and sisters (whether whole or half blood), children (whether natural or adopted), grandchildren, great-grandchildren, and spouses of brothers, sisters, children, grandchildren, and great-grandchildren

Please list any other Board members or staff members with which you have a family relationship as defined above:

| Board Member | Relationship |
|--------------|--------------|
|              |              |
|              |              |

Please complete the questionnaire, below, indicating any actual or potential conflicts of interest. If you answer “yes” to any of the questions, please provide a written description of the details of the specific action or transaction in the space allowed. Attach additional sheets as needed.

Financial Interests – A conflict may exist where an interested party, or a family member or affiliate or an interested party, directly or indirectly benefits or profits as a result of a decision made or transaction entered into by United Way of Northeast Mississippi.

Please indicate whether, during the past twelve (12) months,

1. Has United Way of Northeast Mississippi contracted to purchase or lease goods, services, or property from you, or from any of your family or affiliates?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please describe:

2. Has United Way of Northeast Mississippi offered employment to you, or to any of your family or affiliates, other than a person who was already employed by United Way of Northeast Mississippi?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please describe:

3. Have you, or have any of your family or affiliates, been provided with a gift, gratuity or favor, of a substantial nature, from a person or entity which does business, or seeks to do business, with United Way of Northeast Mississippi?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please describe:

4. Have you, or any of your family or affiliates, been gratuitously provided use of the property or services of United Way of Northeast Mississippi?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please describe:

Other Interests - A conflict may also exist where an interested party, or a family member or affiliate of an interested party, obtains a non-financial benefit or advantage that he would not have obtained absent his/her relationship with United Way of Northeast Mississippi, or where his/her duty or responsibility owed to United Way of Northeast Mississippi conflicts with a duty or responsibility owed to some other organization.

Please indicate whether, during the past twelve (12) months,

5. Did you obtain preferential treatment by United Way of Northeast Mississippi for yourself, or for any of your family or affiliates?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please describe:

6. Did you make use of confidential information obtained from United Way of Northeast Mississippi for your own benefit, or for the benefit of a family member or affiliate?

\_\_\_\_\_ Yes \_\_\_\_\_ No

If yes, please describe:

I have received and carefully read the Conflict of Interest Policy for board members, officers, staff and certain volunteers of United Way of Northeast Mississippi and have considered not only the literal expression of the policy, but also its intent. By signing this affirmation of compliance, I hereby affirm that I understand and agree to comply with the Conflict of Interest Policy. I further understand that United Way of Northeast Mississippi is a charitable organization and that in order to maintain its federal tax exemption it must engage primarily in activities, which accomplish one or more of its tax-exempt purposes.

Except as otherwise indicated in the Disclosure Statement and attachments, if any, below, I hereby state that I do not to the best of my knowledge, have any conflict of interest that may be seen as competing with the interest of United Way of Northeast Mississippi, nor does any family member or affiliate have such an actual or potential conflict of interest.

If any situation should arise in the future which I think may involve me in a conflict of interest, I will promptly and fully disclose the circumstances to the President of the Board of Directors or to the Executive Director, as applicable.

I further certify that the information set forth in the Disclosure Statement and attachments, if any, is true and correct to the best of my knowledge, information and belief.

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

Printed name: \_\_\_\_\_

# United Way of Northeast Mississippi Code of Ethics

## *Introduction*

United Way of Northeast Mississippi is committed to the highest ethical standards. Indeed, based on the unique trust placed in United Way to serve the public good, we have a special obligation to act ethically. The success of our United Way and our reputation depend upon the ethical conduct of everyone affiliated with the United Way of Northeast Mississippi. Volunteers, staff, and representatives set an example for each other, and for member United Way agencies, by their pursuit of excellence in high standards of performance, professionalism, and ethical conduct. This document is meant to be a guideline and will assist United Way of Northeast Mississippi volunteers, staff, and representatives in making good decisions that are ethical and in accordance with applicable legal requirements. All are encouraged to discuss any questions or concerns they have with the Executive Director or President of the Board of Directors.

## *Personal and Professional Integrity*

A personal commitment to integrity in all circumstances benefits each individual as well as the organization. We therefore:

- Strive to meet the highest standards of performance, quality, service and achievement in working towards the United Way of Northeast Mississippi mission.
- Communicate honestly and openly and avoid misrepresentation.
- Promote a working environment where honesty, open communication and diverse opinions are valued.
- Exhibit respect and fairness toward all those with whom we come into contact.

## *Accountability*

United Way of Northeast Mississippi is responsible to its stakeholders, which include member agencies, donors and others who have placed faith in United Way. To uphold this trust we:

- Promote good stewardship of United Way resources, including donations, grants and other contributions that are used to pay operating expenses, salaries, and employee benefits.
- Refrain from using organizational resources for non-United Way purposes.
- Observe and comply with all laws and regulations affecting United Way of Northeast Mississippi.

## *Solicitations and Voluntary Giving*

The most responsive contributors are those who have the opportunity to become informed and involved. We therefore:

- Promote voluntary giving in dealing with donors and vendors.
- Refrain from use of coercion in fundraising activities, including predicated professional advancement on response to solicitations.

## *Diversity and Equal Opportunity*

United Way of Northeast Mississippi is an equal opportunity employer and is committed to the principle of diversity. We therefore:

- Value, champion, and embrace diversity in all aspects of United Way activities and respect others without regard to race, color, religion, creed, age, sex, national origin or ancestry, marital status, veteran status, or status as a qualified disabled or handicapped individual.
- Support equal employment opportunity programs.

## *Conflicts of Interest*

To avoid any conflict of interest or the appearance of a conflict of interest which could tarnish the reputation of United Way as well as undermine the public's trust, United Way staff and representatives:

- Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of United Way of Northeast Mississippi, including involvement with a current or potential United Way vendor, grantee, donor, or competing organization unless disclosed to and not deemed to be inappropriate by the United Way Board of Directors.
- Ensure that outside employment and other activities do not adversely affect the performance of their United Way duties or the achievement of the United Way mission.
- Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of United Way and not for personal gain or interests.

- Decline any gift, gratuity or favor in the performance of United Way duties except for promotional items of nominal value (\$25 or less), and any food, transportation, lodging or entertainment unless directly related to United Way business.
- Refrain from influencing the selection of staff, consultants or vendors who are relatives or personal friends or affiliated with, employ, or employed by a person with whom they have a relationship that adversely affects the appearance of impartiality.

## United Way Volunteers

- Should not knowingly take any action, or make any statement, intended to influence the conduct of United Way in such a way to confer any financial benefit on themselves, their immediate family members or any organization in which they or their immediate family members have a significant interest as stakeholders, directors or officers.
- Disclose all known conflicts or potential conflicts of interest in any matter before the Board of Directors, if they are Board members, or any committee upon which they serve and withdraw from any discussion, review and voting in connection with such matter.

## Confidentiality and Privacy

Confidentiality is a hallmark of professionalism. We therefore:

- Ensure that all information, which is confidential, privileged or nonpublic, is not disclosed inappropriately.
- Respect the privacy rights of all individuals in the performance of their United Way duties.

## Political Contributions

United Way of Northeast Mississippi encourages individual participation in civic affairs. However, as a charitable organization, United Way of Northeast Mississippi may not make contributions to any candidate for public office. We therefore:

- Refrain from making any contributions to any candidate for public office or political committee on behalf of United Way.
- Refrain from making any contributions to any candidate for public office or political committee in a manner that may create the appearance that the contribution is on behalf of United Way.
- Refrain from using any organizational financial resources, facilities or personnel to endorse or oppose a candidate for public office.
- Clearly communicate that we are not acting on behalf of the organization, if identified as an official of United Way of Northeast Mississippi, while engaging in political activities in an individual capacity.
- Refrain from engaging in political activities in a manner that may create the appearance that such activity is by or on behalf of United Way of Northeast Mississippi.

## Guidance and Disclosure

Volunteers, staff, and representatives are encouraged to seek guidance from the Executive Director and Board of Directors concerning the interpretation or application of these guidelines. Any known or possible breaches should be disclosed. Reports of possible breaches will be handled in the following manner:

- All reports of possible breaches will be treated in confidence as much as the organization's duty to investigate and the law allow. If confidentiality cannot be maintained, the individual disclosing the possible breach will be notified.
- All reported breaches will be investigated and, if needed, appropriate action taken based upon the policies of the organization.
- Retaliation against a person who suspects and reports a breach in good faith will be treated as an independent breach of the guidelines.
- United Way of Northeast Mississippi affirms appropriate resolution of all reported breaches.

I, \_\_\_\_\_, a volunteer/staff member for the United Way of Northeast Mississippi have

read/reviewed the attached Code of Ethics on \_\_\_\_\_, \_\_\_\_\_

Date

Signature

## UNITED WAY OF NORTHEAST MISSISSIPPI DIVERSITY POLICY

### *MISSION STATEMENT*

To create an organization that recognizes and appreciates differences in people and reflects the citizens of the community where people of all backgrounds can trust through experience that their talents, skills and unique contributions will be fully utilized, recognized and rewarded.

### *STRATEGIES*

In order to achieve the value-added benefits of diversity, we are committed to promoting and affirming policies, procedures and practices (both formal and informal) that foster a productive work climate that will help gain the sustainable competitive advantage necessary to achieve our strategic business goals.

### *PRINCIPLES*

We believe that:

- Diversity encompasses differences in age, race, ethnicity, gender, national origin, disability or handicap, religion, socioeconomic background, and/or unique individual style.
- Diversity in decision-making and problem solving produces potentially better decisions.
- Healthy organizations provide opportunities and/or resources to increase skills in working together as a group of unique individuals.
- Board members and staff members should exhibit behaviors that reflect value in differences of others.
- Champions of diversity seek to solicit and evaluate all points of view of others.



## 2019 Membership Certification DocuSign Form Instructions

The 2019 Membership Certification form will be completed through DocuSign again this year. Please read these instructions before beginning. Once you have read the instructions and decided who will be filling out and signing the form, please go to United Way Online to request your unique link and let us know who will be filling out and signing the form.

### **Step 1. Decide who will complete and who will sign the form and use one of the links on the Annual Membership Requirements page on United Way Online to request your form** ([online.unitedway.org/2019membership](https://online.unitedway.org/2019membership))

- Options:
  - The first signer will fill out **and** sign the form. It will then be sent to the second signer.
  - A designee will fill out the form, but **not** sign. It will then be sent to the first and then second signers.
- If you need to make any changes after you submit your request, please email [membership@unitedway.org](mailto:membership@unitedway.org).

### **Step 2. Receive your link from DocuSign**

- If you are filling in the form, you will receive your link within two business days of requesting your link. Most receive the link within one business day.
- If you aren't the first person working on the form, you will receive your link within an hour of the previous person clicking "Finish."
- If you don't see an email from DocuSign/Kathryn Egan/Jenny Palazio in your inbox or spam/junk/clutter then, please email [membership@unitedway.org](mailto:membership@unitedway.org).

### **Step 3. Fill out the form in DocuSign**

- The fields outlined in red are required.
- Some questions are/are not applicable based on your response to a previous question. The response box or an N/A will appear once you respond to the previous question.
- You can save the form for later by selecting "OTHER ACTIONS" and then "FINISH LATER."

### **Step 4. Sign the form (if applicable)**

### **Step 5. Click "Finish"**

- **This will lock your responses and they cannot be unlocked.**
- Please do not forward your link.
- DocuSign will handle next steps automatically, so your part is finished.
- DocuSign will send everyone an email when the form is complete, and you can access the form to see its status at any time using any of the links you received. Please save this email as it is the documentation that your form is complete and is your access to save the completed form for your records.

If you run into problems at any point, please email [membership@unitedway.org](mailto:membership@unitedway.org)

Must be submitted via DocuSign. Do not submit this paper form. Tip: Enter responses into DocuSign Form, then save as a PDF to share with your board.



## 2019 Membership Certification

- Both the Board Chair and Chief Executive Officer must sign and submit this form. If your United Way does not have a CEO, a second officer must also 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.
- Guidance on completion of this certification is available on United Way Online.

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.

Does your United Way have paid employees?

*Note: Some questions in this certification apply only to United Ways with paid employees. Your response helps identify applicable questions.*

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

|   |            |
|---|------------|
| <b>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?</b>  | Yes        |
| 1. Did your United Way file the IRS Form 990, or 990-EZ or 990-N, in a timely manner (within ten and a half months of last fiscal year end)?  | Yes        |
| 2. Date the <b>LAST</b> IRS Form 990 submitted to IRS:  | 12/31/2018 |
| 3. What version of the IRS Form 990 was most recently filed?  | Form 990   |
| 4. Have you followed the <i>UWW Implementation Standards for Membership Requirement A</i> in completing the IRS Form 990?   | Yes        |
| 5. Was a copy of the IRS Form 990 provided to the organization’s governing body before it was filed?  | Yes        |
| 6. 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?   | Yes        |
| 7. For the prior fiscal year, did the organization become aware of a material diversion of the organization’s assets? <i>Please provide an explanation for a “YES” response to this question. Per the IRS, a material diversion (e.g., unauthorized use of organizational assets) is more than 5% of gross annual receipts or more than \$250,000, whichever is less.</i> | No         |
| 8. 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?   | Yes        |
| 9. Does your United Way make the IRS Form 990 (990 E-Z or 990-N) available to the public?   | Yes        |

### Requirement B: Legal Requirements

|  |     |
|--|-----|
| <b>Does your United Way comply with all applicable legal, local, state, and federal operating and reporting requirements (e.g., nondiscrimination)?</b>  | Yes |
| 1. 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? <i>Please provide an explanation for a “Yes” response to this question.</i>   | No  |
| 2. Since January 1, 2018, has your organization amended its articles of incorporation and filed them with the Secretary of State’s office in your state? <i>Please provide an explanation for a “Yes” response to this question.</i> | No  |
| 3. Does your United Way conduct anti-terrorism compliance measures?  | Yes |
| 4. Does your United Way comply with provisions of Sarbanes-Oxley applicable to nonprofit corporations (whistleblower protection and implementation of document retention and destruction policies)?                                  | Yes |
| 5. Does your organization promote itself as an equal opportunity employer?   | Yes |
| 6. 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.  | Yes |
| 7. Is your United Way compliant with all provisions of the Fair Labor Standards Act?   | Yes |

|  |     |
|--|-----|
| 8. Has your United Way adopted a policy that confirms the organization's commitment to providing an environment free from sexual harassment, including a commitment to investigate credible allegations? <i>Note: This policy must apply to United Way board members, volunteers and employees (if any).</i>   | Yes |
| <i>All organizations, including nonprofits, must maintain data using secure systems, policies and procedures. The following optional questions reflect Federal laws as well as practices to safeguard sensitive information. Please consult the United Way Guide to Data Security found on United Way Online for more guidance.</i>  |     |
| 9. Has your United Way established a donor privacy policy? These policies typically include what information is collected and for what purposes, how the information protected, how and/or when it is disclosed to third party, how changes to the privacy policy will be communicated.  | Yes |
| 10. Has your United Way established a data security risk assessment program? These programs evaluate reasonable foreseeable threats that could result in unauthorized disclosure, misuse, alteration or destruction of donor information; the likelihood and potential damage of threats; and the sufficiency of policies, procedures, customer information systems, and other controls. | Yes |

### Requirement C: Governance

|   |     |
|---|-----|
| <b>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?</b>                           | Yes |
| 1. Does the board approve the annual budget?  | Yes |
| 2. Does the board include at least two members with financial experience?   | Yes |
| 3. Does the board, or board-delegated committee, review financial statements on at least a quarterly basis?   | Yes |
| 4. Does your United Way regularly provide training (e.g., onboarding, access to conferences, webinars, outside speakers) to governing board members?  | Yes |
| 5. Does your United Way produce an annual report?   | Yes |
| 6. Does your United Way's governing board review its bylaws and other governance documents at least once every three years?   | Yes |
| 7. Are meeting minutes maintained for all governing board meetings?   | Yes |
| 8. Does your United Way have a board-approved business expense reimbursement policy?  | Yes |
| 9. Does your board meet at least quarterly?   | Yes |
| 10. Is the external auditor engaged by and working for the board or board-appointed committee?  | Yes |
| 11. Does your board review the external annual audit (or financial review if annual revenue is less than \$500,000), and is the audit (or review) presented to the board by the auditor or audit committee chair? | Yes |
| 12. 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)?                       | Yes |
| 13. Did the board specifically set and approve the CEO's compensation?  | Yes |
| 14. Does your board establish performance expectations for the CEO annually and have a written performance review process in place to guide and assess the performance?   | Yes |
| 15. Does the board proactively support, engage and drive fundraising efforts year-round to ensure adequate resources for your United Way?   | Yes |
| 16. Does the board regularly (at minimum once every three years) self-assess to ensure the organization, CEO (if any), and the board are working on the most relevant, mission-critical issues?                   | Yes |
| 17. Does your board have a process to identify and recruit well-qualified board members to ensure inclusive and sustainable United Way leadership?  | Yes |

|   |     |
|---|-----|
| 18. Does your organization have a written board member agreement that outlines expectations of service? <i>These agreements include sections on board member duties (duty of care, duty of loyalty, duty of obedience), the organization's values, expectations for fundraising and personal giving, participation on committees, meeting attendance, and confidentiality requirements. Consider including a commitment to support a trusting environment free of harassment, intimidation, and unlawful discrimination. Best practice includes confirmation of what the organization provides to the board (protection from liability through D&amp;O insurance coverage, accurate and timely reports and meeting materials, recognition for service).</i> | Yes |
|---|-----|

#### Requirement D: Diversity & Inclusion

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|--|-----|
| <b>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?</b>   | Yes |
| 1. Does your board review the organization's diversity statement at least once every two years?  | Yes |
| 2. Does your board review, at least once every two years, a report of the board, volunteers and staff composition to ensure diversity is achieved?   | Yes |
| <i>Diversity and inclusion are at the heart of what it means to LIVE UNITED. To effectively and authentically address our communities' most pressing needs requires an outward and intentional commitment to inclusion across all dimensions (race, age, gender, sexual orientation, gender identity, national origin, religion, physical or mental ability, etc.). The following two questions, while not required, highlight best practices and are opportunities to consider the value of adopting new practices or policies.</i> |     |
| 3. Is your United Way's commitment to diversity and inclusion displayed prominently on your website (either on the home page or on a link directly from the home page)?  | Yes |
| 4. Has your board and senior management created and executed a strategic plan that reflects a commitment to diversity and inclusion?   | Yes |

#### Requirement E: Trademark

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|--|-----|
| <b>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?</b>                               | Yes |
| 1. 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)? | Yes |
| 2. Does your United Way follow United Way brand identity guidelines in all respects?   | Yes |
| 3. Does your United Way only solicit businesses located in your zip codes on file at United Way Worldwide (GiftLink)?  | Yes |
| 4. Does your United Way limit its workplace solicitations to individuals who work at facilities in your zip codes on file at UWW?  | Yes |
| 5. 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)?                | Yes |
| 6. Has your United Way's CEO (if any) and at least one board member read the 2019 United Way Trademark License Agreement?  | Yes |

#### Requirement F: Membership Investment

|   |     |
|---|-----|
| <b>Does your United Way provide financial support to United Way Worldwide in accordance with the membership investment formula?</b> | Yes |
| 1. Will 2019 membership investment be paid in quarterly installments and in full no later than December 31, 2019?                   | Yes |

#### Requirement G: Code of Ethics

|  |     |
|--|-----|
| <b>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?</b> | Yes |
| 1. Do all staff and board members annually verify in writing they have reviewed the code of ethics?  | Yes |
| 2. Does your United Way have a written conflict of interest policy?  | Yes |

|  |     |
|--|-----|
| 3. 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?  | Yes |
| 4. Does the code of ethics or conflict of interest policy include a process for reporting and resolving conflicts of interest should they occur?   | Yes |
| 5. Are the board members and staff required to disclose in writing, on an annual basis, any potential conflicts of interest?   | Yes |
| 6. Does your board review the code of ethics at least once every three years?  | Yes |
| <i>Part of being an employer and mission of choice includes providing employees and volunteers with safe and welcoming environments. The following optional question is intended to confirm your United Way's commitment to this goal.</i> |     |
| 7. Does your United Way have a policy to foster a trusting environment free of harassment, intimidation, and unlawful discrimination?  | Yes |

**Requirement H: Audit**

|  |  |
|--|--|
| <b>Does your United Way have an annual audit conducted by an independent certified public accountant whose examination complies with generally accepted auditing standards and generally accepted accounting principles? Exception: organizations with annual revenue totaling less than \$500,000 may have their financial statements annually reviewed rather than audited by an independent public accountant provided they also conduct an independent internal controls assessment at least once every three years.</b> | Yes  |
| <i>Note: answer "Yes" if your United Way's annual revenue was less than \$500,000 and you produced financial statements reviewed by an independent public accountant.</i>  |  |
| Please select your United Way's annual revenue range   | More than \$4 million                                      |
| <i>Note: some of the questions below depend on your United Way's annual revenue and will appear as N/A if not applicable. For United Ways with annual revenue of less than \$500,000, please indicate if your financial statements were audited or reviewed.</i>   | More than \$500,000 and less than \$4 million ✓            |
|  | Less than \$500,000, and financial statements were audited |
|  | Less than \$500,000 and financial statements were reviewed |
| 1. Were most recent financial statements audited by an independent CPA?  | Yes  |
| 2. Was the auditor's opinion unqualified/unmodified (i.e., a "clean" audit)?   | Yes  |
| 3. Were most recent financial statements reviewed by an independent CPA (acceptable only for organizations with annual revenue of less than \$500,000)?  | No   |
| 4. Fiscal year of most recent audit or review:   | 10/01/2017-09/30/2018                                      |
| <i>Only respond to questions 5 and 6 if your United Way's annual revenue is less than \$500,000 and the organization produced reviewed financial statements (rather than audited financial statements).</i>  |  |
| 5. Have you conducted an independent internal controls assessment within last three years?   |  |
| 6. Year of last independent internal controls assessment:  |  |
| 7. Has your United Way followed the <i>UWW Implementation Standards for Membership Requirement H (updated in 2018 and available on United Way Online)</i> in preparing the audited financial statements?   | Yes  |
| 8. Does the board, executive committee or audit committee review the auditor's management letter and take appropriate actions to minimize any risks identified?  | Yes  |
| 9. Has the board established or considered establishing an operating reserve policy?   | Yes  |
| 10. Has the board, or board-delegated committee, approved the current provision for uncollectible pledges (estimated shrinkage)?   | Yes  |

**Requirement I: Self-Assessment**

A new self-assessment is in development. Look for more in 2019 and note that this requirement will resume in 2020.

**Requirement J: Database II**

|   |     |
|---|-----|
| <b>Did/will your United Way submit Database 2 to UWW by May 15, 2019, or by June 30, 2019 (if on a July-June fiscal cycle)?</b> | Yes |
|---|-----|

**Requirement K: Income and Expense Survey – Suspended for 2019****Requirement L: Campaign Reporting**

|  |     |
|--|-----|
| <b>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?</b>                      | Yes |
| 1. Are amounts reported on Database 2 provided in accordance with the NPC Total Resources Generated Policy?  | Yes |
| 2. 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? | Yes |

**Requirement M: Cost Deduction Standards**

|   |     |
|---|-----|
| <b>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?</b> | Yes |
| 1. Does your United Way allow donor-designated contributions? If answer is no, you may skip next three questions.   | Yes |
| 2. 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?  | Yes |
| 3. Has the board, or board-delegated committee, approved the currently used cost deduction rates for fundraising and management/general expenses?   | Yes |
| 4. Does your United Way pay designated gifts quarterly that include reports required under this standard?   | No  |

**Review by United Way Governing Board**

|   |            |
|---|------------|
| Did/will your United Way's governing board review this certification? | Yes        |
| Please provide the date of the board's review of this certification:  | 06/05/2019 |

As your organization's annual revenue is more than \$4 million, please submit the most recent audited financial statements, IRS Form 990, code of ethics and sexual harassment policy to [membership@unitedway.org](mailto:membership@unitedway.org), or you may attach them now. Do you have any documents to attach? Yes/No (Attachment)

Optional – **please provide your organization's board roster**, ideally including each board member's name, professional title, employer, and email address. United Way Worldwide may share selected communications with these board members (e.g., Board Newsletter). United Way Worldwide will not share or disclose this information to outside parties. Do you have a board roster to attach? *(Excel preferred, but any format will be accepted)* Yes/No (Attachment)

Please provide an explanation for any "no" responses to any questions on pages 1-5.

Requirement M #4: We pay all designations in one payment in April.

Please provide contact information so that United Way Worldwide may communicate directly with your United Way's leadership. United Way Worldwide will not share or disclose this information to outside parties.

**I affirm that the information provided in this certification is accurate. I acknowledge my United Way's obligation to comply with the membership eligibility criteria contained in the United Way Worldwide bylaws, and to adhere to the rules and guidelines for use of United Way Worldwide collective and service membership marks as contained in the Member Trademark License Agreement. Failure to comply with United Way Worldwide membership eligibility criteria, including payment of membership investment, or to adhere to trademark policies, may result in termination of United Way Worldwide membership status.**

First Signature

Second Signature

Name

Name

Date Signed

Date Signed

United Way Title

United Way Title

Professional Title (if different from United Way Title)

Professional Title

Professional Organization (if different from United Way)

Professional Organization

E-mail

E-mail

Phone

Phone

Mailing Address

Mailing Address



### 2019 Campaign Goal Proposal

| Division                  | Goal 2018              | 2018 Actual           | Over/(Under)       | Proposed 2019          |
|---------------------------|------------------------|-----------------------|--------------------|------------------------|
| Business Division         | \$ 650,000.00          | \$561,170.00          | (\$88,830.00)      | \$ 562,000.00          |
| Industry Division         | \$ 800,000.00          | \$693,733.00          | (\$106,267.00)     | \$ 695,000.00          |
| Healthcare Division       | \$ 582,000.00          | \$551,925.00          | (\$30,075.00)      | \$ 551,000.00          |
| Individual Gifts Division | \$ 58,000.00           | \$289,757.00          | \$231,757.00       | \$ 300,000.00          |
| Non-profit Division       | \$ 80,000.00           | \$134,943.00          | \$54,943.00        | \$ 75,000.00           |
| Professionals Division    | \$ 45,000.00           | \$45,558.00           | \$558.00           | \$ 46,000.00           |
| Public Service Division   | \$ 95,000.00           | \$93,230.00           | (\$1,770.00)       | \$ 95,000.00           |
| Education Division        | \$ 230,000.00          | \$266,638.00          | \$36,638.00        | \$ 267,000.00          |
| Non-Solicited Division    | \$ 10,000.00           | \$9,357.00            | (\$643.00)         | \$ 9,000.00            |
| <b>Total</b>              | <b>\$ 2,550,000.00</b> | <b>\$2,646,311.00</b> | <b>\$96,311.00</b> | <b>\$ 2,600,000.00</b> |

#### Largest Increases/Decreases

|                            |                 |
|----------------------------|-----------------|
| Banks                      | \$ (7,342.00)   |
| Media                      | \$ (7,853.00)   |
| Transportation             | \$ (4,169.00)   |
| Retail                     | \$ (14,481.00)  |
| Education                  | \$ 36,020.00    |
| Doctors/Clinics            | \$ 2,570.00     |
| Hospitals                  | \$ (4,871.00)   |
| Individuals/\$50K Giveaway | \$ 234,415.00   |
| Retirees                   | \$ (5,734.00)   |
| Self Employed              | \$ 2,915.00     |
| Auto Industry              | \$ (188,161.00) |
| Distributors               | \$ 20,153.00    |
| Home Furnishings           | \$ (13,267.00)  |
| Funded Agencies            | \$ 12,030.00    |
| Other Nonprofits           | \$ 45,246.00    |

#### Things to consider:

FRC pledged \$11,506 last year  
Grants for \$50,000 that we won't receive this year.

# Strategic Imperatives





United Way  
of Northeast Mississippi

## ~~**Funds Distribution Policies and Procedures**~~ **Policies & Procedures for Community Impact Grants**

### Qualifications and Financial Requirements

1. ~~Organizations must pass the United Way of Northeast Mississippi certification process.~~
2. ~~The need for the Services being provided by the organization which do not unnecessarily duplicate services by any existing organization of the UWNEMS~~ **must meet an identified need within one of our community impact areas: Academic Success, Health and Family Stability.**
3. Organizations should be declared tax exempt under the provisions of **501(c) 3** of the Internal Revenue Code as a non-profit corporation, **or has a 501 (c) 3 agreeing to administer funds, or is under the umbrella of a church organization.**
4. ~~There should be a~~ **An organization must have a definite budget**, itemizing income and expense. All funds granted by UWNEMS must be spent on local program costs, operating expenditures, or local administrative costs, not for capital expenditures **for the program for which the grant is awarded.** The organization shall operate within its original approved budget and notify UWNEMS of any budget changes during the current year that would substantially affect program services.
5. Organizations are to submit a complete copy of the most recent MS Secretary of State yearly filing. ~~Organizations with total revenue of \$250,000 to \$500,000 will be required to submit financials reviewed by an individual CPA or auditor. Organizations with revenue in excess of \$500,000 must submit audited financials.~~ **All organizations will be required to submit financial statements.** Organizations with total revenue of \$250,000 to \$500,000 will be required to submit reviewed financial statements. All organizations with revenue in excess of \$500,000 will be required to submit audited statements. Regardless of budget, any organization required by federal or state law to have an audit will be asked to submit their audited statements to United Way. Only audits or reviews performed by an independent licensed C.P.A. or C.P.A. firm will be accepted. No internal audits will be accepted.
6. There should be a functioning local and **independent** Board of Directors, which meets at least quarterly, **keeps meeting minutes**, has a member rotation schedule, and represents the diverse elements of the community. ~~A board shall be a Local Board if seventy-five percent (75%) of the individuals serving on the Board are residents of, or primary business or employment is in the United Way's of NE MS Service Area. Board members should not receive financial remuneration~~ **compensation (cash or in kind)** from the program.
7. The grant request must have the approval by the applicant's Board of Directors before submission.
8. The organization must comply with the United Way **Non-Discrimination** certification ~~policy and~~ **US Patriot Act.**

9. ~~Funds Distribution panel members may conduct site visits and will interview organizations to discuss their services, financial management, and organization effectiveness. Organizations **must** have the organization director and one volunteer board member attend the Funds Distribution interview. Organizations are encouraged to have the board president and treasurer present at the interview. During the application review process, Community Impact **panel members will request one interview** to discuss proposed program outcomes, financial management, and organizational effectiveness. Applicants are strongly encouraged to have the organization's director, Board president, and a staff member familiar with the program present at the interview.~~

~~If the organization's governing body is outside the UWNEMS service area; There must be no less than 5 people who are residents of or are employed in UWNEMS service area serving on the organization board or no less than 5 people must serve on a local advisory board and have authority to decide how local funds are spent.~~

10. ~~It is essential that the organization funding request have approval by the organization's Board of Directors before submission to the Funds Distribution Committee. If the organization's governing body is outside the UWNEMS service area, and has a local Advisory Board the request must also be approved by the Advisory Board.~~

11. ~~Upon reaching the \$20,000 level of funding, each organization will be required to submit a quarterly financial report to UWNEMS which will be due on the following dates,~~
- |  |   |
|--|---|
| <del>1st Quarter – April 30<sup>th</sup></del> | <del>3rd Quarter – October 31<sup>st</sup></del>            |
| <del>2nd Quarter – July 31<sup>st</sup></del>  | <del>4<sup>th</sup> quarter – January 31<sup>st</sup></del> |

12. ~~Organizations should be prepared at any time to make a full disclosure of all funds, records, etc. to the UWNEMS Board of Directors. Records should be maintained to insure proper accounting of all receipts and expenditures. UWNEMS should be informed of any program, staff or financial changes.~~

13.

### **Once funded, grantees should:**

1. be prepared to **submit quarterly outcomes and annual financial reports** in Year 1 and Year 2. Report submission after deadlines will require the organization providing a written explanation and requesting approval from the UWNEMS Board of Directors;
2. be prepared to **facilitate a site visit** by Community Impact volunteers in Year 1 and Year 2;
3. be prepared at any time to make a **full disclosure** of all funds, records, etc. to the UWNEMS Board of Directors. Records should be maintained to insure proper accounting of all receipts and expenditures;
4. Grantees should be prepared to show proof of **board liability coverage** (including theft) for organizations with total revenues of \$250,000 or more OR be prepared to show proof of a fidelity bond for organizations with total revenues of less than \$250,000. UWNEMS reserves the right to adjust or waive all or part of this requirement in extenuating circumstances.
5. inform the UWNEMS of any significant program, staff or financial **changes**; and
6. agree to fulfill conditions on **partner agreement**

### **No Contract Rights**

The allocation of UWNEMS funds to participating organizations is a gift of our donors' funds and is not intended to create any contract rights in favor of a participating organization. UWNEMS reserves the right to change, withdraw, or otherwise amend the policies and guidelines.

### **Supplemental Funding**

While UWNEMS seeks to provide financial resources to the fullest extent possible, we recognize that we cannot meet all the financial needs of the participating organizations. ~~Therefore, Organizations may conduct supplemental fundraising, other than solicitations through payroll deductions. If the UWNEMS Board determines that the organization has violated this policy, the Board may take action appropriate for the violation.~~

### **Campaign and Communications**

The organization must support and cooperate with UWNEMS in fundraising efforts, identify itself as a recipient of UWNEMS funds and use the United Way logo on letterhead and in publications whenever possible.

### **Organization Operating Reserves**

The UWNEMS recognizes that participating organizations must have a sound economic base in order to operate with a balanced budget and continue organization services. Therefore, each participating organization's Board of Directors may set a reasonable amount to be accumulated as an operating reserve.

~~Reserves are unrestricted, unexpended funds. Restricted funds are those whose use is limited by donor-imposed time or purpose restrictions. Board-designated reserves are not considered restricted. All organizations should maintain operating and emergency reserves of up to 6 months annual operating expenditures. Reserves in excess of 6 months should be for new board-approved programs and opportunities.~~

### **Emergency Situations**

The organization should make every effort to anticipate all normal operating income and expenditures on the program budget request form. In the event of contingent situations, requests for emergency appropriations shall be submitted to the Board of Directors of UWNEMS.

### **Designations**

While the UWNEMS does not encourage designations, it recognizes that some donors may choose to designate their contributions to a specific organization. These designations will be added to undesignated funds to arrive at the total amount an organization will receive.

~~Individual donors giving \$10,000 or more annually may designate any amount over \$2,500 or corporations giving \$25,000 or more annually may designate any amount over \$10,000 to specific UWNEMS organizations with no administrative fees. The designations to the organizations will be paid as the pledge is paid to prevent any loss to UWNEMS.~~

~~Designations other than those listed above will be credited to the organization of the donor's choice and appropriate fees will be withheld.~~

The fiscal year in which all organizations will receive UWNEMS funding will be from January 1st through December 31st.

### **Review and Appeals**

The Community Impact Committee is responsible for reviewing the programs and budgets of participating organizations. A recommendation is made to the UWNEMS Board of Directors regarding the amount of funding for each participating organization **program**. The ultimate decision ~~on funding level rests with the~~ **regarding grants awarded are made** by the UWNEMS Board of Directors.

A participating organization may request in a timely manner an appeals conference regarding its ~~allocation~~ **grant award**, to present information and documentation which justifies the appeal.

**Termination of Participation**

An organization may withdraw from participation in the UWNEMS by providing written notice to the UWNEMS Board of Directors.

To terminate an organization, the UWNEMS Board of Directors must communicate in writing the reasons for termination to the governing board of the affected participating organization. The organization may appeal with a written notice from the organization's Board of Directors within thirty days of the termination notice.



**P.O Box 16414 Jackson, MS 39236**

To: Mary Ann Plasencia

From: Chris Burkett  
Executive Director  
Big Brothers Big Sisters of Mississippi

This letter is to inform you that Mississippi Department of Human Services decided to reinstate some of the funding that was taking away from Big Brothers Big Sisters of Mississippi back in October. We are interested in starting back where we left off in the Tupelo/Fulton area.

Is there any way possible United Way Northeast MS would be able to reinstate us back into the funding rotation?

We are not asking for the back funding but any funding going forward within this year application. This will allow us to continue to have an impact in the area.

Respectfully,

Chris Burkett

***Our mission is to provide children facing adversity with strong and enduring, professionally supported one-to-one relationships that change their lives for the better, forever!***