

Board Member Handbook

1. Table of Contents
2. 2017 Calendar of Events
3. Board Profiles
5. Board Expectations
6. Bylaws
9. Officers- Purpose, Duties & Responsibilities
10. Committees- Purpose, Duties & Responsibilities
13. Personnel Policies
14. Code of Ethics
15. Diversity Statements
16. Whistleblower Policy
17. Financial Policies & Guidelines
21. Special Needs Fund
22. Document Retention and Destruction Policy
23. Gift Acceptance Policy



2017 SCHEDULE OF EVENTS

JANUARY

19 - Annual Business Meeting – 12PM

FEBRUARY

9 - Executive Committee – 12PM
16 - **BOARD MEETING – 12PM**

MARCH

9 - Finance Committee - 12PM
16 - Communications Committee – **11:30AM**
16 - **BOARD MEETING – 12PM**

APRIL

6, 20, 27 - Allocations Meetings 5:30–9PM

MAY

18 - Finance Committee - 11:30AM
18 - **BOARD MEETING – 12PM**

JUNE

1 - Executive Committee – 12PM
29 - Communications Committee - 12PM

JULY

13 - Campaign Committee - 12PM
27 - Executive Committee – 12PM

AUGUST

4&5- Stuff the Bus- Fri 4-7, Sat 10-7
10 - Campaign Committee - 12PM
14 - Back-to-School Give-Away
24 - Breakfast of Champions – 7AM
31 – Finance Committee - 12PM

SEPTEMBER

7 - Campaign Committee - 12PM
21 - Communications Committee – 11:30AM
21 - **BOARD MEETING – 12PM**
28 - Kick-off/Wing Championship – 6PM

OCTOBER

5 - Campaign Committee - 12PM
12 - Board Development – 12PM
26 - Campaign Committee – 12PM

NOVEMBER

2 - Board Development Committee – 12:00
16 - Finance Committee – 11:30AM
16 - **BOARD MEETING – 12PM**

DECEMBER

7 - Board Development Committee – 12PM
14 - Executive Committee – 12PM
28 - Communications Committee - 12PM

2017 BOARD PROFILE

Amy Bailey

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Fort Jennings, OH 45844
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Occupation: Office Support for Quality Dept
Employer: Kalida Manufacturing Inc.

Bill Burwell

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Occupation: Electrical Engineer
Employer: PRO-TEC Coating Company

Brad Calvelage

725 N. Water Street
Fort Jennings, OH 45844
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Employer: Columbus Grove School District

Kristina Dulle

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Employer: PRO-TEC Coating Company

Jeremy Haselman

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Occupation: Financial Representative
Employer: Northwest Mutual Financial Network

Jason Hedrick

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Occupation: Assistant Professor 4-H
Employer: OSU Extension

Beth Lammon

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Occupation: Retired

Denny Meuleman

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Employer: Fort Jennings State Bank

Karen Niese

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Employer: SAFY (Specialized Alternatives for Families & Youth)

Darlene Osterhage

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Jason Recker

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Employer: The Union Bank Co

Nancy Schnipke

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Occupation: Payroll & Benefits Manager
Employer: Unverferth Mfg.

Dwain Schroeder

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Employer: Husky Refinery

Sandy Spitnale

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Retired, Continental Schools

Kathy Schroeder

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Kathy Verhoff

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Sue Schroeder

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Employer: ERA Geyer-Noakes Realty

Jan von der Embse

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Occupation: VP of Trust
Employer: Superior CU



2017 United Way Board of Directors

L-R: Jan von der Embse, Denny Recker, Beth Lammon, Brad Calvelage, Kristi Dulle, Darlene Osterhage, Kathy Verhoff, Amy Bailey, Sue Schroeder, Denny Meuleman, Bill Burwell, Kathy Schroeder, Jason Hedrick, Jason Recker, Dwain Schroeder, Jeanne Beutler
Missing from photo: Jeremy Haselman, Karen Niese, Nancy Schnipke, Sandy Spitnale

BOARD EXPECTATIONS

A Board and Executive Director Should Expect Its President Will:

1. Provide leadership to the board in expediting the goals of the organization
2. Guide the board in fulfilling its stated roles
3. Chair board meetings effectively, assuring adequate discussion of all issues, but keeping the meeting moving
4. Utilize the boards time effectively
5. Represent the board in supervising the executive director
6. Supervise the standing committee chairpersons
7. Represent the organization in important matters that affect it
8. Develop selected board members to assure future leadership roles in the organization
9. Enhance the organizations image in the community
10. Be a role model for other volunteers as demonstrated by the way he or she represents the organization.

An Executive Director Should Expect a Board Will:

1. Counsel and advise - giving the benefit of its judgment, expertise ad familiarity with the local setting
2. Consult with the executive on all matters which the board is considering
3. Delegate responsibility for all executive functions
4. Provide support to the executive director and staff in carrying out their professional duties
5. Support the executive director in all decisions and actions consistent with the policies of the board and the standards of the organization
6. Hold the executive director accountable for the supervision of the organization
7. Evaluate the work of the executive director

A Board Should Expect its Executive Director Will:

1. Serve as chief operations executive of the organization
2. Serve as professional advisor to the board
3. Recommend appropriate policies for consideration
4. Implement effectively, all policies adopted by the board
5. Inform the board fully and accurately regarding the program
6. Interpret the needs of the program and present professional recommendations on all problems and issues considered by the board
7. Develop a budget (in conjunction with the finance committee) and keep the board up-to-date on budget problems
8. Recruit the best personnel, develop a competent staff and supervise it
9. Devote time to improving systems
10. Assist the board in developing and conducting community information systems

BYLAWS OF UNITED WAY OF PUTNAM COUNTY

Article I

1. The corporate fiscal year shall be July 1 through June 30.
2. The annual meeting of members of the corporation shall be held in the month of January, at such place and on such day as the Board of Directors may determine. Notice of the annual meeting shall be given through publication in a newspaper of general circulation in the area served by the corporation not less than ten (10) days prior to the date of such meeting.
3. Every contributor to this corporation shall thereby become a member of the corporation and shall be entitled to a vote at all meetings of the membership, if in attendance of such meetings, for a period of one (1) year immediately following his contribution.

Article II

1. The business and property of the corporation shall be vested in a Board of Directors consisting of twenty (20) to thirty (30) members, approximately one-third of whom shall be elected each year for a term of three (3) years at the annual meeting of the members. Absence from three consecutive meetings of the Board of Directors may, at the discretion of the Board, be construed as a resignation by the member so absent.

Vacancies occurring on the Board between annual meetings may be filled by the Board for unexpired terms.

The President shall serve as chairman of the Board of Directors.

2. Meetings of the Board of Directors shall be held at least quarterly, or on call of the President, or if the President is absent or unable or refuses to act, by any officer, or by five (5) Directors providing not less than five days notice and the purpose of such meeting is given to each Director.
3. A quorum for any meeting of the Board of Directors shall consist of not fewer than 40% of the members of the Board, and any action by the majority of those present shall be the action of the Board of Directors.
4. The duties of the Board of Directors shall be:
 - A. To manage the affairs of the corporation.
 - B. To adopt such policies and procedures as may be consistent with the Articles of Incorporation and Bylaws.
 - C. To appoint such committees as it deems expedient for carrying on the objects of this corporation, and to act upon the recommendations of such committees.
 - D. To employ such persons as it may deem necessary for the successful prosecution of the objects of the corporation.
 - E. To give at least once a year a full and complete report of its activities.

- F. To amend the bylaws.
- G. Not later than December, the President shall appoint a nominating committee of not fewer than five members of the corporation to make nominations for the election of directors at the annual meeting of the membership.

Article III

1. The Officers of the corporation shall be president, vice-president, secretary, and treasurer. These officers shall be elected by the Board of Directors from among the members of the corporation, giving due consideration to major contributing groups. If any officer so elected is not a member of the Board of Directors, he shall become an ex-officio member.
2. Each officer will serve for a term of one (1) year and until his successor is elected. Vacancies among the officers occurring during the year shall be filled by the Board of Directors for the unexpired terms.
3. The duties of the officers will be those duties normally ascribed to those officers.

Article IV

1. The President shall appoint the following standing committees and such other committees as may be deemed necessary from time to time. Each of these committees shall consist of such number of members as the Board of Directors and the President deem advisable. All acts of such committees shall be subject to approval of the Board of Directors.
 - A. The Budget and Allocations Committee. This committee shall, on behalf of the givers, recommend agency or service admission to the United Way and allocations from the United Way to proposed beneficiary agencies or services, and the matters incident thereto.
 - B. The Public Information Committee. This committee shall be responsible for dissemination of all information concerning the United Way, and matters incident thereto.
 - C. The Campaign Committee. This committee shall be responsible for the organization, preparation and conduct of the annual campaign, and all matters incident thereto.
 - D. Other Committees. The President shall be empowered to create, with the approval of the Board of Directors, such other standing committees and such special committees as may be deemed necessary for the conduct of the affairs of the corporation.
2. The Chairman of the standing committees who are not already serving on the Board of Directors are expected to attend and advise at all meetings of the Board of Directors.
3. All committees shall meet at such time as may be agreed upon by the majority of the members thereof, or upon call of the chairman of the committee.

Article V

1. All checks, drafts, or other orders for payment of money, notes or other evidence of indebtedness, issued in the name of or payable to the corporation, shall be signed or endorsed by such persons and in such manner as shall be determined by resolutions of the Board of Directors.

2. The Board of Directors shall require the Treasurer, and may at its discretion require any other officer or any employee of the corporation to give a surety bond for the faithful performance of his duties in such form and in such sum and by such surety company as the Board may determine. All such bonds shall be for the benefit of, and payable to, the corporation and the premiums therefore, shall be paid by the corporation.
3. The secretary shall keep regular minutes of its proceedings and submit the same for examination and approval at each meeting of the Board of Directors.

Article VI

1. The articles of incorporation or bylaws may be enlarged, amended, repealed, or altered in whole or in part by two-thirds vote of the members of the Board of Directors present at a meeting of the members of the Board where such action has been announced in the notice of such meeting.
2. The voting power, property rights and interests of each member shall be equal.

OFFICERS

Purpose – Duties & Responsibilities

PRESIDENT OF THE BOARD

Purpose: Governs the board of directors as the principal elected officer of the board

Duties and Responsibilities:

- Serves as the chief volunteer officer of the organization
- Is a partner with the executive director in achieving the organization's mission
- Provides leadership to the board of directors, who set policy and to whom the executive director is accountable
- Chairs meetings of the board after developing the agenda with the executive director
- Encourages board role in strategic planning
- Serves *ex officio* as member of committees and attends their meetings when possible
- Discusses issues confronting the organization with the executive director
- Helps guide and mediate board actions with respect to organizational priorities and governance concerns
- Reviews with the executive director any issues of concern to the board
- Monitors financial planning and financial reports

VICE-PRESIDENT OF THE BOARD

Purpose: Assists the President with governing the board of directors

Duties and Responsibilities:

- Works as a team with the President on governance issues
- Assumes the duties of president in absence of the board president
- Performs other responsibilities as assigned by the board

TREASURER OF THE BOARD

Purpose: Helps ensure the fiscal integrity of the organization by providing oversight of its financial activities and assuring the accuracy of all financial records

Duties and Responsibilities:

- Serves as chair of the Finance Committee
- Gives regular reports to the board as to the financial picture of the organization
- Ensures that the board's financial policies are being followed
- Assists the director in preparing the organization's annual budget
- Reviews the organization's annual audit and answers any questions other board members may have about it

SECRETARY OF THE BOARD

Purpose: Ensures the maintenance, accuracy and safety of all board records

Duties and Responsibilities:

- Prepares board meeting minutes and submits to Executive Director for distribution.
- Obtains information from records and minutes to help board members in the decision-making process.
- Assumes the duties of president in absence of the board president and vice-president.

COMMITTEES

Purpose - Duties & Responsibilities - Chairman's Role

EXECUTIVE COMMITTEE

Purpose: Managing the affairs of the United Way between meetings of the Board of Directors.

Duties and Responsibilities:

- Meets at least quarterly to review the organization's operations, monitor the budget, and maintain standards of performance.
- Authorizes and approves the annual audit.
- Selects, employs, and annually evaluates the Executive Director.

Membership:

- Officers of the Board
- Chairman of the following Committees:
 - Allocations
 - Campaign
 - Finance
 - Marketing/Communications
- The immediate past President of the Board

CHAIRMAN'S ROLE: To report all action to the Board of Directors.

ALLOCATIONS COMMITTEE

Purpose: Provides leadership in carrying out the Board's vision of building a caring community by investing the resources entrusted to the United Way in agencies and programs that demonstrate results in meeting the objectives of the community's health and human service agenda.

Duties and Responsibilities:

- Reviews agencies' funding applications.
- Evaluates applicant agencies' needs vs. United Way resources.
- Recommends agency allocations to the United Way board.

CHAIRMAN'S ROLE:

- Ensures that policies and procedures are implemented consistently and equitably in regard to all agency funding requests.
- Serves as the principal contact on the Board for all agency relations.
- Evaluates the effectiveness of the Committee's processes.
- Reports all action to the Board of Directors.

COMMUNICATIONS/MARKETING COMMITTEE

Purpose: To carry out the Board's vision of building a caring community by developing and implementing a year-round plan to listen to the community; build awareness of the mission, vision and values of the United Way among all stakeholders; report to the community on the results of United Way investments and other activities; support each of the functions of the United Way (allocations, campaign, volunteer development, etc); and establish relationships with all media.

Duties and Responsibilities:

- Develops and implements a year-round communications plan.
- Works with the Campaign Chair to establish the campaign theme and related materials, including recommendation like the use of sponsored and paid advertising.

CHAIRMAN’S ROLE:

- Oversees the operation of the Committee and reports to the Board on behalf of the Committee.

CAMPAIGN COMMITTEE

Purpose: To increase the financial and volunteer resources necessary to help the United Way and its member agencies to build a stronger community.

Duties and Responsibilities:

Account Management:

- Calls on senior management of key supporters to ask for their continued support of the fall campaign.
- Assists United Way staff in providing Employee Campaign Managers with campaign information, campaign supplies, speakers and presentations, etc.

New Accounts Development:

- Builds relationships with inactive accounts (Corporations and Employee Groups).
- Works to increase awareness of United Way among those untapped markets and those with potential for growth.

CHAIRMAN’S ROLE:

- With consultation from the President and other officers, recruits, and orients Division leaders.
- With consultation from Allocations and the Executive Committee, recommends campaign goal.
- Ensures training opportunities for campaign volunteers and employee campaign managers.
- Establishes procedures and timetables required for completion of successful campaign.
- Works with the Chair of Communications to ensure appropriate and adequate materials and media support for all aspects of the campaign.
- Oversees the operation of the Committee and reports to the Board on behalf of the Committee.

FINANCE COMMITTEE

Purpose: To carry out the Board’s vision of building a caring community by ensuring the United Way is fiscally accountable and fulfills all legal and regulatory requirements.

Duties and Responsibilities:

- Develops and implements policies and procedures to ensure that all funds, property and securities of the United Way are managed prudently and responsibly.
- Prepares and presents to the Board an annual operating budget.
- Monitors the fiscal performance of the organization.
- Ensures that an annual audit of the organization is conducted.
- Advises on the use of appropriate technology to improve the operations of the organization.

CHAIRMAN’S ROLE:

Oversees the operations of the Committee and reports to the Board on the Committee’s behalf.

BOARD DEVELOPMENT COMMITTEE

Purpose: To recruits appropriate replacements for Board vacancies.

Duties and Responsibilities:

- With the help of the Board, creates and maintains a board prospect list year round.
- Invites prospects to consider membership to board and/or committees.
- Maintains a good understanding of all leadership roles in United Way, seeking out individuals with skills in which the existing board may be lacking.
- Recruits Campaign Chair by September, a year in advance of campaign.
- Recruits Officers (President, VP/President-elect, Secretary, and Treasurer) prior to the annual meeting of the membership.

CHAIRMAN'S ROLE:

- Presents board nominees at the annual meeting of the membership.
- Presents slate of officers for board approval at the annual meeting.
- Oversees the operations of the Committee and reports to the Board on the Committee's behalf

PERSONNEL POLICIES

The United Way of Putnam County (UWPC) recognizes that mutually satisfactory personnel policies and practices are essential to smooth and effective operations.

GENERAL RULES:

- A. The UWPC requires that an employee will, at all times, perform the duties of his/her duties and conduct themselves in such a manner as to advance the purpose of the UWPC and increase public confidence in the UWPC and in the employee himself/herself.

JOB PERFORMANCE:

- A. **PERFORMANCE EVALUATION:** Evaluation of the Executive Director shall be made by an ad hoc committee appointed by the Board of Directors for such purpose.
- B. **SALARY INCREASES:** Salary increases shall be based upon satisfactory work performance, merit and availability of funds. No increase shall be automatic. The Executive/Personnel Committee shall recommend the amount of salary increase as well as the time it should be instituted.

HOURS OF WORK:

- A. The Executive Director shall work 40 hours a week. UWPC recognizes the following holidays: New Years Day, Martin Luther King Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day and Christmas Day.
- B. The Executive Director's position is exempt from overtime. The position requires attending meetings and giving presentations outside of the office hours as well as on weekends and during the scheduled lunch break. The outside hours and travel time shall be counted as time working.

TIME OFF:

- A. **VACATION LEAVE:** The Executive Director shall be entitled to fifteen (15) days (120 hours) annually that can be taken in one-hour increments.
- B. **FLEX TIME:** Short personal appointments during the normal office hours may be made up by working additional time.
- C. **SICK LEAVE:** Five sick days shall be allowed per calendar year. Sick leave should not be considered as supplementary leave time and should be used with discretion. Sick pay is time off with pay for periods of illness or incapacity resulting from non-occupational injury. Medical, dental or optical examinations or treatment which cannot be scheduled other than during the working day can be credited to sick leave, vacation or absent without pay at the employee's discretion.
- D. **BEREAVEMENT:** Time off with pay, up to a maximum of 3 days per occurrence, may be granted in the event of a close family member. Additional days may be granted by the Board for such things as personal responsibilities or travel required.
- E. **OTHER:** The Board on a case-by-case basis may grant other leave, such as jury duty.

TRAVEL REIMBURSEMENT:

- A. The Executive Director will be reimbursed for business travel at the IRS mileage allowance.
- B. Other necessary expenses related to travel will be reimbursed.

EMPLOYEE BENEFITS POLICY: (as of 1/1/16)

- A. UWPC provides an allowance not to exceed \$3,000 per year in reimbursement for health care expenses.
- B. UWPC provides \$2,000 per year in retirement benefit.
- C. Service club dues and meals are provided for the Executive Director.
- D. Meals associated with work related meetings will be reimbursed.

CODE OF ETHICS

United Way of Putnam County (UWPC) is committed to the highest ethical standards. The success of our United Way depends upon the ethical conduct of everyone affiliated with UWPC. This Code establishes key guidelines to assist UWPC volunteers and staff in making good decisions that are ethical and in accordance with applicable legal requirements.

1. **Personal and Professional Integrity**

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

2. **Accountability**

- Promote good stewardship of UWPC resources that are used to pay operating expenses, salaries and employee benefits.
- Observe and comply with all laws and regulations affecting UWPC

3. **Solicitations and Voluntary Giving**

- Promote voluntary giving in dealing with donors
- Refrain from any use of coercion in fundraising activities

4. **Diversity and Equal Opportunity**

- Value, champion, and embrace diversity in all aspects of UWPC activities. UWPC respects others without regard to race, religion, color, sex, age, handicap, national origin or ancestry.

5. **Conflicts of Interest**

UWPC staff:

- Avoid any activity or outside interest which conflicts or appears to conflict with the best interests of UWPC, including involvement with a current or potential UWPC vendor, grantee, or competing organization unless disclosed to and not deemed to be inappropriate by the UWPC Board of Directors

UWPC volunteers:

- Should not knowingly take any action, or make any statement, intended to influence the conduct of UWPC in such a way to confer any financial benefit to 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 manner before the Board of Directors, if they are Board members, or any committee upon which they serve.

6. **Confidentiality**

- Ensure that all information, which is confidential, privileged or nonpublic, is not disclosed inappropriately.

Volunteers and staff are encouraged to seek guidance from the Board of Directors concerning the interpretation or application of this Code of Ethics. Any known or possible breaches of the Code of Ethics should be disclosed to the Board of Directors for investigation to a prompt and fair resolution.

I understand that this policy is meant to supplement good judgment, and I will respect its spirit as well as its wording.

Signed: _____

Date: _____

DIVERSITY STATEMENT

Diversity

To create and maintain an organizational environment which enables all people to perform by actively valuing different backgrounds and perspectives, fostering teamwork and collaboration among a heterogeneous community, and maximizing contributions to United Way of Putnam County by using the skills, talents and resources of all members of our community.

Our Value Defined

United Way advocates and promotes diversity among its Board, staff, agencies, volunteers, programs, services, donors, suppliers, and partners. Managing diversity offers a different set of challenges and opportunities than affirmative action or race relations. Diversity goes far beyond race and gender. It addresses the reality of life. Diversity recognizes the distinct differences of individuals and organizations and capitalizes on the strength of each.

Our Perspective

We will develop, implement and measure specific strategies and plans that will lead to enhanced understanding, a shift in organizational culture, and ultimately a stronger United Way – able to reach the goals outlined in the Strategic Plan.

WHISTLEBLOWER POLICY

The United Way of Putnam County (UWPC) is committed to lawful and ethical behavior in all of its activities and requires that its Board, employees and volunteers (collectively, “Staff”) conduct themselves in a manner that complies with all applicable laws and policies. Set forth below is UWPC’s policy with respect to reporting good faith concerns about the legality or propriety of UWPC’s actions or plans.

Reporting Concerns: A Staff person who has a good faith concern regarding the legality or propriety of any action contemplated to be taken or taken by UWPC or another Staff person, or a good faith belief that action needs to be taken for UWPC to be in compliance with laws, policies or ethical standards, should promptly advise UWPC’s Executive Director and/or President of the Board of Directors. If the Staff person feels management’s response is inadequate, the Staff person should report his or her concerns to the Vice President of the Board of Director’s. Reports can be made verbally or in writing, in person or anonymously.

Investigation: UWPC will investigate these reports with care. UWPC’s interest in being thorough in its investigation means that it cannot promise complete confidentiality, but it will act as discreetly as reasonably possible. If as a result of the investigation UWPC discovers a problem, it will promptly alert the Chair of the Board of Directors and take corrective action as it deems necessary.

Retaliation: UWPC will not discharge, threaten or discriminate against a Staff person in any manner for his or her reporting in good faith what he or she perceives to be a wrongdoing, violation of law or policy, or other unethical or illegal conduct. UWPC will impose disciplinary measures, up to and including termination, against anyone who threatens or retaliates against a Staff person who makes such a good faith report.

Illustrative Types of Concerns: The following is a non-exhaustive list of the kinds of improprieties that should be reported:

- Supplying false or misleading information on UWPC’s financial or other public documents, including its tax return (IRS Form 990):
- Providing false information to or withholding material information from UWPC’s auditors or Board;
- Embezzlement, self-dealing, and private benefit (i.e., UWPC assets being used for personal gain or benefit);
- Violations of UWPC’s Conflict of Interest Policy;
- Payments for services or goods that are not rendered or delivered;
- Facilitating or concealing any of the above or similar actions.

UWPC reserves the right to amend and/or supplement this policy at any time.

FINANCIAL POLICIES AND GUIDELINES

1. Finance Overview

- a) All fiscal policies and procedures will comply with the Corporation's Articles of Incorporation and By-Laws, as well as State and Federal Guidelines for Not-for-Profit 501(c)3 organizations.
- b) The United Way of Putnam County, Inc. fiscal year shall begin on July 1 and end on June 30.
- c) All authority exercised by the Finance Committee shall be assigned to it by the President and the Board of Directors.
- d) Any checks over \$200 shall require 2 authorized signatures; that of the Executive Director and Treasurer.
- e) The Executive Director shall bid out services on a three-year basis to local institutions. The Executive Director will review offers with the Financial Officer in selecting the best source of investment.
- f) In the event of dissolution of the Corporation all funds described herein shall be disbursed. All credit obligations shall be satisfied first. Remain funds shall be allocated in one final distribution to qualifying applicant agencies.

2. Finance Committee Functions

- a) The Finance Committee shall carry out the Board's vision of building a caring community by ensuring the United Way is fiscally accountable and fulfills all legal and regulatory requirements.
- b) Develop and implement policies and procedures to ensure that all funds, property and securities of the United Way are managed prudently and responsibly.
- c) Provide regular reports of the earnings and disbursement for all United Way funds and submit them to the United Way Board of Directors on a routine basis.
- d) Prepare the annual budget for submission to the Board for approval.
- e) To meet at least quarterly each year to monitor the fiscal performance of the organization.
- f) Ensure that an annual audit of the organization is conducted.
- g) Advise on the use of appropriate technology to improve the operations of the organization.
- h) The Finance Committee Chairman shall oversee the operations of the Committee and report to the Board on the Committee's behalf.

3. **Policies for the Annual Operating Fund** – the operating fund shall include the normal administrative expenses, projected agency payments, and current year contributions.
- a) All disbursements and transfer of funds out of this account shall be signed and approved by a member of the Executive Committee. Normal agency allocation payments should be made by automatic transfer of funds, and do not require special approval.
 - b) The maximum amount of money held in this fund should approximate the budgeted expenses for the current year.
 - c) All contributions to the Annual Operating Fund, which are not in the form of cash, shall be liquidated immediately and converted to cash. This would include stocks, bonds, land, or other real assets.
 - d) Pending current year allocations to the various agencies receiving support from the United Way, these monies shall be invested in instruments selected by the Finance Committee and approved by the Executive Committee. Proper investments for the Operating Fund include:
 - Passbook savings accounts covered by FDIC insurance.
 - Money Market accounts covered by FDIC insurance, or backed by U.S. Government, or U.S. Government Agency obligations.
 - Certificates of Deposit covered by FDIC insurance.

While it is preferable to spread these deposits among the institutions which support the United Way of Putnam County, actual decisions should take into account current interest rates and operating efficiencies by the United Way staff.

4. **Policies for the Reserve Fund** – the reserve fund is designed to ensure the financial stability of the United Way of Putnam County during each operating year. An amount of no less than 2 months or 16.6% of the current year's budget, including agency allocations, shall be targeted for this purpose.
- a) With the exception of transfers to the Operating Fund for payment of agency allocations, all deposits to and withdrawals from the reserve fund shall be authorized by the Executive Committee, with or without a recommendation from the Finance Committee.
 - b) Excess assets in this fund may be transferred annually by the United Way Board to the Special Needs Fund.
 - c) These monies shall be invested in instruments selected by the Finance Committee and approved by the Executive Committee. Proper investments for the Reserve Fund include:
 - Passbook savings accounts covered by FDIC insurance.
 - Money Market accounts covered by FDIC insurance, or backed by U.S. Government, or U.S. Government Agency obligations.

- Certificates of Deposit covered by FDIC insurance.

While it is preferable to spread these deposits among the institutions that support the United Way of Putnam County, actual decisions should take into account current interest rates and operating efficiencies by the United Way staff.

5. **Policies for the Special Needs Fund** – this fund has been established for special needs requests that can be made by both United Way and non-United Way agencies. The United Way intends to use these monies for 1. Emergency Allocations (Funding emergency requests of United Way and its Member Agencies) and 2. Venture Grants (One-time-only allocations to fund new and innovative programs that seek to meet high priority needs of the community.) In addition, the Board with a $\frac{3}{4}$ majority vote of all active board members, may direct money be given towards key one-time community projects that are consistent with the goals and mission of the United Way. Recognizing the changing nature of the community and unforeseen needs, the Board adopts the following criteria as Guidelines for the disbursement of Special Needs Fund monies:
- a) All contributions to the Special Needs Fund which are not in the form of cash shall be liquidated immediately and converted to cash pending future investment. This would include stocks, bonds, land, or other real assets.
 - b) Notices may be published in a local newspaper informing the general public of the purpose of these funds and how to apply.
 - c) Grants may, or may not be time restricted, and funding will not be guaranteed renewable.
 - d) Projects/programs should reflect broad-based community partnering [joint sponsorship by a combination of any of the following: city, county, schools, 501(c)(3) organizations, and/or business or as a response to local disaster (fire, flood, tornado, etc.)].
 - e) Replenishment of the Special Needs Fund shall be accomplished through the following:
 - a. Annual review of all fund balances by the Finance Committee prior to allocating campaign dollars.
 - b. Special Needs Fund promotion and/or special event fund raiser.
 - f) Requests to make application by any agency or group can be made at any time during the year.
 - g) Responses to these applications shall be completed by the board within 30 days from the date of the request.
 - h) These monies shall be invested in instruments selected by the Finance Committee and approved by the Executive Committee. Proper investments for the Special Needs Fund include:
 - Passbook savings accounts covered by FDIC insurance.
 - Money Market accounts covered by FDIC insurance, or backed by U.S. Government, or U.S. Government Agency obligations.
 - Certificates of Deposit covered by FDIC insurance.

While it is preferable to spread the deposits among the institutions that support the United Way of Putnam County actual decisions should take into account current interest rates and operating efficiencies by the United Way staff.

6. Designation Policy –

- United Way of Putnam County allows individuals donating to the annual campaign to direct or designate their gifts to another United Way(s).
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- It is NOT the practice of the United Way of Putnam County to process Donor Choice or Donor Designation pledges to one or more individual agencies.
 - o In the event that pledges are received that are the product of another federated campaign in a workplace outside of Putnam County, which are designated to a specific agency, these “Donor Designations” will be honored as first dollar of the agency’s allocation.
 - o If the total amount of donor designation, or first dollars, exceeds the amount allocated by the United Way board, then the allocation amount will be increase to equal the total amount of donor designations.
 - o Designations of “corporate” gifts from companies or organizations are not honored unless such designations are part of an agreement that the organization has entered into with United Way Worldwide – National Corporate Leadership program or other national or regional agreement.

SPECIAL NEEDS FUND

The United Way intends to use the Special Needs Fund for 1) Emergency Allocations (Funding emergency requests of United Way and its Member Agencies) and/or 2) Venture Grants (One-time-only allocations to fund new and innovative programs that seek to meet high priority needs of the community.)

To apply for an Emergency Allocation from the Special Needs Fund, an agency must:

1. Be in compliance with all articles of the Agency Agreement.
2. Submit the following items:
 - A. A written statement signed by the Board President and Treasurer stating the current or future financial status of the organization. This should include an explanation of the situation which caused a financial hardship as well as the amount of additional funding being requested and for which funding period.
 - B. The agency's most recent financial statement
 - C. Any changes to the information submitted in the most recent annual funding application.

The applicant agency's director and at least one of the agency's volunteer board members should attend the Allocation Committee meeting where the application is considered.

To apply for a Venture Grant from the Special Needs Fund, an agency must:

1. First, discuss this need with the United Way Director
2. Submit your request in writing.
 - A. Explain how the funds will be spent and criteria or spending guidelines to be used.
 - B. Tell how the community will be impacted if these funds are not provided.
 - C. Include the agency's mission and background of this or similar program(s).
 - D. Provide the name of person responsible for administering funds.
 - E. If the amount requested is funded, what plans have been made to sustain the program after the grant is spent? Will this be an ongoing program? Are other long-term funding sources available to sustain the program?
 - F. Request should be signed by the Executive Director and Board President or Supervisor.
3. Two representatives from the applicant agency will be required to attend the meeting of the United Way Allocation Committee where the Venture Grant request is considered.
4. The United Way of Putnam County will provide a written response within 10 business days.
5. Grant recipients must submit a mid-year and year-end report detailing how grant funds were used.

Document Destruction and Retention Policy

United Way of Putnam County shall retain records for the period of their immediate or current use, unless longer retention is necessary for historical reference or to comply with contractual or legal requirements. Records and documents outlined in this policy include paper and electronic files.

In order to eliminate accidental or innocent destruction, United Way of Putnam County has adopted the following Document Retention schedule:

Type of Document	Minimum Requirement
Accounts payable ledgers and schedules	7 years
Agency funding applications	5 years
Allocation summaries	Permanent
Audit reports	Permanently
Bank reconciliations	2 years
Bank statements	3 years
Contracts, mortgage, notes, and leases (expired)	7 years
Contracts (still in effect)	Permanently
Correspondence (general)	2 years
Correspondence (legal and important matters)	Permanently
Depreciation schedule	Permanently
Donor Pledge Forms	5 years
Donation records (Summary of Receipts)	5 years
Emergency Food & Shelter program materials	7 years
Employment applications (non-employee)	3 years
Financial reports (monthly)	7 years
General journal and ledger	7 years
Insurance Policies (expired)	3 years
Insurance Policy, records, accident reports, claims, etc.	Permanently
Invoices	7 years
Minute books, bylaws, charter, Articles of Incorporation	Permanently
Payroll records and summaries	7 years
Personnel files (contracts, performance evaluations)	7 years
Tax returns/990	Permanently
Withholding/payroll tax statements	Permanently

GIFT ACCEPTANCE POLICY

Donations to the United Way of Putnam County may take the form of one or a combination of the following: cash, pledges, grants, marketable securities, personal property, real estate, trusts, bequests, and life insurance.

Acceptance of donations of non-cash items (such as real estate, boats, cars, other in-kind property) will be evaluated on a case-by-case basis. Gifts-in-kind valued at under \$1,000 are not required to be appraised by a third party appraiser. It is the responsibility of the donor to determine the true value of the gift and to pay for appraisal costs when required. Restrictions imposed by the donor regarding the sale, maintenance, or administration of such items are subject to review by the Executive Director. United Way of Putnam County reserves the right to refuse any gift that would be in conflict with its goals and mission, for which the agency has no use, and/or for which the cost to sell the property would exceed its value.

Donations of marketable securities will be valued at the market value on the date the donor transfers the assets to United Way of Putnam County. Neither losses nor gains realized by the sale of securities after their receipt, nor brokerage fees or other expenses associated with this transaction shall affect the value as recorded.

Staff is directed to sell all marketable securities and in-kind property for which the agency has no direct use as soon as possible.