

2013 Community Impact Grant Presentations:

Women in Safe Homes (WISH), Ketchikan

- I. CALL TO ORDER and INTRODUCTIONS** – Chair Mark Bryan
- II: APPROVAL OF AGENDA** – Corrections/Additions
- III: APPROVAL OF MINUTES** – Corrections/Additions
March 21, 2013 Minutes
- IV: PRESENTATIONS** –
- V: COMMITTEE REPORTS**
 - Finance Committee –March 2013 - Mesdag, Treasurer
 - Personnel Committee – Sheryl Weinberg, Secretary
 - Campaign Committee –Rosemary Hagevig, Robbie Stell
 - Board Development Committee – Karen Crane
 - Events Committee –
 - Community Impact Committee – Katherine Eldemar
 - Health – Corey Pavitt
 - Education – Karen Crane, Bernie Sorenson
 - Income Stability –
- VI: STRATEGIC PLAN UPDATE** –
- VII: OLD BUSINESS**
 - Small Project discussion
 - 2013 United Way Membership Certification
- VIII: NEW BUSINESS**
 - Review and Approve Code of Ethics – Reviewed and approved 3/21/07
 - Ethics Officer
 - Review and Approve Diversity Statement – Last reviewed and approved 12/16/09
- IX: CHAIR REPORT** – Mark Bryan
- X; PRESIDENTS REPORT** – Wayne Stevens
- XI: BOARD MEMBER COMMENTS**
- XII: ADJOURNMENT**

Next Meeting May 16, 2013

2013 Board Member Attendance																	%			
Board Term Ends	First Name	Last Name	1/12	2/21	3/15	3/21	4/18	5/16	5/31	6/20	7/18	8/15	9/19	10/17	11/21	12/19	Attend	X's	Total	
Jan - 2014	Mary	Becker	X	X	X	X											100%	4	4	
Jan - 2015	Mark	Bryan	X	X	X	X											100%	4	4	
Jan - 2015	Karen	Crane	X	X	X	X											100%	4	4	
Jan - 2014	Katherine	Eldemar	E	A	A	A											0%	0	4	
Jan - 2014	Glenn	Gelbrich	E	E	E	X											25%	1	4	
Jan - 2014	Chris	Gerondale	X	A	E	X											50%	2	4	
Jan - 2014	Alberta	Jones	X	X	X	X											100%	4	4	
Jan - 2014	Jaysen	Katasse	E	X	X	E											50%	2	4	
Jan - 2016	Mark	Mesdag	X	X	E	X											75%	3	4	
Jan - 2014	Joan	O'Keefe	X	X	X	X											100%	4	4	
Jan - 2016	Corey	Pavitt	X	E	E	X											50%	2	4	
Jan - 2015	Hagevig	Rosemary	X	X	X	X											100%	4	4	
Jan - 2015	Bernie	Sorenson	X	A	A	A											25%	1	4	
Jan - 2016	Robbie	Stell	X	X	X	X											100%	4	4	
Jan - 2014	Lance	Stevens	X	X	E	E											50%	2	4	
Jan - 2015	Sheryl	Weinberg	X	X	X	X											100%	4	4	
Jan - 2016																	#DIV/0!	0	0	
Total Board			16	16	16	16	0	0	0	0	0	0	0	0	0	0				
Attendance			13	11	9	12	-	-	-	-	-	-	-	-	-	-				
Average Percentage attending			81%	69%	56%	75%	###	###	###	###	###	###	###	###	####	####	####	70%		
	X = Attended																			
	T = Teleconferenced in																			
	E= Excused																			
	A=Absent																			

Board Members in Attendance

Board Members in Attendance					
T	Mary Becker – Past Chair	X	Chris Gerondale		Staff
X	Mark Bryan – Chair	X	Alberta Jones	X	Wayne Stevens
X	Karen Crane – Chair Elect (arr @6:30p)	E	Jaysen Katasse		Jennifer Treadway
X	Mark Mesdag –Treasurer	X	Joan O’Keefe		
X	Sheryl Weinberg– Secretary (arr @5:45p)	X	Corey Pavitt		Guest(s):
A	Katherine Eldemar	A	Bernie Sorenson		Joy Lyon AEYC
X	Glenn Gelbrich	X	Robbie Stell		
X	Rosemary Hagevig	E	Lance Stevens		
Legend: X = present E = excused absence T = teleconference A=absent					

Call to Order and Introductions

Chair Mark Bryan called the meeting to order at 5:15 PM. Quorum established with eleven board members present.

Presentations: Joy Lyon, Association for the Education of Young Children

Joy Lyon, Executive Direction for the Association for the Education of Young Children reported on the impact of the grant provided to her organization through the Learn United Grant process. She shared books that they send out via the Dolly Parton Imagination Library project. Currently there are over 2,000 children in 13 communities across Southeast Alaska that receives books on a monthly basis. She noted that the United Way funding allows them to leverage additional funds to support the program.

Approval of Agenda

Chair Bryan asked for approval of the agenda. He asked that the agenda item Board Service discussion be deleted.

**Motion: Board member O’keefe moved to approve the agenda as amended.
Board member Jones seconded. Motion approved unanimously.**

Approval of the Minutes from February 21 12, 2013 Annual Meeting

Chair Bryan asked for approval of the minutes from the February 21, 2013 Board of Directors meeting.

Motion: Board member Hagevig moved to approve the minutes from the February 21, 2013 Board of Directors meeting. Board member O’Keefe seconded. Motion approved unanimously.

Presentations - None

Committee Reports

Finance Committee – Mark Mesdag

Treasurer Mesdag reviewed the February 2013 finance statements. He noted that the Finance Committee had met on Tuesday, March 19, to review the finance statements. He noted that there was improved campaign

activity through the end of February and that all expenses were well within range of the amounts budgeted. He reported that in the process of cleaning up the accounting system and the database system, it was discovered that there had been a double booking of some \$7,000 of pledges and a recording of \$9,000 in donated services included as cash. These items would be reversed in the February reports and may lead to findings of other items as we continue the process of cleaning up the database. There is a large write off for Allowance for doubtful accounts \$9,000 for donation of time entered as cash in prior year, \$7,000 in duplicate entries, \$3,500 from SHARE, \$3,500 CFC and \$19,000 from private campaign in pledges that are uncollectible. People have moved away, passed away or otherwise will not be making their pledges. This is a cumulative write off of both the 2010 and 2011 campaigns. The Finance committee recommended approving the statements as presented;

**Chari Bryan asked if there was any objection to approval of the February statements.
No objections, statements stand approved.**

Personnel Committee – Sheryl Weinberg

Secretary Weinberg reported the next tasks for the Personnel Committee are the review of the leave policy, development of an evaluation process for the CEO and a review of the CEO’s job description. She confirmed participation on the Personnel Committee by Board members Gerondale, Becker, O’Keefe and Chair Bryan.

Campaign Committee –Robbie Stell & Rosemary Hagevig

Campaign Co-chair Stell reported on the status of the 2012 campaign efforts. Resource Development Director Treadway provided a written report on campaign activity noting that campaign income YTD is \$212,500 compared to 2011 YTD income of \$205,874.96. There is a lot of work to be done before the end of the campaign year to achieve our goal of \$500,000. Total YTD campaign activity is \$383,654.34

Health Committee –Corey Pavitt

Chair Bryan noted that he and Board member Pavitt have conversed about the direction of the Health Committee. Board member Pavitt shared a couple of his ideas on engaging the committee and focusing on engaging children in physical activities. He indicated he would be reaching out to P.E. teachers in the district to get ideas on how best to engage students in physical activity. Board member Gelbrich noted that he had seen the positive effects of the community working to engage kids in physical activity and noted the “Awesome 3,000” program in Salem, Oregon. Board members Jones, O’Keefe and Crane indicated an interest in assisting with the health committee.

Income Stability –

President Stevens reported that Wells Fargo had called earlier in the afternoon to let us know that United Way of Southeast would be receiving a grant of \$5,000 to begin a financial literacy program. He reported that staff would be working with SERRC to develop a class to be offered in the coming months.

Strategic Plan Update –

Chair Bryan gave a summation of the Friday, March 15, strategic planning effort. He acknowledged that our facilitator, Scott Miller, with The McDowell Group had graciously reduced the fee as a donation to United Way. Chair Bryan reported the session to be an effort to “find our way” as an organization. United Way of Southeast Alaska finds itself with roots in both the traditional United Way model as fund raiser and allocator and the new model of model of community impact organization. While we still need to focus on growing the campaign and individual participation across the region, we need to embrace the new operating model and grow as an organization.

He noted that the four major focus items for the coming year will be redeveloping relationships with our partner agencies, increase our visibility in the communities we serve; continue the building of a strong regional campaign and strengthening and fine tuning our committee structure and processes. He reiterated his strong belief that we need to find positive ways to engage the board and provide a sense of accomplishment to board members.

He then asked those in attendance at the session to offer their insights and critique. Consensus was that the meeting had been productive, and most felt it was a good start. It clearly showed we need to spend some additional time and follow up on perhaps a Saturday morning to continue the process of refining our strategic plan for the coming year.

Old Business

Small Project ideas and discussion

Board Chair Bryan noted that at the annual meeting he had indicated that he would like to see the board take a more active role in the community. He had suggested developing a small project that the UWSEAK board member would undertake in the coming year. Below is the small project ideas generated from that discussion:

Health food related- cook at Glory Hole
Education Programs – reading tutors
SERRC – TLC –IPADS – support successful programs
Afterschool program/activity
Entertain children with books @ Gov. Christmas open house
Imagination Library

SERRC Family Nights
Visible – wear shirts
Ask member agencies for projects
2014 Sealaska Celebration
Day of Caring – UWSEAK team
Adopt a Highway
UWSEAK walk with members
4th of July Parade float

Board Member Crane noted that she has been involved with cooking a meal The Glory Hole once a month and she would welcome participation from other board members at any time.

Chair Bryan asked all Board members to pick their preference for the top three project ideas and e-mail staff with their preferences.

New Business

2013 United Way Membership Certification

President Stevens pointed out the 2013 United Way Membership certification material in the packet. He spoke about the process that staff would use to complete the forms in the coming weeks. Staff would fill out the questionnaire and bring the filled copy back for board review and approval. There will be a few questions that will require Board participation and input.

Chair Report

President Bryan had no additional information to share.

President's Report

Stevens pointed out the attachments in the Board packet including his President's report and his Petersburg trip report. He reported on progress of the contracting of the accounting and database management with United Way of Anchorage, gave a quick reminder about the Diversity training class on April 26 and the Orca Point Lodge fund raiser on May 9.

Board Member Comments

Board members noted the successful strategic planning session and looked forward to following up with the development of specific goals and a clearly stated mission statement. Board members noted the successful trip to Petersburg and looked forward to developing campaign activities in other parts of Southeast.

Adjournment

Meeting adjourned at 7:00 PM.

Small Project Ideas –

Health food related- cook at Glory Hole

Education Programs – reading tutors

SERRC – TLC –IPADS – support successful programs

Afterschool program/activity

Entertain children with books @ Gov. Christmas open house

Imagination Library

SERRC Family Nights

Visible – wear shirts

Ask member agencies for projects

Celebration

Day of Caring – UWSEAK team

Adopt a Highway

UWSEAK walk with members

4th of July Parade float

Poll "Small Project Ideas ballot"

<http://doodle.com/558cxe6abyvfmidt>

	Health food related- cook at Glory Hole	Education Programs – reading tutors	SERRC – TLC –IPADS – support successful programs	Afterschool program/activity	Entertain children with books @ Gov. Christmas open house	Imagination Library	SERRC Family Nights	Visible – wear shirts	Ask member agencies for projects
1		OK							OK
2				OK		OK			
3	OK						OK		OK
4	OK				OK		OK		
5		OK		OK					OK
6			OK					OK	
7		OK							OK
8								OK	OK
9									OK
10		OK				OK			OK
	2	4	1	2	1	2	2	2	7

	Volunteer at Celebration	Day of Caring – UWSEAK team	Adopt a Highway	UWSEAK walk with members	4th of July Parade float
1		OK			
2	OK				
3		OK			
4					
5					
6		OK			
7		OK			
8	OK	OK	OK		
9		OK			OK
10					
	2	6	1	0	1



United Way 2013 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, 2013**, 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 system. United Ways will also meet the following requirements.

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

	Yes	No
Is your United Way recognized as exempt from taxation under Section 501(c)(3) of the Internal Revenue Code as well as from corresponding provisions of other applicable state, local and foreign laws or regulations?	X	
Did your United Way file the IRS Form 990 in a timely manner (within nine months of last fiscal year end)?	X	
Date the last IRS Form 990 submitted to IRS: April 15, 2013		
1. Have you followed the United Way Worldwide Implementation Standards for Membership Requirement A in completing the IRS Form 990?	X	
2. Was a copy of the IRS Form 990 provided to the organization’s governing body before it was filed?	X	
3. Does your United Way effectively communicate its program service accomplishments in the IRS Form 990, Part III?	X	
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?	X	
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.		X
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?	X	
7. Does your United Way make the following documents available to the public? • IRS Form 990 (Return of Organization Exempt from Income Tax) or 990 E-Z • Form 990-T (Exempt Organization Business Income Tax Return)	X	
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
Does your United Way comply with all applicable legal, local, state, and federal operating and reporting requirements (e.g., nondiscrimination)?	X	
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.)		X
2. Does your United Way conduct anti-terrorism compliance measures?	X	
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)?	X	
4. Does your organization promote itself as an equal opportunity employer? (N/A if no employees)	X	
5. Is your United Way currently registered to conduct charitable solicitations at the state and local level (where applicable)?	X	

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

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?	X	
1. Does your board review the organization's diversity statement at least once every three years?	X	
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?	X	

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?	X	
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)?	X	
2. Does your United Way follow United Way brand identity guidelines in all respects?	X	
3. Does your United Way only solicit businesses located in your zip codes on file at United Way Worldwide (GiftLink)?	X	
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?	X	
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)?	X	
6. Does/will your United Way purchase promotional products bearing the marks of United Way only from vendors licensed by United Way Worldwide?	X	

Requirement F: Membership Investment

	Yes	No
Does your United Way provide financial support to United Way Worldwide in accordance with the membership investment formula?	X	
1. Will 2013 membership investment be paid in quarterly installments and in full no later than December 31, 2013?	XX	

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?	X	
1. Do all staff and board members annually verify in writing they have reviewed the code of ethics?	X	
2. Does your United Way have a written conflict of interest policy?	X	
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?	X	
4. Does the code of ethics or conflict of interest policy include a process for reporting and resolving conflicts of interest should they occur?	X	
5. Are the board members and staff required to disclose in writing, on an annual basis, any potential conflicts of interest?	X	
6. Does your board review the code of ethics at least once every three years?	X	
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.	X	
1. Total annual revenue per most recent year-end financial statement: \$ 292,788		
2. Fiscal year of most recent audit or review: 2011-12		
3. Were most recent financial statements audited by an independent CPA (required if annual revenue exceeds \$100,000)?	X	
4. Were most recent financial statements reviewed by an independent CPA (acceptable only for organizations with annual revenue of less than \$100,000)?	N/A	
5. Has your United Way followed the United Way Worldwide Implementation Standards for Membership Requirement H in preparing the audited financial statements?	X	
6. Has your United Way followed the Functional Expense and Overhead Reporting Standards for United Ways in preparing the audited financial statements?	X	
7. Does the board, executive committee or audit committee review the auditor's management letter and take appropriate actions to minimize any risks identified?	X	
8. Has the board established or considered establishing an operating reserve policy?	X	
9. Has the board, or board-delegated committee, approved the current provision for uncollectible pledges (estimated shrinkage)?	N/A	
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?	X	
Indicate year of last self-assessment: <input type="checkbox"/> 2010 (next self-assessment in 2013) <input type="checkbox"/> 2011 (next self-assessment in 2014) <input type="checkbox"/> 2012 (next self-assessment in 2015) <input checked="" type="checkbox"/> 2013 (next self-assessment in 2016)		
Did/will your United Way complete the Community Impact Practices Survey so that it can be positioned on the Business Performance Matrix?	X	

Requirement J: Database II

	Yes	No
The Amount Raised Card is suspended for 2013.		
Did/will your United Way submit Database 2 to United Way Worldwide by May 15, 2013, or by June 30, 2013 (if on a July-June fiscal cycle)?	X	

Requirement K: Income and Expense Survey

Suspended for 2013.

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?	X	
1. Are amounts reported on Database 2 provided in accordance with the NPC Total Resources Generated Policy?	X	
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?	X	

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.	X	
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.	X	
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?	X	
3. Has the board, or board-delegated committee, approved the currently used cost deduction rates for fundraising and management/general expenses?	X	
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: April 18, 2013 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: April 18, 2013
 PHONE NUMBER: 907-463-5530

NAME PRINTED: Mark V. Bryan

E-MAIL ADDRESS: bryan8551@gmail.com

MAILING ADDRESS: 3225 Hospital drive, Suite 201 Juneau, Alaska 99801

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: April 18, 2013
 PHONE NUMBER: 907-463-5530

NAME PRINTED: Wayne A. Stevens

E-MAIL ADDRESS: president@unitedwayseak.org

MAILING ADDRESS: 3225 Hospital drive, Suite 201 Juneau, Alaska 99801

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.

Code of Ethics

United Way of Southeast Alaska (UWSEAK) is committed to the highest ethical standards. Indeed, based on the unique trust placed in UWSEAK to serve the public good, we have a special obligation to act ethically.

The success of the United Way system and our reputation depend upon the ethical conduct of everyone affiliated with the UWSEAK. Volunteers, staff, and representatives set an example for each other, and for member United Way organizations, by their pursuit of excellence in high standards of performance, professionalism, and ethical conduct.

This UWSEAK Code of Ethics (Code) is based on our mission of building a better community and guided by our fundamental values of aspiring to gain and maintain the public's trust through collaboration, innovation and stewardship.

We are mindful that our mission and core values must be clearly articulated, communicated and continuously reinforced. In addition, more detailed policies, guidelines, explanations, definitions and examples are often needed to bring these qualities into actual practice. While no document can anticipate all of the challenges that may arise, this Code communicates key guidelines and will assist UWSEAK 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 a supervisor or with the Chair of the UWSEAK Board of Directors.

CONTENTS:

1. Personal and Professional Integrity
2. Accountability
3. Solicitations and Voluntary Giving
4. Diversity and Equal Opportunity
5. Conflicts of Interest
6. Confidentiality and Privacy
7. Political Contributions
8. Whistleblower Policy

1. PERSONAL AND PROFESSIONAL INTEGRITY:

The Integrity of UWSEAK must not be compromised. A personal commitment to this code in all circumstances benefits each individual as well as the organization. We therefore:

- a. Strive to meet the highest standards of performance, quality, service and achievement in working towards the UWSEAK mission.
- b. Communicate honestly and openly and avoid misrepresentation.

- c. Promote a working environment where honesty, open communication and all opinions are valued.
- d. Exhibit respect and fairness toward all those with whom we come into contact.

2. ACCOUNTABILITY:

UWSEAK is responsible to its stakeholders, which include member UWSEAK organizations, donors and others who have placed faith in UWSEAK. To uphold this trust we:

- a. Promote good stewardship of UWSEAK resources, including membership fees, grants and other contributions that are used to pay operating expenses, salaries, and employee benefits.
- b. Refrain from using organizational resources for non-UWSEAK purposes.
- c. Observe and comply with all laws and regulations affecting UWSEAK.

3. SOLICITATIONS AND VOLUNTARY GIVING:

UWSEAK recognizes that giving is a very personal decision and is committed to the following guidelines, in order to maintain donors' respect and trust:

- a. Promote voluntary giving in dealing with donors and vendors.
- b. Refrain from any use of coercion in fundraising activities, such as predicated professional advancement or financial benefits on response to solicitations.
- c. Protect the confidentiality of UWSEAK donors and their gift/pledge data.

4. DIVERSITY AND EQUAL OPPORTUNITY:

UWSEAK is an equal opportunity employer and is committed to the principle of diversity. We therefore:

- a. Value, champion, and embrace diversity in all aspects of UWSEAK activities.
- b. Respect individuals without regard to race, color, religion, creed, age, sex, national origin or ancestry, marital status, veteran status, sexual orientation, or status as a qualified disabled or handicapped individual.
- c. Support affirmative action and equal employment opportunity programs throughout UWSEAK.
- d. Refuse to engage in or tolerate any form of unlawful discrimination or harassment.

5. CONFLICTS OF INTEREST

To avoid any conflict of interest or the appearance of a conflict of interest, which could tarnish the reputation of UWSEAK as well as undermine the public's trust in all United Way organizations, UWSEAK staff, representatives (e.g., contract workers), board members, committee members, and any other volunteers, shall act in accordance with the following:

- a. Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of UWSEAK, including involvement with a current or potential UWSEAK vendor, grantee, or competing organization unless disclosed to and deemed not to be inappropriate by the UWSEAK Board Development Committee or appropriate supervisor.
- b. Ensure that outside employment and other activities do not adversely affect the performance of their UWSEAK duties or the achievement of UWSEAK's mission.
- c. Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of UWSEAK and not for personal gain or interests.
- d. Decline any gift, gratuity or favor in the performance of UWSEAK duties except for promotional items of nominal value and any food, transportation, lodging or entertainment directly related to UWSEAK business.
- e. Refrain from influencing the selection of staff, consultants or vendors who are relatives or personal friends or affiliated with, or employed by a person with whom they have a relationship that adversely affects the appearance of impartiality.
- f. Discuss with the appropriate supervisor any questions regarding conflicts of interest.

In addition to the above, UWSEAK Volunteers:

- a. Should not knowingly take any action, or make any statement, intended to influence the conduct of UWSEAK in such a way as 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.
- b. Serving on the UWSEAK Board of Directors or any UWSEAK committee, shall disclose in writing all known conflicts or potential conflicts of interest before the matter is discussed in any matter before the UWSEAK Board of Directors or the respective committee, and abstain from the voting in connection with such conflicts.
- c. Needing clarification regarding a potential conflict for themselves or another UWSEAK volunteer, should first ask the President for review and, if necessary, the Board Development Committee or Executive Committee, for a decision.

6. CONFIDENTIALITY AND PRIVACY:

Confidentiality is a hallmark of professionalism. We therefore:

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

7. POLITICAL CONTRIBUTIONS:

As a charitable corporation, UWSEAK is prohibited from making contributions to any candidate for public office or to any political committee. We therefore:

- a. Refrain from making any contributions to any candidate for public office or political committee on behalf of UWSEAK, including the use of UWSEAK facilities for political campaign activities.
- b. 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 UWSEAK.

8. WHISTLEBLOWER POLICY

Volunteers, staff, and representatives are encouraged to seek guidance from the Chair of 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. It is the responsibility of all board members, staff, volunteers and representatives to comply with the Code of Ethics and report violations or suspected violations. The following guidelines should be followed when a breach is suspected:

- a. 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.
- b. Anyone filing a complaint concerning a violation or suspected violation of the Code of Ethics must be acting in good faith and have reasonable grounds for believing the information disclosed indicated a violation of the Code. Any allegations that prove not to be substantiated and which prove to have been made maliciously or knowingly to be false will be viewed as a serious disciplinary offense.
- c. No board member, volunteer, staff or representative who in good faith reports a violation of the Code shall suffer harassment, retaliation or adverse employment consequence. An employee who retaliates against someone who has reported a violation in good faith is subject to discipline up to and including termination of employment. This Whistleblower Policy is intended to encourage and enable employees and others to raise serious concerns within UWSEAK prior to seeking resolution outside the organization. UWSEAK supports an open door policy and suggests that employees share their questions, concerns, suggestions and complaints with someone who can address them properly. In most cases, the President is in the best position to address an area of concern. However, if you are not comfortable speaking with the President or you are not satisfied with the President's response, you are encouraged to speak with the Board Chair. The President is required to report suspected violations of the Code to the Board Chair, who has specific and exclusive responsibility to investigate all reported violations. For suspected fraud, or when you are not satisfied or uncomfortable with following UWSEAK's open door policy, individuals should contact the Board Chair directly.
- d. The Board Chair is responsible for investigating and resolving all reported complaints and allegations concerning violations of the Code of Ethics and, at his/her discretion, shall advise the President and/or Finance Committee. The Board

Chair has direct access to the Finance Committee and is required to report to the Finance Committee at least annually on compliance activity.

- e. The Finance Committee of the Board of Directors shall address all reported concerns or complaints regarding corporate accounting practices, internal controls or auditing. The Board Chair shall immediately notify the Finance Committee of any such complaint and work with the committee until the matter is resolved.

I have received and read the UWSEAK Code of Ethics and agree to be bound by it.

Signature of UWSEAK President, Volunteer, Consultant, or Employee

Date

Printed Name

Volunteer or Staff Title

NOTE: The intent of the Code is meant to apply to United Way of Southeast Alaska internally and is not intended to be a requirement of our member agencies. Approved by the United Way of Southeast Alaska Board of Directors on July 19, 2006.

Ethics Officer Responsibilities

As United Way Standard of Excellence 5.9(d) states, United Ways must adopt a code of ethics and are recommended to publicly designate an ethics officer (or the equivalent) to help the board and management implement and realize the values and standards articulated in the code of ethics.

Ethics responsibilities should always be included in board duties. The responsibilities could be designated to an individual or to a committee, depending on who has the most ethics knowledge and/or experience. Potential individual ethics designees could be a board chair, vice-chair, treasurer, parliamentarian, audit committee chair, or a knowledgeable attorney on the board. Potential committee designees could be an audit committee, executive committee, or human resources committee.

If a United Way is large enough to have a dedicated human resources staff member or consultant (full- or part-time), then ethics officer duties should also be integrated into that person's job description. Examine your United Way's size and structure to determine where the ethics officer functions best fit.

A sample ethics officer responsibilities statement might read as follows:

The Ethics Officer shall be familiar with the Code of Ethics of the Organization and shall serve as a resource to the officers and members of the Board on all issues arising under or related to the Code of Ethics involving officers, board members, staff and/or volunteers.

The Ethics Officer shall oversee the annual distribution and review of the Code of Ethics and will be responsible for the organization of educational presentations to the Board on ethics at such times as may be requested by the officers or the Board.

The key ethics officer responsibilities are to:

- Oversee the development of the organization's Code of Ethics and assure annual distribution and review.
- Provide ethics training for staff and volunteers at such times as may be requested by the officers or the board.
- Serve as the contact for the reporting of ethics violations and as a resource for ethics questions.
- Investigate and report code violations, as appropriate, to upper management and/or the board. Determine on a case-by-case basis which person and/or committee is most appropriate to learn of a specific ethics violation.

UNITED WAY OF SOUTHEAST ALASKA
ADMINISTRATIVE POLICY/PROCEDURE MANUAL

GOVERNANCE

Policy #:	Subject: Diversity Policy Statement					Page 1 of 2	
Date of Board Approval:				Supersedes:			
Reviewer: President	Reviewed Dates:						

Policy: It is the policy of the United Way of Southeast Alaska to select volunteers, hire staff and provide local services which reflects the diversity of the residents of Citrus County.

Procedure: United Way is committed to providing equal opportunity for all volunteers, employees and service recipients without regard to race, color, religion, national origin, sex, age, marital status, sexual orientation, or disability. United Way promotes the full realization of this policy through the positive recognition of the value of diversity.

Diversity and Employment:

United Way of Southeast Alaska is fully committed to assuring equal opportunity and equal consideration to all qualified applicants and employees in personnel matters including recruitment, hiring, training, promotions, salaries and other compensation, transfer and layoff or termination.

In the implementation of this policy, United Way will aggressively seek personnel for all levels within the organization without regard to race, color, religion, national origin, sex, age marital status, sexual orientation, or disability. The intent of this policy is to reflect the positive value of diversity in the community.

Diversity and Program Funding:

United Way of Southeast Alaska is fully committed to funding programs that provide equal opportunity and access for all, without regard to race, color, religion, marital status, sexual orientation, disability, sex, age, or national origin.

In the implementation of this policy, United Way will continue to provide funding to programs that target underserved populations as identified through continuous community assessment. The intent of this policy is to provide funding to meet the needs of and support the diversity of our community.

Diversity and Volunteer Recruitment:

United Way of Southeast Alaska is fully committed to the recruitment of volunteers to fill all volunteer positions within the organization without regard to race, color, religion, marital status, sexual orientation, disability, sex, age, or national origin.

In the implementation of this policy, United Way will aggressively seek volunteers from the community who reflect and acknowledge the value of diversity, including but not limited to minority group members, women and the disabled.

Diversity and Service Delivery:

United Way of Southeast Alaska is fully committed to the delivery and provision of service to meet the needs of the community as identified through a continuous assessment process.

In the implementation of this policy, United Way will grant program funding to those organizations which demonstrate the commitment to provide service without regard to race, color, religion, marital status, sexual orientation, disability, sex, age or national origin or which have as their legitimate stated purpose or mission the servicing of specific population segments.

Responsibility:

In order to promote and value diversity, the active participation and support of all members of the organization will be required.

Attribution for this policy is given to United Way of Central Jersey, Inc.

Op-ed: How not to measure a charity's effectiveness

Measuring a charity by the percentage it spends on fundraising and administration is a lousy way to gauge its effectiveness, writes guest columnist William Borden.

By William Borden

Special to The Times



BESIDES diet, exercise and friendships, new year resolutions often include personal philanthropy. The spirit and generosity of Seattle's citizens are legendary: one-third of Seattle's residents volunteer, according to U.S. government statistics, ranking us third among the 51 largest U.S. cities.

United Way of King County receives more donations than any United Way in the country. It's in our genes: We give.

On the receiving end, there's no shortage of needs. Preventing disease, relieving hunger, protecting our natural environment — to address a need, there's likely a charity for you. But which charity? How can Jane Doe evaluate a charity's effectiveness?

Here's a lousy method: Check the organization's overhead percentage.

An overhead percentage is typically defined as the percentage of revenue that a nonprofit spends on fundraising and administration. Overhead rates of 5 to 35 percent are common (EarthShare Washington's overhead rate is 4 percent).

You can find overhead information for charitable organizations published through various online portals, and there has been lots of discussion lately about rating charities based upon their overhead.

Here's why such figures don't matter. Nonprofits are not alike: Hospitals, food banks, public radio stations, dance troupes, research institutions, and conservation organizations treat program expenses and administrative expenses differently.

When a team of physicians and hospital administrators meets weekly to discuss new therapy treatments and ways to pay for them, is this a program expense or an administrative expense? Certainly when a dance troupe performs, it's a program expense. How about the times when it's not performing?

An organization may receive a grant in 2012 to launch a fantastic program in 2013. That can measurably affect the overhead percentage, as funds come in one year and go out the next. Reported overhead percentages simply don't measure effectiveness.

The truth is this: Overhead is like cholesterol: there's good overhead and bad overhead. Most discerning donors consider expenses such as employee health care or professional development both prudent and necessary — good overhead. Rent, utilities, phones, office supplies and insurance also constitute typical overhead costs.

By contrast, extravagant décor, junkets to exotic locales and exorbitant chief-executive salaries are examples of bad overhead. (The median CEO salary in the Seattle nonprofit sector is \$91,300, roughly half of its for-profit counterpart.)

So back to our question: How does Jane Doe evaluate the effectiveness of a particular nonprofit? Like most shrewd investors, Jane takes the time to do research. She visits the organization's website. She reads its annual report. She finds blogs and articles on the Web, and speaks with friends and colleagues.

Jane may choose to visit the organization to see how it performs, or even volunteer for a project. She asks the organization about its planning process and how it's governed.

In the case of federations (groups of like-minded nonprofits), what are that federation's vetting and membership-selection procedures?

Obviously, if Jane intends a modest donation, she may not want to spend her time on this homework.

However, for a larger gift, Jane does herself, and the nonprofit world, a great service by her due diligence. She might glance at the overhead percentage, but Jane knows the overhead percentage really doesn't matter.

William Borden is executive director of EarthShare Washington.

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Boards Are Not Ready for the Next Generation of Trustees

March 26, 2013, 8:30 pm

By Rick Moyers

A rising generation of younger donors and philanthropic leaders could bring new money to nonprofits and fresh energy to their boardrooms—if boards can overcome their current dysfunction enough to engage them.

Next-gen donors' appetite for engagement was cited earlier this year in one of the first large studies of high-capacity donors in their 20s and 30s (a report that received grant support from the Meyer Foundation, where I work, and several other grant makers). Some of the 300 participants were entrepreneurs in the early stages of their careers who are just beginning to think of themselves as philanthropists. Others came from families with established foundations that will soon be governed by a new generation of trustees.

Whatever their current circumstances, these donors are poised to become even more influential in the decades to come as control of major institutions and an estimated \$40-trillion is passed to the children and grandchildren of baby boomers.

In their report, "Next Gen Donors: Respecting Legacy, Revolutionizing Philanthropy," the philanthropic consulting firm 21/64 and researchers at the Johnson Center for Philanthropy at Grand Valley State University describe next-gen donors as driven by personal values, often those transmitted from their parents and grandparents, and motivated primarily by a desire for social impact rather than a sense of obligation or a need for recognition.

Perhaps most significant for nonprofits and their boards was the desire of younger donors to go "all in" once they engage: to develop close relationships with the organizations and causes they support, to offer their personal and professional talents in support of the cause, and to encourage their peers to give and participate as well.

For organizations that are constantly on the prowl for skilled, engaged board members with deep pockets, next-generation donors represent an unprecedented opportunity to revitalize their boards and engage the skills and resources of a fresh cohort of supporters who are just beginning to come into their own as philanthropists.

Yet despite their appetite for deep engagement, younger donors are likely to be put off by board service unless boards can improve the way they function.

A decade's worth of research suggests that board performance is at best uneven and at worst highly dysfunctional. A majority of executive directors are at least somewhat dissatisfied with their board's performance; many are very dissatisfied. Large numbers of trustees report low levels of engagement across almost every area of board responsibility. For far too many people, serving on a board is a frustrating and daunting experience, and many trustees wonder whether their service is making a difference. The experience of serving on a board—unless it is high functioning, superbly led, supported by a skilled staff, and working in a true partnership with the executive—is often quite the opposite of engaging.

Simply adding younger people to the mix—no matter how enthusiastic and skilled they are—is not going to change the fundamental dynamics of nonprofit board service. Even worse, a next-gen donor who has a negative board experience may become disenchanted with the organization and its cause—or even with board service in general.

Nonprofit organizations, and our sector as a whole, can't afford for that to happen. We need the values, skills, and resources next-gen donors can bring. To engage them, nonprofit boardrooms need to become welcoming places where real work gets done. Nonprofit executives need to get better at tapping the expertise and networks of their trustees. And boards need to have more serious conversations about impact.

A new generation of donors and philanthropic leaders is coming into its own. Boards need to get ready.

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Presidents Report for April 18, 2013

Meetings

- 3/22 – Conversation w/Mark Bryan, Dale Erquiga, Alaska State Arts Council interview,
- 3/26 - Rotary Baranof Hotel, UHS board meeting
- 3/27 - Coeur campaign presentation @Centennial Hall, UW webinar
- 4/1 - Mark Bryan conversation @ Empire, UHS Lease discussion
- 4/2 – ANDAR conversion discussion, Rotary Baranof Hotel w/Tom Gemmel & Paul Richards
- 4/3 - UW webinar, public relations discussion Geoff Kirsch
- 4/4 – UHS lease discussions, ANDAR Conversion discussion
- 4/5 - Mark Bryan conversation w/Dirk @UWSEAK offices
- 4/6 - Bowl For Kids Sake MC @bowling alley
- 4/8 - Len Lambert teleconf, Mark Bryan conversation
- 4/9 - Dirk phone conversation
- 4/10 - UW webinar, Hunger discussion @ Food Bank bldg
- 4/12 - Dirk phone conversation
- 4/15 - Dirk phone conversation
- 4/16 - Rotary Baranof Hotel
- 4/18 - Wells Advisory board meeting, Lunch w/John Williams, United Way Board meeting

Worked on following tasks –

- Hunger discussion
- United Human Services building lease and layout discussions
- Accounting services contractor discussions and preparations
- 2013 Strategic Plan development
- Mission, Vision, Values, Core Values, Strategic plan process
- Regional expansion
- Matrix and Attributes form
- United Way Worldwide reporting requirements for membership certification
- Database conversion planning for shift from GiftWorks to ANDAR