



United Way

2014 Membership Certification

INSTRUCTIONS:

- Both the Board Chair and Chief Executive Officer must sign this certification.
- Share this certification and your responses with the entire board and note date of meeting on page 4.
- Answer all questions and provide a written explanation for any omissions or “no” answers.
- Submit this certification by **June 30, 2014**, to:

MAIL: United Way Worldwide Membership Accountability
701 North Fairfax Street, Alexandria, VA 22314

OR FAX: 703.683.7813

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

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

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

Yes No

	Yes	No
Is your United Way recognized as exempt from taxation under Section 501(c)(3) of the Internal Revenue Code as well as from corresponding provisions of other applicable state, local and foreign laws or regulations?		
Did your United Way file the IRS Form 990 in a timely manner (within nine months of last fiscal year end)?		
Date the last IRS Form 990 submitted to IRS:		
1. Have you followed the United Way Worldwide Implementation Standards for Membership Requirement A in completing the IRS Form 990?		
2. Was a copy of the IRS Form 990 provided to the organization’s governing body before it was filed?		
3. Does your United Way effectively communicate its program service accomplishments in the IRS Form 990, Part III?		
4. 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?		
5. For the prior fiscal year, did the organization become aware of a material diversion of the organization’s assets? Please provide an explanation for a YES response to this question. Per the IRS, a material diversion is more than 5% of gross annual receipts or more than \$250,000, whichever is less.		
6. Is the compensation for the top management official (e.g., CEO, executive director) and top financial official (e.g., chief financial officer) reported as required on the IRS Form 990 in Part VII?		
7. Does your United Way make the following documents available to the public? <ul style="list-style-type: none">• IRS Form 990 (Return of Organization Exempt from Income Tax) or 990 E-Z• Form 990-T (Exempt Organization Business Income Tax Return)		
8. METRO 1 & 2 ONLY: Have you submitted the most current entire IRS Form 990 to United Way Worldwide?		

Requirement B: Legal Requirements

Yes No

	Yes	No
Does your United Way comply with all applicable legal, local, state, and federal operating and reporting requirements (e.g., nondiscrimination)?		
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? (Note: Attach written explanation for a YES response to this question.)		
2. Does your United Way conduct anti-terrorism compliance measures?		
3. Does your United Way comply with provisions of Sarbanes-Oxley applicable to nonprofit corporations (whistleblower protection and implementation of document retention and destruction policies)?		
4. Does your organization promote itself as an equal opportunity employer? (N/A if no employees)		
5. Is your United Way currently registered to conduct charitable solicitations at the state and local level (where applicable)?		

Requirement C: Governance

Yes No

Does your United Way have an active, responsible, and voluntary governing body which ensures effective governance over the policies and financial resources of the organization?		
1. Does the board approve the annual budget?		
2. Does the board include at least two members with financial experience?		
3. Does the board, or board-delegated committee, review financial statements on at least a quarterly basis?		
4. Does the board review and approve fund distribution decisions?		
5. Does your United Way regularly provide training to governing board members?		
6. Does your United Way produce an annual report?		
7. Does your United Way's governing board review its bylaws and other governance documents at least once every three years?		
8. Are meeting minutes maintained for all governing board meetings?		
9. Does your United Way have a board-approved business expense reimbursement policy?		
10. Does your board meet at least quarterly?		
11. Is the external auditor engaged by and working for the board or board-appointed committee?		
12. Does your board review the external annual audit, and is the audit presented to the board by the auditor or audit committee chair?		
13. 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)?		
14. Did the board specifically approve the CEO's compensation?		

Requirement D: Diversity & Inclusion

Yes No

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?		
1. Does your board review the organization's diversity statement at least once every three years?		
2. Does your board review, at least once every three years, a report of the board, volunteers and staff composition to ensure diversity is achieved?		

Requirement E: Trademark

Yes No

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?		
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, website)?		
2. Does your United Way follow United Way brand identity guidelines in all respects?		
3. Does your United Way only solicit businesses located in your zip codes on file at United Way Worldwide (GiftLink)?		
4. Does your United Way limit its workplace solicitations to individuals who work at facilities in your zip codes on file at United Way Worldwide?		
5. Does your United Way limit its non-workplace solicitations of individuals to your zip codes on file at United Way Worldwide (e.g., home addresses in your United Way's territory, special events in your United Way's territory)?		
6. Does/will your United Way purchase promotional products bearing the marks of United Way only from vendors licensed by United Way Worldwide?		

Requirement F: Membership Investment

Yes No

Does your United Way provide financial support to United Way Worldwide in accordance with the membership investment formula?		
1. Will 2014 membership investment be paid in quarterly installments and in full no later than December 31, 2014?		

Requirement G: Code of Ethics

Yes No

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?		
1. Do all staff and board members annually verify in writing they have reviewed the code of ethics?		
2. Does your United Way have a written conflict of interest policy?		
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?		
4. Does the code of ethics or conflict of interest policy include a process for reporting and resolving conflicts of interest should they occur?		
5. Are the board members and staff required to disclose in writing, on an annual basis, any potential conflicts of interest?		
6. Does your board review the code of ethics at least once every three years?		
7. METRO 1 & 2 ONLY: Have you submitted a copy of current code of ethics to United Way Worldwide?		

Requirement H: Audit

Yes No

Does your United Way have an annual audit conducted by an independent certified public accountant whose examination complies with generally accepted auditing standards and GAAP? Organizations with annual revenue less than \$100,000 may have their financial statements reviewed by an independent certified public accountant.		
1. Total annual revenue per most recent year-end financial statement: \$ _____		
2. Fiscal year of most recent audit or review:		
3. Were most recent financial statements audited by an independent CPA (required if annual revenue exceeds \$100,000)?		
4. Were most recent financial statements reviewed by an independent CPA (acceptable only for organizations with annual revenue of less than \$100,000)?		
5. Has your United Way followed the United Way Worldwide Implementation Standards for Membership Requirement H in preparing the audited financial statements?		
6. Has your United Way followed the Functional Expense and Overhead Reporting Standards for United Ways in preparing the audited financial statements?		
7. Does the board, executive committee or audit committee review the auditor's management letter and take appropriate actions to minimize any risks identified?		
8. Has the board established or considered establishing an operating reserve policy?		
9. Has the board, or board-delegated committee, approved the current provision for uncollectible pledges (estimated shrinkage)?		
10. METRO 1 & 2 ONLY: Have you submitted audited financial statements to United Way Worldwide?		

Requirement I: Self-Assessment

Yes No

In the last three years, did your United Way conduct and submit to United Way Worldwide a copy of its volunteer-led self-assessment of their community impact work, financial management, and organizational governance and decision making?		
Indicate year of last self-assessment: <input type="checkbox"/> 2011 (next self-assessment in 2014) <input type="checkbox"/> 2012 (next self-assessment in 2015) <input type="checkbox"/> 2013 (next self-assessment in 2016) <input type="checkbox"/> 2014 (next self-assessment in 2017)		
Did/will your United Way complete the Community Impact Practices Survey so that it can be positioned on the Business Performance Matrix?		

Requirement J: Database II

Yes No

The Amount Raised Card is suspended for 2014.		
Did/will your United Way submit Database 2 to United Way Worldwide by May 15, 2014, or by June 30, 2014 (if on a July-June fiscal cycle)?		

Requirement K: Income and Expense Survey

Suspended for 2014.

Requirement L: Campaign Reporting

Yes No

Does your United Way adhere to standard reporting guidelines contained in the Database 2 Survey in reporting campaign revenue and resources generated to United Way Worldwide?		
1. Are amounts reported on Database 2 provided in accordance with the NPC Total Resources Generated Policy?		
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?		

Requirement M: Cost Deduction Standards

Yes No

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.		
1. Does your United Way allow donor-designated contributions? If so, please complete the following questions for Requirement M. If not, no explanation for answering "No" is required.		
2. Have you calculated the maximum cost deduction rates according to the Cost Deduction Standards for Membership Requirement M and are the rates charged at or below those rates?		
3. Has the board, or board-delegated committee, approved the currently used cost deduction rates for fundraising and management/general expenses?		
4. Does your United Way pay designated gifts quarterly that include reports required under this standard?		

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

Board Chair Certification:

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.

CHIEF VOLUNTEER OFFICER'S SIGNATURE

DATE PHONE NUMBER

NAME PRINTED

E-MAIL ADDRESS

MAILING ADDRESS

Chief Executive Officer Certification:

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.

CHIEF PROFESSIONAL OFFICER'S SIGNATURE

DATE PHONE NUMBER

NAME PRINTED

E-MAIL ADDRESS

MAILING ADDRESS

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