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United Way of Lake and Sumter Counties, Inc. (UWLS) is a voluntary, non-profit organization, which emphasizes broad citizen involvement and seeks to provide financial, volunteer and professional resources to effectively and efficiently meet human needs in Lake and Sumter Counties. United Way exists because of the spirit of volunteerism.

Hundreds of volunteers representing our communities give their time to raise funds for United Way agency services, to plan to meet changing community needs, and to coordinate collaborative community services that will improve the quality of lives in our community. You are now part of a team of people working to make our communities stronger and better places to live.

We see a lot of people and a lot of people see us. How we feel about our work, how we perform our tasks and how we deal with people influence the public's feeling toward United Way. United Way's job of assisting volunteers, agencies and helping meet human and health needs is important and worthwhile. We are pleased that you have joined our United Way of Lake and Sumter Counties team in helping us to build a stronger community and to bring out the best in our community.
INTRODUCTION

Any organization of people needs certain guiding policies, standards, and principles to operate in an orderly manner. This manual has been prepared to inform you about our United Way organization and how it operates. You will also want to know more about the business principles of our organization and the rights and benefits you are entitled to as a Board member, employee or volunteer of UWLS.

This Official Policy Manual is intended to be the basic guideline governing the regular activities of United Way Board members, employees and volunteers. UWLS reserves the right to alter the conditions of this document as necessary and as determined by the needs of the organization.

These policies, standards, and principles were developed to insure consistent Board approved practices that allow for some flexibility. Compliance with the policies contained in this manual is imperative in order to maintain consistency of operation. Any deviation from these procedures must be approved by the Board. If you have questions about anything in the manual, please contact the PRESIDENT/CEO or the Board Chairman immediately for clarification and/or explanation.

It is your responsibility to know and to adhere to the policies, standards and principles set forth in this manual. No Board member, employee or volunteer shall be penalized or discriminated against in any way for having requested consideration of the application of these policies or for having registered a complaint or grievance in accordance with the procedures outlined in this manual.

It should be remembered that UWLS is a small organization. Therefore, flexibility, initiative and willingness to be a "team player" are some of the characteristics important to all positions at UWLS.
SECTION A

(Applicable to all Board Members & Staff)

MISSION STATEMENT

VISION STATEMENT

BYLAWS
MISSION STATEMENT

To inspire long-term social change by impacting the building blocks of Education, Income, Health and Basic Needs.

VISION STATEMENT

United Way of Lake and Sumter Counties envisions a community united to create better opportunities for all.
AMENDED AND RESTATED

BY-LAWS

OF UNITED WAY OF LAKE AND SUMTER COUNTIES, INC.

ARTICLE I. GENERAL

Section 1. Name. The name of the Corporation shall be United Way of Lake and Sumter Counties, Inc., herein referred to as the “United Way” or the “Corporation.”

Section 2. Address. The address of the Corporation is: 32644 Blossom Lane, Leesburg, Florida 34788.

Section 3. Statement of Incorporation. This United Way is qualified as a tax-exempt, not-for-profit corporation as defined by Chapter 617 of the Florida Statutes and Section 501(c)(3) of the Internal Revenue Code. This United Way shall serve the communities of Lake and Sumter Counties.

Section 4. Registered Agent. The Corporation’s registered agent is the President and Chief Executive Officer. In the event the President resigns, is removed or is disabled, the Board of Directors shall appoint a registered agent until a new President is selected or the President is able to resume duties.

Section 5. Members. The Corporation shall have no members. All voting shall be done by the Board of Directors.

Section 6. Perpetuation. The Corporation shall exist in perpetuity.

Section 7. Fiscal Year. The fiscal year for this Corporation shall begin on January 1st and end on December 31st.

ARTICLE II. PURPOSE

Section 1. Purpose.

The Corporation is organized and shall be operated exclusively for the benefit of the people of Lake and Sumter Counties, Florida by furthering the provision of human services throughout the two Counties. The purpose of the United Way of Lake and Sumter Counties, Inc. is to provide leadership, resources, and focus to create deep and lasting change by addressing the three components that are the foundation of successful lives and thriving communities: education, income and health. The components of which are as follows:

a. To assess in a continuing basis the needs for education and social programs, seek solutions to education and social programs, and assist in the development of new or
the expansion or modification of existing education and social service programs.
b. To develop, maintain, and grow relationships with individuals and organizations in order to attract and sustain resources to support United Way’s mission, and in doing so, garner trust, legitimacy, and support from the local community and the United Way system.
c. To develop as fully as possible the financial support resources –both governmental and voluntary- needed to meet the human services needs of the community and to make a measurable difference in the lives of people in Lake and Sumter Counties.
d. To develop strategies that will achieve measurable and lasting change in community conditions, mobilize resources, and support from the community and put them to work to produce positive results and improve lives.
e. To provide efficient and cost effective systems, policies, and processes that enable the delivery of United Way’s mission related work and ensure the highest levels of transparency and accountability.

Section 2. Limitations on Purpose. Nothing herein shall authorize this Corporation, directly or indirectly, to engage in or include among its purposes, any of the activities prohibited in the Florida Statutes. This Corporation shall not participate in, or intervene in (including the publishing or distributing of statements), any political campaign on behalf of any candidate for public office or attempt to influence any legislation.

Section 3. Private Benefit Prohibited. No part of the net earnings of this Corporation shall inure to the benefit of any Director of the Board or any individual employed by the Board. The property of this Corporation is dedicated to charitable purposes and upon liquidation, dissolution or abandonment of the owner, after providing for the debts and obligations thereof, the remaining assets will not inure to the benefit of any private person, but will be distributed to a non-profit fund, foundation or organization which is organized and operated exclusively for charitable purposes and which has established its tax-exempt status under Sections 501(c) (3) and 509 (a) (1), (2) or (3) of the Internal Revenue Code of 1954, or the successors thereto.

ARTICLE III. BOARD OF DIRECTORS

Section 1. Authority/Powers and Duties. All corporate powers shall be exercised by and under the authority of, and the business and affairs of the Corporation shall be managed under the direction of, the Board of Directors (the “Board”).

The duties of the Board shall be to manage the affairs of this Corporation, including the following:

A. To solicit funds and resources for the delivery of education and human services programs throughout Lake and Sumter Counties and distribute such funds and resources.

B. To elect officers of the Corporation and the Board.
C. To **employ and supervise the President** to carry out the policies and purposes of the Corporation.

D. To **adopt rules, regulations, and policies** consistent with the mission of the Corporation.

E. To approve the **establishment of the Standing or Special Committees** and to serve upon such committees as appointed, and to take all steps to insure the committees are carrying out of the purposes of the Corporation.

F. To determine and approve, upon recommendation of the Community Investment Committee, the **allocation of United Way resources**.

G. To **fill any vacancies** that may occur on the Board between Annual Meetings.

H. To **engage certified public accounting services** to conduct an **annual audit** of this Corporation’s financial statement and prepare the IRS Form 990 Tax Return.

I. To **report at the Annual Meeting/Annual Report** the activities of this Corporation.

J. To review and approve the **annual budget** of the Corporation.

**Section 2. Composition and Size.** The Board members must be volunteers, at least 18 years of age, and residents or employed persons of this Corporation’s service area. The Board shall consist of no fewer than fifteen (15) voting members and no more than thirty (30) voting members, as determined by the Board.

**Section 3. Terms.** The term of office for Board members elected shall be three (3) years. Board members may not be elected to more than two (2) consecutive three-year terms; however, persons serving in the following capacity are permitted to continue to serve as Board members after serving two consecutive three year terms: The Chair of the Board (the “Chair”); the Chair-Elect of the Board (the “Chair-Elect”); the Immediate Past Chair of the Campaign: and the Chairs of the Standing Committees of the Board.

**Section 4. Elections.** The Leadership Development Committee will submit a slate of candidates to the Board for election at the Annual Meeting at the previous regular meeting of the Board. The Leadership Development Committee will also nominate individuals from its members who are to serve in the following capacities in addition to their role on the Board: Chair, Vice-Chair, Secretary, Treasurer, and the Chairs of the Standing Committees.

**Section 5. Attendance.** Any member of the Board who shall be absent from two (2) consecutive meetings, or more than twenty-five (25%) percent of the meetings of the Board shall be automatically terminated as a Board member. However, the Committee may excuse such absences and in such event, the membership shall not be terminated. Notice of such termination shall be given in writing to the Director from the Chair within 30 days of the decision.

**Section 6. Vacancies.** Any director may resign from the Board of this Corporation at any time by delivering a resignation letter to the Chair, the Board or Corporation. Resignations of Directors shall become effective immediately or on the date specified in the written notice of resignation.
resignation. Interim vacancies shall be filled by the Board, upon recommendation of the Leadership Development Committee at any regular or special meeting and shall serve until the next annual meeting, at which time they shall be eligible for election for a full three (3) year term.

Section 7. Removal of Directors. The Board is empowered to remove any Director with or without cause. Prior to removal of any Director, a written request for removal shall be submitted by a Director to the Leadership Development Committee for their review. The Leadership Development Committee shall review the request, and undertake an investigation as required in order to submit a full and complete report to the Board. A two-thirds vote of the entire Board of Directors shall be required to remove a Director. This section does not apply to Directors who are removed under Article III, Section 5. Attendance. Notice of such termination shall be given in writing to the Director from the Chair within 30 days of the decision.

Section 8. Fees & Compensation. No member of the Board shall receive any salary of compensation for his/her service as a Director, nor shall any Director be a paid executive or paid staff member of an agency having an agreement with the United Way. No purchase of services or goods from a Director or his/her firm shall be authorized.

Section 9. Conflicts of Interest. Each Director shall comply with the Conflict of Interest Policy and sign such policy annually to certify compliance.

Section 10. Code of Ethics. The Code of Ethics reaffirms and sets forth the principles and standards that guide decisions and actions. All Directors shall sign an annual pledge to support the Code of Ethics.
ARTICLE IV. MEETINGS

Section 1. Regular Meetings. The Board shall hold a minimum of six (6) regular meetings each year, at least one of which shall be held in each quarter of the fiscal year. One regular meeting is the Annual Meeting.

Section 2. Special Meetings. Special meetings of the Board or the Executive committee may be called at any time by the Chair or President or by written request of any five (5) members of the Board. Notice of Special Meetings shall be given to each Director, at least, 24 hours in advance.

Section 3. Quorum. Fifty (50%) of the members of the Board plus one shall constitute a quorum. No voting by proxy is permitted. Board Directors may participate in a meeting of the Board by means of a telephone conference or similar communications equipment through which all persons participating may simultaneously hear each other during the meeting; participation by these means constitutes presence at the meeting.

Section 4. Notices. A written notice of the regular meeting shall be mailed or emailed, or both, to each Director not less than one (1) week before the date set for such meeting. Notices of Special Meetings shall include the date, time, place and purpose of the meeting.

Section 5. Place of Meetings. The Directors shall hold their meetings in such places as the Board may from time to time determine.

Section 6. The Annual Meeting. The Annual Meeting of the Corporation shall be held during the last quarter of the fiscal year for the purpose of: electing Directors; reviewing and adopting any amendments to the By-Laws; electing the Officers of the Board; approving the letter of engagement to retain the services of the external auditor for the year; approving the yearly budget and any other business as may come before the meeting.

ARTICLE V. OFFICERS

Section 1. Composition, Elections and Terms. The Officers of the Corporation shall be:

- Chair
- Chair-Elect
- Secretary
- Treasurer
- Immediate Past Chair
- President

All Officers shall be elected for one two (2) year term and may serve a maximum of two successive two-year terms. The Immediate Past Chairperson shall serve as an Officer for the year immediately following his/her service as Chairperson. To be eligible for nomination for Chair position, a director must have served a minimum one (1) year term as an officer. Chair
and Immediate Past Chairperson are exempt from maximum director term of six years during service.

Section 2. Positions and Duties of the Officers.

Chair: The Chair shall preside at all meetings of the Board, the Executive Committee, and the Annual Meeting; appoint the Chairs of all committees unless otherwise directed by action of the Board; and call special meetings whenever he/she deems it necessary or as outlined in these By-Laws. The Chair shall be an ex-officio member of all Committees. The Chair’s term shall be one (2)-year term and he/she may not serve more than two (2) consecutive terms.

Chair-Elect: The Chair-Elect shall assume the office of Chair by election or appointment upon the retirement of the Chair or in the event of a vacancy occurring in the office of the Chair and shall hold office for the period of one (1) year or the unexpired term caused by a vacancy, and shall perform the duties of the Chair in the event of his/he absence, resignation, or inability to perform the duties of the office.

Secretary: The Secretary shall oversee the records and minutes of all Board proceedings, including the giving of appropriate notices of meetings, attendance records and shall perform all other duties as directed by the Chair. The Secretary may delegate recording and other ministerial duties to employees of the

Treasurer: The Treasurer shall provide the management of the Corporation with advice as to financial operations of the Corporation. The Treasurer shall ensure the presentation and accuracy of monthly financial statements to the Board and provide any additional financial reports at the direction of the Board. The Treasurer shall serve as Chair of the Finance/Audit/Investment Committee. The Treasurer shall, along with the Chair and President, be a signatory on all the corporate accounts (banking and investment).

Immediate Past Chairperson: The Immediate Past Chair shall advise the Chair and shall perform such functions as determined by the Chair. Shall serve as a member of the Executive Committee.

President: The President is employed as the Chief Executive Officer of the Corporation and shall be responsible for the general and active management of the business and affairs of the Corporation, subject to the direction of the Board. The President shall be responsible for the implementation of all orders, votes, and resolutions of the Board. The President:

A. Shall employ and/or discharge such staff, in accordance with the personnel policies and procedures of the Corporation.
B. Carry out the plans, policies, and procedures approved and authorized by the Board.
C. Exercise and perform such other powers and duties as may be assigned to him/her by the Board.
Section 3. Presiding. The Chair, or in his/her absence, the Chair-Elect or another Chair selected by the Board, shall preside at all meetings of the Board.

ARTICLE VI. CONTRACTS, CHECKS, LOANS, DEPOSITS, GIFTS AND REPORTS

Section 1. Contracts. The Board may authorize an Officer to enter into any contract or execute and deliver any instrument in the name of and on behalf of the Corporation, and such authority may be general or confined to specific instances. A general authorization shall continue until terminated by the Board.

Section 2. Checks and Drafts. All checks, drafts, or orders for payment of money, notes or other evidences of indebtedness issued in the name of the Corporation shall be signed by an Officer or Officers, agent or agents of the Corporation, and in such manner, as shall from time to time be determined by the Board. The Board may authorize a member of management staff of the Corporation to sign checks, not to exceed the dollar amount of $2,500.00.

Section 3. Loans. No loans shall be contracted on behalf of the Corporation and no evidence of indebtedness shall be issued in the name of the Corporation unless authorized by a resolution of the Board. Such authorization should be confined to specific instances. The Corporation shall make no loans to Directors or Officers or employees.

Section 4. Deposits. All funds of the Corporation shall be deposited in a timely manner to the credit of the Corporation in accounts such as banks, savings, trust companies, mutual funds or other entities as the Board may approve.

Section 5. Gifts. The Board of Directors may accept on behalf of the Corporation any contribution, gift, grant, bequest, or device for the general purposes of the Corporation or for any special purpose of the Corporation.

Section 6. Books and Records. The Corporation shall keep correct and complete books and records of all accounts and shall keep minutes of the proceedings of the Board. The Corporation shall keep, at its registered office, a list of its partner organizations by name and address.

Section 6. Annual Report. The Corporation shall meet all reporting requirements as prescribed by Florida Statutes for charitable solicitations involving not-for-profit organizations.
ARTICLE VII. COMMITTEES

Section 1. Executive Committee. The Executive Committee is responsible for the general operations and decisions not requiring Board approval. The Executive Committee shall have and exercise all the powers of the Board of Directors subject to such limitations as the law of the State of Florida or resolutions of the Board may impose from time to time. The Executive Committee shall review the By-Laws and all other Corporation policies and procedures at a minimum of every two (2) years.

Main duties include: oversee all the operations of the Board; may function in place of the Board between meetings of that body, but any action shall be communicated to the Board at the meeting following the date of such action.

The Executive Committee is responsible for the regular performance review and salary administration of the President/Chief Executive Officer and shall recommend for approval by the Board the terms of employment of the President.

It is comprised of the Board Chair, the Officers of the Corporation and the Chairperson of each Standing Committee by invitation of the Board Chair. The Executive Committee shall meet at least 4/5 times per fiscal year. Staff Support is the President/Chief Executive Officer.

Section 2. Leadership Development Committee. The Leadership Development Committee is responsible for the general affairs of the board. Duties usually include some or all of the following responsibilities:

- Ensure effective board processes, structures and roles, including retreat planning, committee development, and board evaluation.
- To develop priorities for board composition.
- To meet with prospective board members and recommend candidates to the Board.
- To recommend a slate of officers to the Board.
- To conduct orientation sessions for new board members and to organize training sessions for the entire board, and,
- To suggest new, non-board individuals for committee membership.

It is composed of the Leadership Development Committee Chair and at least four other Board members and key staff members. Meets as necessary, at least 2 times a year. Leadership Development Committee Chair reports at regular Board meetings. Support is the President/Chief Executive Officer.

Section 3. Community Investment Committee. The Community Investment Committee shall guide the process in determining recommendations to the Board on the increase or decrease of budgets for United Way Board approved programs and services to be submitted annually for Board approval. The Committee shall evaluate and recommend to the Board on all matters pertaining the certification and admission of agencies to the programs and projects approved by the Board. Duties usually include some or all of the following responsibilities:

- To oversee United Way community programs and services and make recommendations to include or eliminate programs or services.
• To facilitate discussions about program priorities for the organization.
• To initiate and guide program evaluations.
• To oversee new program development, and to monitor and assess existing programs.

It is composed of the Community Investment Committee Chair, at least 3 other Board members and community members who are most familiar with the approaches and operations of the organization's programs. Meets 4/5 times a year, and prior to regular Board committee meetings. Committee Chair reports at regular committee meetings. Staff support: Community Investment Director

Section 4. Resource Development Committee. The Resource Development Committee shall be responsible for overseeing the organization's overall fundraising and marketing plans, in particular, the fundraising done by the Board. To accomplish this, its responsibilities are:

• To work with staff to establish a resource development plan that incorporates a series of appropriate vehicles, such as special events, direct mail, product sales, etc.
• Oversees development and implementation of the communications and marketing plan, including identifying potential markets, their needs, how to meet those needs with products/services/programs, and how to promote/sell the programs
• To work with the resource development staff and President to support their efforts to raise funds and communicate with donors.
• To take the lead in certain types of outreach efforts, such as chairing a dinner/anniversary celebration, or hosting fundraising parties, etc.
• To be responsible for involvement of all board members in fundraising, such as having board members make telephone calls to ask for support,
• To monitor fundraising efforts to be sure that ethical practices are in place, that donors are acknowledged appropriately, and that fundraising efforts are cost-effective.
• To recruit a Leadership Giving Committee for all matters relating to the planning of the annual leadership campaign, which solicits individual gifts of $1,000.00 and all other leadership giving groups.
• Represents the organization to the community; enhances the organization's image, including communications with the press.
• Oversees the creation of a volunteer program and the creation of a Community Volunteer Center.

It is composed of the Resource Development Chair, at least 3 other Board members and community members who are most familiar with the fundraising and volunteer activities in the community. Meets 4/5 times a year, and prior to regular Board committee meetings. Resource Development Committee Chair reports at regular committee meetings. Staff support: Resource Development Director

Section 5. Finance/Audit/Investment Committee. The Finance/Audit/Investment Committee shall advise the President, Executive Committee and the Board concerning the financial affairs and investments of the Corporation. The Finance/Audit/Investment Committee shall be committed to good stewardship and actively building and preserving the financial resources necessary to support the accomplishment of its mission, both for the short-term and the long-term.

The Finance/Audit/Investment Committee tasks are:
• To review budgets initially prepared by staff, to help develop appropriate procedures for budget preparations (such as meaningful involvement by program directors), and on a consistency between the budget and the organization's plans.
• To report to the Board any financial irregularities, concerns, opportunities.
• To recommend financial guidelines to the Board (such as to establish a reserve fund or to obtain a line of credit for a specified amount).
• To work with staff to design financial reports and ensure that reports are accurate and timely.
• To oversee short and long-term investments, unless there is a separate investments committee.
• To recommend selection of the auditor, oversee the internal audit function and work with the auditor relating to internal controls, unless there is a separate audit committee.
• To advise the President and other appropriate staff on financial priorities and information systems.
• To review all grants and donations for accurate designations and compliance with donors and budget commitments.
• To guide development, review and Board approval of personnel policies and procedures, review job descriptions, establish a salary structure, and annually review staff salaries, and the benefits package.

The Finance/Audit/Investment Committee is chaired by the Treasurer, at least other 3 Board members and community members who are most familiar with the accounting, finances and audits for non-profits. Shall meet at least 4/5 times a year, prior to regular Board committee meetings. Finance Committee Chair reports at regular Board meetings. Staff support: Finance Department.

Section 6. Other Committees and Task Forces. Additional committees may be convened at the request of the Executive Committee that may be necessary or useful in conducting the affairs of the Corporation. Each committee shall consist of such number of persons, as the Board deems advisable. All committees shall be subject to approval of the Board.

ARTICLE VIII. EMPLOYEES

This Corporation may have such agents and employees, as shall be determined from time to time by the Board.

ARTICLE IX. INDEMNIFICATION OF DIRECTORS AND OFFICERS

Section 1. Indemnification. The Corporation shall indemnify Directors, Officers, employees or agents of the Corporation to the full extent permitted by the indemnification provisions of Section 617 of the Florida Not For Profit Corporation Act, as it may be amended from time to time. All of the rights, powers, and limitations of indemnification provided under Section 617 are incorporated by reference as part of these Bylaws.
Section 2. Liability Insurance. The Corporation is authorized to purchase and maintain insurance for indemnification of any person as provided in these Bylaws and to the extent provided in Section 617 of the Florida Statutes.

Furthermore, by action of the Board, notwithstanding any interest of the Directors in this action, the Corporation shall purchase and maintain Directors’ and Officers’ Liability Insurance, in such amounts as the Board of Directors deems appropriate, on behalf of any person who is a Director, Committee member, or Officer of the Corporation against any liability asserted him/her and incurred by his/her in any such capacity, or arising out of his/her status as such, whether or not the Corporation would have the power or would be required to indemnify him/her against such liability under the provision of this Article or the Laws of the State of Florida.

Section 3. Bonds. The President and members of the staff designated by the Board shall be covered individually and collectively by a bond. Bonds shall be issued through an approved indemnity company and the Corporation shall pay the cost of that bond.
ARTICLE X. AUDIT

The financial affairs and accounts of this Corporation shall be audited independently annually by a certified public accountant. Upon completion of the audit, the audit and any management letter in connection with it shall be received by the Finance/Audit Committee and distributed to the Board within 30 days.

ARTICLE XI. NON-DISCRIMINATION

The Directors, Officers, funded partners, committee members, employees of, and people served by this Corporation, shall be selected on a non-discriminatory basis without regard to race, religion, national origin, disability, sexual orientation, age, gender, or veteran status.

ARTICLE XII. SEAL

The seal of this Corporation shall be circular in form and shall bear the name of the Corporation, the word “Florida” and year of its Corporation.

ARTICLE XIII. AMENDMENTS

These Bylaws may be altered, amended or repealed by a two-thirds (2/3) vote of the entire Board of Directors at a duly noticed Regular or Special Meeting of the Board, provided that written notice of the amendment and its contents shall have been mailed or emailed, or both to each Director at least seven (7) days prior to the meeting.

I hereby certify that the foregoing Amended and Restated Bylaws of United Way of Lake and Sumter Counties, Inc. were duly adopted by the Board of Directors of the Corporation on the 10th day of June, 2015.

____________________
Gary Nichols, Secretary

1 UWLS Board approval of Restated Bylaws of UWLS found in June 10, 2015, Board Minutes, and minutes subsequently approved in October 14, 2015, Board of Directors meeting.
SECTION B

CORE VALUES & CODE OF ETHICS
(Applicable to Board Members, Staff, Volunteers & Representatives)

CORE VALUES

INTEGRITY IMPACT

VOLUNTEERISM

INCLUSIVENESS

COMMUNITY LEADERSHIP

CODE OF ETHICS

PERSONAL & PROFESSIONAL INTEGRITY

ACCOUNTABILITY

SOLICITATION & VOLUNTARY GIVING

DIVERSITY & EQUAL OPPORTUNITY

CONFLICT OF INTEREST

UWLS VOLUNTEERS

CONFIDENTIALITY & PRIVACY

POLITICAL CONTRIBUTIONS

GUIDANCE & DISCLOSURE

CODE OF ETHICS EXAMPLES
CORE VALUES

A role of the United Way of Lake and Sumter Counties (UWLS) is to increase the organized capacity of all People in Lake and Sumter Counties to improve our quality of life by being accountable to one another. This critical role requires that all of UWLS Board members, staff, volunteers and representatives who foster such essential public good must assume the responsibility of earning public trust.

Accordingly, UWLS plays a unique role both as a leader in the health and human services sector and as a major resource to partner agencies to build trust through all that we do. This bond of trust goes far beyond legal or regulatory requirements to include our core values, and ethics. To fulfill this special obligation, five core values provide the foundation on which we base our actions and decisions:

INTEGRITY: We act with integrity that inspires the highest truth. We therefore:
- Stand as "one" in the relentless pursuit of instilling and promoting public confidence and trust.
- Maintain the highest standards of excellence and accountability, including prudent use of finances, and fair, accurate and honest disclosures of information.
- Keep our promises. People know that "United Way makes my caring count."

IMPACT: We make a positive difference and have a measurable impact of enduring consequence. We therefore:
- Make a difference in our community and change lives through our efforts.
- Are committed to a United Way that is relevant to its people, its community and the times.
- Assume responsibility as good stewards and are accountable for our work and sustainable results.

VOLUNTEERISM: We have impact and are made relevant through the spirit of volunteerism. We therefore:
- Are outstanding in the way that we invite volunteers to express their philanthropic beliefs (expression of one's "love of humanity").
- Believe that the most effective models of service and excellence are created through the leadership of volunteers.
- Encourage volunteer participation.

INCLUSIVENESS: We are strong only when we are inclusive. We therefore:
- Aspire to involve every segment of the community in every aspect of our work.
- Act in ways that respect the dignity, uniqueness, and intrinsic worth of every person, the community, the donors, our own Board members, staff, volunteers and representatives.
- Believe in a movement built from the rich diversity and gifts of all people in all systems.
COMMUNITY LEADERSHIP: We provide leadership for community building to be a catalyst for positive change. We therefore:

- Are effective educators and facilitators bringing all segments of the community together to promote individual wellbeing and common good.
- Are leaders of a process that multiplies the impact of people's innate desire and capacity to care for one another.
- Help transform visions of compassion and giving into dynamic reality.
CODE OF ETHICS

United Way of Lake and Sumter Counties (UWLS) is committed to the highest ethical standards. Based on the unique trust placed in UWLS to serve the public good, we have a special obligation to act ethically. The Code of Ethics is based on our mission and guided by our fundamental core values: Integrity, Impact, Volunteerism, Inclusiveness and Leadership.

The success of the United Way system and our reputation depend upon the ethical conduct of everyone affiliated with our organization. Board members, volunteers, staff and representatives set an example for each other and for partner agencies, by their pursuit of excellence in high standards of performance, professionalism and ethical conduct.

We are mindful that these 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 values into actual practice. While no document can anticipate all of the challenges that may arise, the Code of Ethics values communicate key guidelines and will assist UWLS Board members, staff, volunteers and representatives in making good decisions that are ethical and in accordance with applicable legal requirements.

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

- Strive to meet the highest standards of performance, quality, service and achievement in working towards the UWLS 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.

ACCOUNTABILITY: UWLS is responsible to its stakeholders, which include partner agencies, donors and others in the community who have placed faith in UWLS. To uphold this trust we:

- Promote good stewardship of UWLS resources, including donations, grants and other contributions that are used to pay for community program services, fundraising expenses and operating expenses.
- Refrain from using organizational resources for non-UWLS purposes.
- Observe and comply with all laws and regulations affecting UWLS as a non-profit entity.

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

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

**DIVERSITY & EQUAL OPPORTUNITY:** UWLS is an equal opportunity employer and is committed to the principle of diversity. We therefore:

- Value, champion and embrace diversity in all aspects of UWLS activities and respect others without regard to race, color, religion, creed, age, gender, national origin or ancestry, marital status, veteran status, sexual orientation or status as a qualified disabled or handicapped individual.
- Support affirmative action and equal opportunity programs.
- Refuse to engage in or tolerate in any form of discrimination or harassment.

**CONFLICTS OF INTEREST:** To avoid any conflict of interest or the appearance of a conflict of interest which could tarnish the reputation of UWLS or undermine the public’s trust, UWLS Board members, staff, volunteers, and representatives should:

- Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of UWLS, including involvement with a current or potential UWLS vendor, grantee or competing organization unless disclosed to and deemed to be appropriate by the decision-making body who will take the matter to the Board.
- Ensure that outside employment and other activities do not adversely affect the performance of their UWLS duties or the achievement of UWLS’s mission.
- Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of UWLS and not for personal gain or interest.
- Decline any gift, gratuity or favor in the performance of UWLS duties except for promotional items of nominal value (under $25). Declines the offer of any food, transportation, lodging or entertainment unless directly related to UWLS business.
- 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 might give the appearance of partiality.

**UWLS VOLUNTEERS:**

- Should not knowingly take any action or make any statement intended to influence the conduct of UWLS 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.
- Should disclose all known conflicts or potential conflicts of interest in any matter to the PRESIDENT/CEO or Board Chair who will take the matter to the Executive Committee or Board. Board members will make their disclosure to the Board, or to the chair of any committee upon which they serve. They will withdraw from the meeting room during any discussion, review and voting in connection with such matter.

**CONFIDENTIALITY & PRIVACY:** Confidentiality is a hallmark of professionalism. Therefore, we should:

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

- Respect the privacy rights of all individuals in the performance of their UWLS duties.

**POLITICAL CONTRIBUTIONS:** UWLS encourages individual participation in civic affairs. However, as a charitable organization, UWLS may not make contributions to any candidate for public office or political committee and may not intervene in any political campaign on behalf of or in opposition to any candidate for public office. We therefore:

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

**GUIDANCE & DISCLOSURE:** Board members, staff, volunteers and representatives are encouraged to seek guidance from the Executive Committee concerning the interpretation or application of this Code of Ethics. Any known or possible breaches of the Code of Ethics should be disclosed. Reports of possible breaches will be handled in the following manner:

- All reports of possible breaches will be treated in confidence to the extent that the organization's duty to investigate and the law will allow. If confidentiality cannot be maintained, the individual disclosing the possible breach will be notified.
- All reported breaches will be investigated and, if needed, appropriate action taken based upon the policies of the organization.
- Retaliation against a person who suspects, and in good faith, reports a breach will itself be treated as a separate breach of the Code.
- UWLS affirms prompt and fair resolution of all reported breaches.
CERTIFICATION

I have read and understand the United Way of Lake & Sumter Counties, Inc. Code of Ethics and will comply with its provisions as applicable.

______________________________  _________________________
Signature                             Date

______________________________
Print/Type Name
CODE OF ETHICS EXAMPLES

These examples are provided to illustrate how provisions of the Code of Ethics may be applied under certain circumstances. The outcome of any particular situation depends on the facts presented and the language of the Code of Ethics.

HARASSMENT

Situation: Dan is continually teased by his younger co-workers for being an "old geezer" who is out of touch and unable to keep up with the pace of the office.

Solution: This could be considered harassment and is, at least, contrary to maintaining a positive work environment. Joe should tell his co-workers that their behavior is unwelcome and ask them to stop. If it continues, he should bring it to the attention of the PRESIDENT/CEO.

CONFLICT OF INTEREST

Situation: A firm that your father owns is interested in bidding on a contract to supply goods to UWLS.

Solution: You must notify the PRESIDENT/CEO. It is important to avoid even the appearance of conflict of interest or favoritism, especially in situations that could appear to benefit you or your family. However, as long as you do not participate in, are removed from the decision making process, and have no influence in the awarding of the contract, he will likely be allowed to submit a bid.

Situation: While at a conference you bump into a representative from a hotel who learns you are planning UWLS's next conference. He invites you to dinner and then offers you tickets for you and your spouse to attend the theater.

Solution: This could be considered a conflict of interest. You should decline any gift or entertainment that exceeds a nominal value of $25.00. Similarly, you should not offer any entertainment or gift to a potential donor or supplier that could be interpreted as attempting to influence their decision regarding UWLS.

SOLICITATION

Situation: Your daughter is in the school band and at your previous job you sold gift wrapping paper for her to your colleagues at work. Can you do that here at UWLS?

Solution: Solicitations are permitted at UWLS provided prior approval is obtained from the PRESIDENT/CEO. However, solicitations should be done in such a manner to avoid coercion, whether real or implied, and also to avoid conducting personal business during working time. You should not directly solicit members of the staff over whom you exercise supervisory authority. However, you may solicit in a manner which is non-personal such as posting your request on a bulletin board.
NEPOTISM & FAVORITISM

**Situation:** Your sister-in-law is graduating at the top of her class from college this spring. You think she would be a great asset to your department at UWLS.

**Solution:** Favoritism based on family or close personal relationships are unfair to other employees. The appearance that this is favoritism is understandable, even when such situations are harmless. To avoid such an appearance, UWLS employees may not supervise or exercise management authority, directly or indirectly, over staff with whom they have a relationship that may adversely affect impartiality. While it may seem like a mutually beneficial situation to bring your sister-in-law into your department, this may create an awkward or unfair situation for co-workers or other potential employees.

CONFIDENTIALITY

**Situation:** A reporter from a local newspaper calls you and asks you for your comments concerning UWLS's new fundraising strategy towards its largest donors.

**Solution:** Although you may want to be helpful, it is important that you do not give out potentially proprietary or confidential information. For your protection and that of the organization, it is necessary that you refer the call to the PRESIDENT/CEO.

POLITICAL CONTRIBUTIONS

**Situation:** I serve on the UWLS Board. I would like to make a personal donation to my Congressman. Is this something I can do under UWLS's political contribution policy?

**Solution:** UWLS, as a charitable corporation, cannot legally make political contributions. There is no legal restriction on our volunteer, staff or other representatives. However, in making contributions in an individual capacity, volunteers, staff and representatives should refrain from actions or representations which may imply or create the appearance that the contribution is on behalf of UWLS, such as using of UWLS stationary, name or logo.
SECTION C

GENERAL ORGANIZATIONAL POLICIES

(Applicable to all Board Members, Staff, Volunteers & Representatives)

DISASTER PREPAREDNESS PLAN
HUMAN RELATIONS
NON-DISCRIMINATION
HARASSMENT
CONFIDENTIALITY & PRIVACY
CONFLICTS OF INTEREST
POLITICAL ACTIVITIES
ACCEPTANCE OF GIFTS
LIABILITY INSURANCE & LEGAL COUNSEL
PROFESSIONAL BEHAVIOR
UWLS SPOKESPERSON
DRUG & ALCOHOL
SMOKE-FREE ENVIRONMENT
REPORT OF INJURIES
TELEPHONE & INTERNET USE

ATTACHMENT: 1. Conflict of Interest Statement
             2. Gift Acceptance Policy
United Way of Lake & Sumter Counties

Disaster Preparedness Plan

Revised September 2018
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<th>Item</th>
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<td>Emergency Contact List</td>
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<td>Necessary Supplies</td>
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<td>Disaster Definitions</td>
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<td>Procedures for Internal Disasters</td>
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<td>Recovery Plan</td>
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32644 Administration Building Escape Route Plan

UWLS Disaster Plan
This document lays out a plan to protect the employees of United Way of Lake and Sumter Counties, Inc. (UWLS), its assets, partners and funders in the event that a disaster strikes the area or physical premises of UWLS. This Disaster Plan will be referred to in this document as The Plan. This document will outline the preparations that should occur before a forecasted disaster strikes in order to lessen the loss of property and down time following the disaster. Addressed will be plans for preparation when a possible disaster becomes imminent and plans for securing physical assets, staff and their families during and after such a crisis. The Plan will also address actions to be taken in the event of a crisis or disaster occurring that was not predicted or announced in advance. The Plan will address the responsibilities of each employee in reacting to individual disasters and also the UWLS responsibility to its employees, nonprofit partners, and the communities we serve.

The first step in disaster planning is preparation. Part of that preparation is designating a chain of command and a Person in Charge (PIC). At UWLS for all Disasters, Internal or External, the PIC chain of command shall be: PRESIDENT/CEO, VP, Community Impact Dir., or other as assigned by the PRESIDENT/CEO.

Document security is another important step in preparation. In most cases, document originals of the items listed below are stored in either a fireproof safe on premises or in a bank safety deposit box. Copies are stored on the premises in either a fire proof safe and/or an onsite server.

Below is a list of the important documents and the location or locations in which they are stored.

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<tr>
<th>Document</th>
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<th>Onsite Server</th>
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Insurance Policies

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Employee Records

Employee names, home addresses, phone numbers, email addresses and emergency contact information are stored as part of the employee’s Records but do not appear in this document.

Critical Contact Information should be updated in the first week of July and first week of January every year and when any change in personnel occurs.

Financial Information

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<td>Phone, fax, email:</td>
<td>☑</td>
<td>☑</td>
</tr>
<tr>
<td>Authorized check signers:</td>
<td>PRESIDENT/CEO and Board Chair</td>
<td></td>
</tr>
<tr>
<td>Authorized to make transfers:</td>
<td>PRESIDENT/CEO and Board Chair</td>
<td></td>
</tr>
</tbody>
</table>

Client Communication Plan: ☑ ☑

The PIC should have the contact information on all clients and they should have the PIC contact information so they can get updates on the condition of UWLS in the event of a major crises.

Computers & Technology

<table>
<thead>
<tr>
<th>Onsite</th>
<th>Onsite</th>
<th>Offsite</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fire Proof Safe</td>
<td>Server</td>
<td>Safety Deposit Box</td>
</tr>
<tr>
<td>☑</td>
<td>☑</td>
<td></td>
</tr>
</tbody>
</table>

1. A document that lists every piece of hardware that would need to be replaced if damaged or destroyed. Include the make, and model as well as the serial number. Also, all printers and other peripherals (scanner, zip drives, etc.). Also document all other technology equipment, i.e., phones, faxes, pagers, cell phones, etc.

2. A document listing the software being used. One way to create this documentation, computer by computer, is to go online to www.belarc.com and run the Belarc Advisor that builds a detailed profile of the installed software and hardware and displays the results in your web browser (for Windows computers only).

3. Name and contact info on the company that provides our website hosting.

4. A document with all passwords needed to access all files and data, offsite storage and all individual computers on the premises.
Agency contact information:

<table>
<thead>
<tr>
<th>Office phone</th>
<th>Street Address</th>
<th>City</th>
</tr>
</thead>
<tbody>
<tr>
<td>352-793-1901</td>
<td>2848 W. Main St.</td>
<td>Leesburg, FL</td>
</tr>
<tr>
<td>352-343-9420</td>
<td>425 Alfred St.</td>
<td>Tavares, FL</td>
</tr>
<tr>
<td>352-569-1660</td>
<td>1010 N. Main</td>
<td>Bushnell, FL</td>
</tr>
</tbody>
</table>

(Thomas Carpenter, Div. Mgr.)

(Thomas Carpenter, Dir.)

Local Police Departments:

Lake County Cities:

- Leesburg Police 352-728-9860 115 E. Magnolia
- Tavares Police 352-742-6200 201 E. Main
- Eustis Police 352-357-4121 51 W. Norton Ave.
- Mount Dora 352-735-7130 1300 N. Donnelly St.
- Clermont Police 352-394-5588 865 W. Montrose St.
- Minneola Police 352-343-9500 800 W. US 27 (a Lake Sheriff detail)
- Groveland Police 352-429-4166 408 W. Orange St.
- Mascotte Police 352-429-3393 529 E. Myers Blvd.
- Howey in the Hills 352-324-2030 111 N. Palm (S.R. 19)
- Astatula Police 352-742-2422 25019 C.R. 561 (a Lake Sheriff detail)
- Montverde Police 911 302 W. Pearl
- Fruitland Park Police 352-360-6727 506 W. Beckman
- Lady Lake Police 352-751-1560 423 Fennell Blvd.
- Umatilla Police 352-669-3561 251 N. Central Ave.
- Astor 911

Sumter County Cities:

- Wildwood Police 352-330-1355 100 Huey St.
- Bushnell Police 352-793-3810 501 N. Market St.
- Webster 911
- Center Hill Police 352-793-4609 94 Virginia Ave.

UWLS funded partners

Emergency on premises supplies: (checked and updated July and January each year)

- American Red Cross approved first aid kit
- Battery operated radio with extra batteries
- Large flashlights with extra batteries
- Basic tools (hammer, nails, screwdriver, pliers, work knife, duct tape)
- Tarps and plastic covering
- Assorted shipping boxes flattened
- 30-gal heavy duty trash bags
- Fire Extinguishers as required by law and under regular maintenance by a company certified to provide that service.
Disasters that may affect UWLS will be either Internal or External in nature.

Internal Disasters include fire, flooding (more likely to be wind driven water or roof breach rather than rising water), a power failure due to an External event, a computer or system crash with loss of valuable data or an act of violence in the workplace.

External Disasters include hurricanes, tornadoes, heavy rainstorms with damaging winds and/or hail, a bomb threat, or the release of toxic chemicals caused by a traffic accident on Hwy 441 near the UWLS offices.

Disasters, whether Internal or External can be short in duration or cover several days or longer. A small electrical fire may cause a short disruption in business while repairs are made and power restored. Damage may be minimal if it happens during business hours when staff is present to react and put the fire out or call 911 for the fire department. On the other hand, the same electrical fire after business hours could cause total destruction of the building and an interruption of business for a number of days or weeks while a new location is found and occupied.

The Shut Down/All Clear Notification Plan: The PIC (or designee) shall contact all donors, board members, agency partners and employees not at work to inform them of a Shut Down called due to an impending External Disaster such as a hurricane. The PIC (or designee) shall contact (within one hour after an Internal Disaster) all donors, board members, agency partners and employees not at work, to inform them that an Internal Disaster had occurred, its nature and the outcomes. The PIC (or designee) will contact all donors, board members, agency partners and employees within 24-hour following and External Disaster of the outcomes.

Procedures for Internal Disasters

1. Fire......The Response Plan is Evacuation

The employee seeing the fire or smoke should activate the warning system. The warning system is the boat air horn assigned to each employee's office or the one stationed next to each fire extinguisher. The warning signal for fire are long blasts on the horn.

When the alarm is sounded, all employees should evacuate immediately by the available route closest to their office or location in the building at the time. The PIC present at that time will make assessment of the fire threat and decide on direct action using on premises using the hand-held fire extinguishers and/or calling 911 to summon the Fire Dept. All evacuated employees should congregate at the road entrance sign and the PIC should verify that all employees are accounted for.

No employee should reenter the building until released to do so by the PIC who should not do so until the Fire Dept. has given the all clear.

2. Flooding or a power failure due to an External event, computer or system crash.... The Response Plan is Preservation of Property.

The crisis should be reported immediately to the PIC who will determine the course of action and give appropriate instructions.

- Employees should take what steps are directed by the PIC to resolve any flooding from wind driven rain, roof leak, window leak or broken window.
- The PIC (or designee) should make phone calls to attempt to learn the cause of a power failure and the amount of time before it will be resolved.
- In case of a computer or system crash the PIC should attempt to resolve the problem or call the IT provider that does our work for assistance.
Procedures for External Disasters:

Communication Plan: Every employee should have a list of the phone numbers for all employees and all local emergency authorities so that when severe weather alerts are given by the Weather Bureau the employees who are not at the offices can call to receive instructions on what actions to take regarding coming to work.

**Tornado Warnings: The Response Plan is Sheltering**

When there are tornado warnings posted for the area staff not in the office should call the PIC for instruction on coming to work or not. Staff already at work should be made aware of the severe weather warnings by the PIC. All computers should be backed up and the premises storage should be secured. In the event that weather conditions at the office location become severe, then the PIC should instruct all personnel to congregate in the kitchen of the office building or in Office E or F. These areas are identified on the Building Escape Route Plan. Under no circumstances should any employee remain in an office or room with glass windows or doors leading outside.

When the threat has been called off by authorities the PIC shall notify all employees and start notifying all UWLS donors, Board members, agency partners, and employees not at work of an “All Clear”.

**Bomb Threat.......Response Plan is Evacuation**

The employee taking the bomb threat phone call should immediately sound the same alarm signal as for fire, long blasts on the horn. All employees should evacuate by the most direct route to entrance drive sign and from there move across Blossom Lane. The PIC should call 911 immediately after exiting the building.

When the threat has been called off by authorities the PIC shall activate the “All Clear” notification to all UWLS donors, Board members, agency partners, and employees not at work.

**Chemical Spill Nearby.....Response is Shelter in Place.**

Staff already at work should be made aware of the severe danger of a chemical spill by the PIC or staff member who receives the phone call from local authorities. All computers should be backed up and the on premises storage backed up or made secure. The building should be put into lockdown with all exterior doors and windows closed and the HVAC system shut down. All employees should be instructed to remain in the building until the PIC can obtain an official all clear from local authorities.

When the threat has been called off by authorities the PIC shall activate the “All Clear” notification plan to all UWLS donors, Board members, agency partners, and employees not at work.

**Workplace Violence.....Response Plan is Lockdown.**

When sounds of gunshots are heard or loud “pops” are heard the PIC should call 9-1-1 to report it and all employees should use the “Active Shooter” tactics recommended by law enforcement, which is “Run, Hide, Fight”. “Run” means to run away from the sound and out of the building. “Hide” would be to close, lock and blockade the door to their office, stay away from windows and hide under their desk. “Fight” would be as a last resort as determined by each individual.

When the threat has been called off by authorities, the PIC shall activate the “All Clear” notification plan to all UWLS donors, Board members, agency partners, and employees not at work.

**Hurricane...The Response Plan is.... Preparation in Advance**

There are different levels in the Hurricane warning system used by the Weather Bureau.
Hurricane Advisory is the initial information issued by the Hurricane Center indicating what areas might be affected by a storm and the possible paths it may take.

Hurricane Watch: is issued when it has been determined that a more specific area is likely to be affected by a storm.

Hurricane Warning: is issued when a very specific area is deemed likely to be affected and a "Best Track" or a most likely track is forecast.

Hurricanes are forecast in "categories" based on wind velocity.

Prior to being classified as a Hurricane there is first a Tropical Depression with winds under 38 mph
When the winds reach 39 mph it is classified as a Tropical Storm and given a name.
A Tropical Storm become classified as a Hurricane when the winds exceed 74 mph and then classified in categories based on wind speed.

- Category 1 are winds of 74 to 95 mph
- Category 2 is winds 96 to 110 mph
- Category 3 is winds 111 to 129 mph
- **Category 3 or higher is a Major Hurricane**
- Category 4 is winds 130 to 156 mph
- Category 5 is winds over 156 mph

The Hurricane Preparation Plan...Lock down

When the US Weather Bureau issues a Hurricane Warning for a Category 3 or higher hurricane with a "Best Track" forecasted for the Central Florida area, the UWLS hurricane plan shall go into effect 48 hrs. prior to the time the storm is expected to directly affect this area.

- If it is a work day, the PIC will assign to staff members the securing of the building and the valuable equipment such as computers.
- If it is not a work day, the PIC will call in a number of employees to assist in securing the building and valuable equipment.
- The PIC will activate the Shut Down Notification Plan and notify all UWLS donors, Board members, agency partners, and employees not at work of the action being taken.

The securing of the building and equipment procedure.

The PIC shall assign to one employee the task of turning off the refrigerator, removing all products inside, ice, etc. and drying out the inside of the refrigerator and freezer sections with paper towels. The refrigerator is to be left open while the laptop files of each employee is backed up to the Z drive and then are stored inside the refrigerator. The refrigerator is to be left off and unplugged and will be closed just before the employees vacate the building.

When this employee has completed the cleaning and drying of the refrigerator, he/she is to secure the copy machine by unplugging it and rolling it into Office F (as identified on the Building Escape Route Plan). The fax machine should be unplugged and moved into Office F. The lights in Office F should be then turned off and the door closed. That employee then begins locking and sealing with duct tape the exit doors in the following order. (Refer to the Building Escape Route Plan for the Zones.) Starting with the exit door out of the Green Zone, then the one out of the Yellow Zone and lastly the exit out of the foyer in the Blue Zone. The side exit out of the Blue Zone that leads into the alley between the two buildings will be the door that all employees will exit through when the securing procedures are completed and the PIC instructs all to leave.

If there are wind storm shutters or plywood shutters, two employees should be assigned with the job of installing these securely in place.

All loose signs should be moved inside the meeting room in the Blue Zone, along with the patio furniture.
garbage cans can be moved inside or can be made secure outside by filling them with water and duct taping the lids down, or can be placed in the storage shed.

Securing the second building with shutters would be then done by the two employees assigned the window shuttering task. The two front doors to that building shall be locked and sealed with duct tape to prevent water intrusion and employees shall exit that building through the alley way exit door.

RECOVERY PLAN:

ACTIONS AFTER THE DISASTER:

1. OPERATIONS:

   The PIC or assignee(s) will:

   a. Check on safety and status of:
      * All employees
      * Partner agencies
      * Board members/key volunteers
      * Major firms, of OK ascertain role firm can play in recovery
   b. Coordinate aftermath actions.
      * Revise work schedules as needed
      * Secure alternate locations as needed.
   c. Assess the condition of the facility.
      * Report broken water and electrical lines
      * Document damage and relay information to insurance providers
   d. Direct reoccupation.
      * Reactivate suspended power/utility Systems
      * Reassemble/install computers
   e. Consult with Board Chair and other volunteer leaders to develop timetable for resumption of normal activities.
   f. Activate volunteer referral process for disaster.
      * Prepare/send out media releases
      * Contact volunteer chairman
      * Assign someone to coordinate agency requests
   g. Coordinate work schedule with Red Cross and local emergency planners.
   h. Notify United Way Worldwide of status of operations and community needs.

2. AREA DISASTER RECOVERY

   1. Provide or locate operational space for agencies whose facilities were adversely affected by the emergency.
   2. Coordinate with representatives of the American Red Cross, Salvation Army, local emergency planners and other disaster relief organizations to develop or provide assistance for recovery plans and unmet needs.
   3. Send thank you letter to donors and volunteers.
   4. Hold meetings with staff, partner agencies and donors to assess the Disaster Plan, the response and continuing needs for the future.
GENERAL ORGANIZATION POLICIES

HUMAN RELATIONS

At United Way of Lake and Sumter Counties, we recognize the importance of our Board members, employees and volunteers. We know that our greatest assets are our people. With this philosophy in mind, we believe in the following human relation's policy to guarantee fair treatment of all:

- Treating each Board member, staff, volunteer and representative as an individual. Your rights are respected with courtesy, dignity and consideration.
- The value of cooperative, well trained, efficient and loyal people working together for the benefit of each other, our agencies and UWLS.
- Providing fair wages, the fullest possible employment and good working conditions.
- Frank and open discussion of any problems and/or misunderstandings.
- Promotions and/or raises based on merit and ability.

NON-DISCRIMINATION

It is UWLS policy to cooperate fully with the applicable regulations of the Civil Rights Act of 1964 regarding equal employment opportunity and reaffirm our policy of nondiscrimination as follows:

There is neither exclusion nor discrimination on the basis of race, color, religion, creed, age, gender, national origin or ancestry, marital status, veteran status, sexual orientation, or status as a qualified disabled or handicapped individual, with regard to hiring, assignment, promotion or other conditions of Board member selection or staff employment.

UWLS has written policies for positive action to achieve equal employment opportunity for all persons in filling staff positions including members of minority groups. We identify ourselves as an equal employment opportunity employer in recruitment advertisements and may use employment agencies which do not discriminate on the basis of race, color, religion, creed, age, gender, national origin or ancestry, marital status, veteran status, sexual orientation or status as a qualified disabled or handicapped individual.

HARASSMENT

It is a fundamental commitment of UWLS to treat our Board members, staff, volunteers and representatives with respect and dignity and provide an environment free of intimidation and harassment. All such individuals have a right to work in an environment free from all forms of discrimination and conduct which can be considered harassing, coercive, hostile or disruptive. Consistent with UWLS’s respect for the rights and dignity of each individual, harassment of any kind will neither be sanctioned nor tolerated. UWLS will not tolerate any action or statement which threatens the safety or security of our Board members, staff, volunteers or representatives.
The PRESIDENT/CEO and the Board are responsible for assuring that no Board member, staff, volunteer or representative is subjected to conduct that constitutes any form of harassment. Any individuals found to have engaged in such harassment will be disciplined appropriately, up to and including discharge. For more detailed information, contact the PRESIDENT/CEO.

Any staff member who has a harassment complaint must bring the problem to the attention of the PRESIDENT/CEO and file an official written complaint if appropriate. All complaints will be handled promptly and reasonable measures to protect the privacy of both the charging party and the person accused will be taken. The organization will retain confidential documentation of all allegations and investigations and will take appropriate action, including disciplinary measures when justified, to remedy violations of this policy. If the harassment complaint involves the PRESIDENT/CEO, the complaint shall be filed with the Board Chair or any other member of the Executive Committee.

CONFIDENTIALITY & PRIVACY

It is the policy of UWLS that the internal business affairs of the organization and all program participant information represent UWLS assets that each Board member, staff, volunteer, and representative has an obligation to protect.

Information designated as confidential, privileged or nonpublic may not be disclosed to anyone outside the organization and may be discussed within the organization only on a "need to know" basis. In addition, Board members, staff, volunteers and representatives have a responsibility to avoid inappropriate disclosure of UWLS matters, its employees, its programs and its program participants.

Board members, staff, volunteers and representatives authorized to have access to confidential, privileged or nonpublic information must treat the information as proprietary UWLS property for which they are personally responsible. The privacy rights of all individuals in performance of their UWLS duties will be respected.

CONFLICTS OF INTEREST (See attachment 1- Conflicts of Interest Statement)

Employment of a Board or Staff member's immediate family may be considered and approved by the Board of Directors provided that any and all potential or real conflicts of interest are disclosed prior to hiring. The Employee will provide full disclosure of any real or potential conflict prior to hire. The PRESIDENT/CEO or the Board Leadership will verify the existence of the indicated real or potential conflict and document accordingly in the Board Minutes and in the Employee file. Failure of the Employee to make a full and proper disclosure will result in disciplinary action up to and including termination.

UWLS may not obligate or spend company funds to buy or rent goods, space, or services or provide direct financial assistance through investments, grants, loans or loan guarantees to a Board or staff member's immediate family, who has a substantial interest in that transaction. Banking and other financial services, medical, legal and
other professional services and management and consultant services, as well as other kinds of skilled labor, are subjected by this limitation. UWLS Board members, staff members, volunteers or representatives will sign a Conflict of Interest Statement annually and will disclose any potential conflict of interest such as financial relationship, agency board member, etc. (See Attachment 1) The signed document will be maintained in the individual's UWLS file. Any possible conflict of interest on the part of a Board member, staff, volunteer or representative shall be disclosed to the PRESIDENT/CEO or Board Leadership who will take the matter to the Executive Committee or Full Board. Both the minutes of the Executive Committee and the Board shall reflect such disclosure. Any Board member, staff member, volunteer or representative having such a possible conflict of interest shall not act, make recommendations or use his or her influence on the matter in question. The foregoing shall not be construed to prevent a Board member, staff member, volunteer or representative from briefly stating his or her position on the matter or from answering pertinent questions.

POLITICAL ACTIVITIES

As an organization receiving funds from federal agencies, UWLS must administer programs in a politically nonpartisan manner and must avoid actions which can reasonably be construed as intended to favor one political party over another or to influence the outcome of any election for public or party office. The use of programs funds, the provision of services and the assignment of personnel must not result in the identification of the UWLS organization with any activity which is designed to influence the election or defeat of a candidate for public office or for any other political purpose. Board members, staff, volunteers and representatives of UWLS may not engage in partisan political activities while on duty or use their UWLS titles, UWLS letterhead, etc while so engaged, as this may endanger the organization's 501c(3) status.

ACCEPTANCE OF GIFTS

1. PERSONAL GIFTS
UWLS Board members, staff, volunteers, representatives and its funded agencies are prohibited from soliciting gifts for personal gain. They may however accept gifts, honorarium, favors, personal gratuities or promotional items not exceeding $25.00 in value from persons receiving benefits or services funded under any UWLS program or from any person performing services under contract or otherwise in a position to benefit from any staff or Board member action. Gifts over $25.00 may only be accepted for the United Way campaign or designated to a tax-exempt non-profit organization.

2. ORGANIZATIONAL GIFTS (see attachment 2-Gift Acceptance Policy & Guidelines)

LIABILITY INSURANCE & LEGAL COUNSEL

UWLS maintains a Non-Profit Directors & Officers (D & O) Liability Insurance policy and has access to legal counsel when needed. The D & O Liability Insurance covers
directors, officers, employees and volunteers for any actual or alleged act, error
misstatement, misleading statement, omission, neglect or breach of duty,
mismanagement of funds, wrongful employment practice (e.g., discrimination,
harassment, wrongful termination, etc.), and in personal injury (e.g., libel, slander,
invasion of privacy, defamation of character, etc). Contact the Finance and
Administrative Director to review the liability policy in its entirety.

PROFESSIONAL BEHAVIOR

It is the policy of UWLS that professional behavior is necessary for efficient business
operations and for the benefit and safety of all. Conduct that interferes with operations,
discredits UWLS, or is offensive to UWLS Board members, staff, volunteers or
representatives will not be tolerated. Board members, staff, volunteers and
representatives are expected at all times to conduct themselves in a positive and
professional manner in order to promote the best interests of UWLS.

UWLS SPOKESPERSON

The announcement of an “Official UWLS Position” to the press or other news media
will come only from the PRESIDENT/CEO or the Board Chair. Please keep this in
mind if you are approached by the news media regarding UWLS and its policies.

DRUGS & ALCOHOL

In compliance with Federal law, UWLS is committed to providing an environment that
is free from the effects of alcohol and drugs. Board members, staff, volunteers and
representatives are prohibited from the illegal use, sale, dispensing, distribution,
possession or manufacture of illegal drugs, controlled substances or alcoholic
beverages on UWLS premises or work sites. Individuals will not work while under the
influence of illegal drugs or alcohol. UWLS reserves the right to do required drug
screening for UWLS staff for pre-employment screening and anytime during
employment.

SMOKE-FREE ENVIRONMENT

All UWLS facilities and functions are operated as smoke-free environments. All
tobacco products are prohibited except in designated smoking areas.

REPORT OF INJURIES

All UWLS work-related injuries to Board members, staff, volunteers, representatives
and clients (regardless of severity) must be reported to the Finance and Administrative
Director immediately. Details of the accident must be made in writing on an Injury
Incident Report and given to the Finance and Administrative Director within 24-hours of
the incident. The report will be maintained in the individual's UWLS file. A First Aid kit
is available at the United Way office for treatment of minor injuries. For a serious
injury, call 911.
TELEPHONE & INTERNET USE

UWLS telephones are to be used for business purposes in serving the organization’s mission and for normal UWLS operations. On occasion, personal calls may be necessary, but we ask your cooperation in limiting them to emergencies or essential personal business and in keeping them brief.

When using UWLS equipment, Board member, staff, volunteer and representative’s on-line internet services access should be limited to work-related activities. In addition, individuals should not duplicate or download from the Internet or an e-mail any software or materials that are copyrighted, patented, trademarked or otherwise identified as intellectual property without expressed consent from the owner.
Attachment 1

UNITED WAY OF LAKE AND SUMTER COUNTIES, INC.

CONFLICTS OF INTEREST POLICY

Article I
Purpose

The purpose of the conflicts of interest policy is to protect the interest of United Way of Lake & Sumter Counties, Inc. (UWLS) and the Lake & Sumter Counties United Way Foundation, Inc., (Foundation) when it is contemplating entering into a transaction or arrangement that might benefit the private interest of an officer or director of UWLS or Foundation operating board. This policy is intended to supplement but not replace any applicable state laws governing conflicts of interest to nonprofit and charitable corporations.

Article II
Definitions

1. Interested Person
Any director, member or officer of a committee with board delegated powers who has a direct or indirect financial interest or Influential interest, as defined below, is an interested person. If a person is an interested person with respect to any entity of which UWLS or Foundation is a part, he or she is an interested person with respect to all entities.

2. Financial Interest
A person has a financial interest if the person, directly or indirectly, through business, investment or an immediate family member has:
   a. an ownership or Investment interest in any entity with which the UWLS or Foundation has a transaction arrangement; or
   b. a compensation arrangement with UWLS or Foundation or with any entity or individual with which the UWLS or Foundation has a transaction or arrangement; or
   c. a potential ownership or investment interest in, or compensation arrangement with any entity or individual with which UWLS or Foundation is negotiating a transaction or arrangement. Compensation includes direct and indirect remuneration as well as gifts or favors that are substantial in nature.

3. Influential Interest
A person has an influential interest if the person or an immediate family member:
   a. serves as an officer, employee, member of the board of directors of an entity UWLS or Foundation has a transaction or arrangement; or
   b. serves as an officer, employee or member of a board of directors of an entity which has an adverse claim against the UWLS or Foundation

4. Immediate Family Member
Immediate Family Member means a spouse, brothers or sisters (by whole or half-blood), spouses of brothers or sisters (by whole or half-blood), ancestors, children, grandchildren, great grandchildren, and spouses of children.
Article III
Procedures

1. Duty to Disclose.
In connection with any actual or possible conflicts of interest, an interested person
must make a prompt, full and frank disclosure of the existence and nature of his or
her financial or influential interest to the directors and members of committees with
board delegated powers consider the proposed transaction or arrangement.

2. When a Conflict of Interest Exists.
Any proposed transaction or arrangement with a board member shall be approved
by the board regardless of the authority-delegated to the chief executive officer to approve
a transaction not exceeding certain monetary thresholds. After disclosure of the financial
or influential interest and all material facts, and after any discussion with the interested
person, the interested person shall leave the board or committee meeting while the
financial or influential interest is discussed and voted upon.

3. Procedures for Addressing the Conflict of Interest
   a. An interested person may make a presentation at the board or committee
      meeting, but after such presentation, the interested person shall leave the
      meeting during the discussion of, and the vote on, the transaction or
      arrangement that results in the conflict of interest.
   b. The chairperson of the board or committee shall, if appropriate,
      appoint a disinterested person or committee to investigate alternatives
      to the proposed transaction or arrangement.
   c. After exercising due diligence, the board or committee shall determine
      whether UWLS or Foundation can obtain a more advantageous transaction
      or arrangement with reasonable efforts from a person or entity that would
      not give rise to a conflict of interest.
   d. If a more advantageous transaction or arrangement is not reasonably
      attainable under circumstances that would not give rise to a conflict of
      interest, the board or committee shall determine by a majority vote of
      the disinterested directors whether the transaction or arrangements is in
      UWLS or Foundation best interest and for its own benefit and whether the
      transaction is fair and reasonable to UWLS or Foundation and shall make a
decision as to whether to enter into the transaction or arrangement in conformity with such determination.

4. Violations of Conflicts of Interest Policy.
   a. If the board or committee has reasonable cause to believe that, a member
      has failed to disclose a conflict of Interest, it shall inform the member of
      the basis for such belief and afford the member an opportunity to explain the
      alleged failure to disclose.
   b. If, after hearing the response of the member and making such further
      investigation as may be warranted in the circumstances, the board or
      committee determined that the member has in fact failed to disclose a
      conflict of interest, it shall take appropriate disciplinary and corrective
      action.
ARTICLE IV
Records of Proceedings

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

a. the names of the persons who disclosed or otherwise were found to have a financial influential interest in connection with a proposed transaction or arrangement, the nature of the financial or influential interest, and any action taken or determine whether a conflict of interest was present.

b. the names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and record of any votes taken in connection therewith.

ARTICLE V
Compensation

a. A voting member of the board who receives compensation, directly or indirectly, UWLS or Foundation for services is precluded from voting on matters pertaining to that member's compensation.

b. A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, UWLS or Foundation for services is precluded from voting on matters pertaining to that member's compensation.

ARTICLE VI
No Solicitation

A voting member of any committee or board who jurisdiction includes compensation or employment matters pertaining to the UWLS or Foundation employees shall not, directly or indirectly, solicit the personal business of such UWLS or Foundation employees.

ARTICLE VII
Statements

Each director, officer and member of a committee with board-delegated powers shall sign a statement that affirms that such person:

a. has received a copy of the conflicts of interest policy;

b. has read and understands the conflicts of interest policy,

c. understands that UWLS or Foundation is a charitable organization and that in order to maintain its federal tax exemption, it must engage primarily activities which accomplish one or more of its tax exempt purposes,

e. has agreed to comply with the policy.
ARTICLE VIII
Periodic Reviews

To ensure that UWLS or Foundation operates in a manner consistent with its Charitable purposes and that it does not engage in activities that could jeopardize its status as an organization exempt from federal income tax, periodic reviews shall be conducted. The periodic review shall, at a minimum include the following subjects.

a. Whether compensation arrangements and benefits are reasonable and are the results of arm’s-length bargaining.

b. Whether partnership and joint venture arrangements are properly recorded, reflect reasonable payments for goods and services, further charitable purposes and do not result in impermissible private benefits

ARTICLE IX
Use of Outside Experts

In conducting the period review provided for in Article VIII, UWLS or Foundation may, but need not, use outside advisors. If outside advisors are used, their use shall not relieve the board of its responsibility for ensuring that period review are conducted.
United Way of Lake & Sumter Counties, Inc.

CONFLICTS OF INTEREST STATEMENT

I _________________________________ do hereby certify to the following:

1. I have received a complete copy of the United Way of Lake & Sumter Counties, Inc, or Lake & Sumter Counties United Way Foundation, Inc. Conflicts of Interest ("Policy");

2. I have read the Policy, have had an opportunity to ask questions about the Policy and understand the Policy;

3. I agree to comply with the Policy, disclose personal conflicts that arise and report any known conflicts of others.

_________________________  ________________
Signature                      Date

_________________________
Printed Name
UNITED WAY OF LAKE AND SUMTER COUNTIES, INC

GIFT ACCEPTANCE POLICIES & GUIDELINES

United Way of Lake and Sumter Counties, Inc, a Florida not-for-profit organization, (hereinafter referred to as UWLS) described under IRC §501(c)(3), encourages the solicitation and acceptance of gifts for purposes that will help UWLS to further and fulfill its mission. The following policy and guidelines govern acceptance of gifts made to UWLS for the benefit of its programs.

Mission Statement

Provide description of the organization’s mission.

I. Purpose of Policies and Guidelines

The Board of Directors of UWLS and its staff solicit current and deferred gifts from individuals, corporations, grant-making tax-exempt organizations and government sources to secure the future growth and mission of UWLS. These policies and guidelines govern the acceptance of gifts by UWLS and provide guidance to prospective donors and their advisors when making gifts to UWLS. The provisions of this policy shall apply to all gifts received by UWLS, and this document shall continue to evolve to meet the needs of the organization over time.

II. Guiding Principles

The following are important guiding principles used in developing these policies:

1. These policies are established industry guidelines for “best practices” in campaign fund raising. Guidelines consulted include Generally Accepted Accounting Principles (GAAP) and standards approved by the Financial Accounting Standards Board (FASB).

2. UWLS and its representatives will, at all times, use best efforts to implement the stated and/or written philanthropic goals of donors.

III. Conflict of Interest

UWLS urges all prospective donors to seek the assistance of personal, legal and financial advisors in matters relating to their gifts and the resulting tax and estate planning consequences. UWLS supports the Model Standards of Practice for the Charitable Gift Planner promulgated by the Partnership for Philanthropic Planning.

IV. Use of Legal Counsel

UWLS shall seek the advice of legal counsel (whether inside or independent counsel) in matters relating to acceptance of gifts when appropriate. Review by counsel is ordinarily recommended for:
1. Closely held stock transfers that are subject to restrictions or buy-sell agreement.

2. Gifts involving contracts, such as bargain sales or other documents requiring UWLS to assume an obligation.

3. Transactions that create potential conflicts of interest.

4. Other instances in which use of counsel is deemed appropriate by the Executive Committee and/or senior management.

V. Restrictions on Gifts

UWLS will generally accept unrestricted gifts, and gifts for specific programs and purposes, provided that such gifts are consistent with UWLS's mission and priorities. UWLS will not accept gifts that are unduly restrictive in purpose or that are inconsistent with UWLS's mission. Gifts that are unduly restrictive are those that violate the terms of the corporate charter, are too difficult to administer, or that are for purposes outside of Board-approved budgets and programs. In appropriate circumstances, gift restrictions are subject to a maximum limit of 25 years or such time that the program to which the restricted funds are allotted is deemed obsolete by the Board of Directors. UWLS may determine not to accept gifts that expose it to potential liability or adverse publicity. All final decisions on the restrictive nature of the gift, and its acceptance or refusal, shall be made by the senior management and the Executive Committee of the Board of Directors.

VI. Types of Gifts

The following criteria govern the acceptance of each gift form:

1) **Cash/Checks.** UWLS welcomes cash and cash equivalent gifts. Gifts may be in the form of cash, check, credit card, money order or electronic transfer. Checks and money orders shall be made payable to UWLS and shall be delivered to the Address of UWLS at 32644 Blossom Lane, Leesburg, FL 34788. Substantial gifts should generally not be made in cash.

2) **Tangible Personal Property.** Gifts of tangible personal property (gifts-in-kind), including, but not limited to, works of art, antiques, musical instruments, manuscripts, literary works, can be accepted only after a thorough review indicates that the property is readily marketable or is needed by UWLS for use in a manner that is related to UWLS's purpose. The donor must realize that in most cases, UWLS will probably sell the property and use the proceeds from the sale to further its mission. If a donor wishes to donate a work of art for which the donor owns the copyright, both the work and the copyright must be donated to UWLS if the donor wishes to claim a charitable deduction. The donor must represent and warrant title to the property free of all claims and encumbrances.

3) **Securities.** UWLS will consider accepting both publicly traded securities and closely held securities.

**Publicly Traded Securities.** These securities may be transferred from an account maintained at one or more brokerage firms or financial institutions or delivered physically with the transferor's signature or stock power attached (with appropriate signature
guarantees). As a general rule, all publicly traded securities will be sold upon receipt unless otherwise directed by the Finance Committee of UWLS. In some cases publicly traded securities may be restricted by applicable securities laws; in such instance, the final determination on the acceptance of the restricted securities shall be made in accordance with the gift acceptance review process and the disposition thereof made as directed by the Finance Committee.

Closely Held Securities. Closely held securities, which include not only debt and equity positions in non-publicly traded companies, but also interests in limited partnerships and limited liability companies or other ownership forms, can be accepted subject to the approval procedures stated above. Such gifts must be reviewed prior to acceptance to determine that:

- There are no restrictions on the security that would prevent UWLS from ultimately converting those assets to cash;
- The security is marketable or will become marketable with the passage of time or occurrence of events deemed reasonable to UWLS;
- The security will not generate any undesirable legal or tax consequences for UWLS;
- If the underlying property owned by a company is real estate, UWLS is satisfied that the issues raised under the Real Estate section below have been satisfied.

If potential problems arise on initial review of the security, further review and advice by an outside professional may be sought before making a final decision on acceptance of the gift. UWLS's gift acceptance review process, in conjunction with advice from its legal counsel, shall govern the final determination on the acceptance of closely held securities when necessary. Every effort will be made to sell non-marketable securities as quickly as possible, consistent with a desire to realize the fair market value of the contribution.

4) **Real Estate.** Gifts of real estate may include developed property, undeveloped property, or gifts subject to a prior life interest. Prior to acceptance of real estate, UWLS shall require an independent appraisal as well as an environmental review of the property to ensure that the property has no environmental damage. In the event that an initial inspection reveals a potential problem, UWLS shall retain a qualified inspection firm to conduct an environmental audit. The cost of the independent appraisal and the environmental audit shall generally be an expense of the donor.

When appropriate, a title binder shall be obtained by UWLS prior to the acceptance of the real property gift. The cost of this title binder shall generally be an expense of the donor.

Prior to acceptance of real property, the gift shall be approved in accordance with the gift acceptance procedures of UWLS and by UWLS's legal counsel. Factors to be considered in evaluating acceptability of the property shall include:

- Is the property useful for the purposes of UWLS (if it is a restricted gift)?
- Is the property readily marketable?
- Are there any restrictions, reservations, easements, or other limitations associated with the property?
• Is the property encumbered by any debt that will not be discharged prior to contribution to UWLS?

• What carrying costs, including insurance, property taxes, mortgages or notes, etc., are associated with the property?

• Does the environmental audit reflect any necessity for remedial action and will such be carried out by the donor?

• Are there any other potential liabilities inherent in the property?

5) **Remainder Interests in Property.** UWLS will consider accepting a remainder interest in a personal residence, farm, or vacation property, subject to the approval and review provisions of paragraph 4) above. The donor or other occupants may continue to occupy the real property for the duration of the stated term. At the end of the term, UWLS may use the property or sell it. Where UWLS receives a gift of a remainder interest, expenses for maintenance, real estate taxes, and any property indebtedness are to be paid by the donor or term interest holder, who will undertake to maintain it in good condition and insure it against liability for injury to person or property and against risk of loss by fire, theft, and other casualty.

6) **Bargain Sales.** UWLS may enter into a bargain sale arrangement in instances in which the bargain sale furthers the mission and purposes of UWLS. UWLS must obtain an independent appraisal, at the expense of the donor, substantiating the value of the property. Factors used in determining the appropriateness of the transaction include:

• If UWLS assumes debt with the property, the debt ratio must be less than 50% of the appraised market value.

• UWLS must determine that it will use the property, or that there is a market for sale of the property, allowing sale within 12 months of receipt.

• UWLS must calculate the costs to maintain, safeguard and insure the property (including property tax, if applicable) during the holding period.

7) **Life Insurance Policies.** UWLS must be named as both beneficiary and irrevocable owner of an insurance policy before a life insurance policy can be recorded as a gift. The gift is valued at its interpolated terminal reserve value, or cash surrender value, upon receipt. UWLS will only accept gifts of fully paid life insurance, unless the donor irrevocably commits to make contributions sufficient to cover all future premium payments. The entire amount of the additional premium payment will be recognized by UWLS as a gift in the year that it is made. If notwithstanding the foregoing, the donor fails to continue to make gifts to cover premium payments on the life insurance policy, UWLS may:

• continue to pay the premiums itself;

• convert the policy to paid up insurance; or

• surrender the policy for its current cash value.

8) **Retirement Plan Beneficiary Designations.** Donors and supporters of UWLS will be encouraged to name UWLS as beneficiary of their qualified retirement plans, such as IRAs, Roth IRAs, 403(b)s, 401(k)s. Such designations will not be recorded as gifts to
UWLS until such time as the gift is irrevocable. When the gift is irrevocable, but is not
due until a future date, the present value of that gift may be recorded at the time the gift
becomes irrevocable provided no intervening withdrawals may be made by any other
person.

9) Bequests. Donors and supporters of UWLS will be encouraged to make bequests to
UWLS under their wills and trusts. Such bequests will not be recorded as gifts to UWLS
until such time as the gift is irrevocable, or paid. When the gift is irrevocable, but is not
due until a future date, the present value of that gift may be recorded at the time the gift
becomes irrevocable. If the property to be bequeathed is tangible personal property or real
estate that could not be used by UWLS to further its mission, the donor will be encouraged
to give instructions to the executor or trustee to give UWLS the option of receiving the
property or the net proceeds of a sale by the executor or trustee. As a general rule, bequests
to UWLS of $100,000 and under will be used for general operations and bequests of over
$100,000 will be added to one of our board designated funds.

VII. Special Considerations and Policies Regarding Gifts Designated for Endowment

When entering into endowment agreements, there should be a shared understanding between donors
and UWLS that it is in the best interest of UWLS and its mission to promote practices that permit the most
flexibility in long-term planning, utilization and investment. This flexibility is particularly important, for
example, in cases in which programs supported by endowment are discontinued or otherwise become
obsolete or impracticable.

With these concerns in mind, donors who give in support of endowment funds may be asked to review
and consent to a written agreement clause stating that UWLS may reallocate money from an endowment
fund to the nearest practical purpose consistent with UWLS's mission. In all cases, no such reallocations
will be made without notice to the donor or to the personal representative of the donor's estate.

If gifts are made to an endowment the proceeds of which will fund a specific program, and the
program ceases to exist, then, subject to prior relevant provisions of this Section or an alternative
purpose or direction expressly provided for in the endowment agreement, the remaining balance
of the donor's endowment shall be added to the general endowment of UWLS.

VIII. Donor Recognition Policy

UWLS has the right to determine the giving level at which donors shall be recognized in donor
newsletters for one year after the gift is made. Donors will receive benefits specific to their giving
level. UWLS will provide donors with written acknowledgement of any charitable contribution
over $250 and/or a disclosure statement for any quid pro quo contribution over $75, which shall
substantiate the amount of the contribution and where appropriate, shall provide a good faith
estimate of the value of any goods or services provided in exchange for the contribution. These
parameters shall be subject to change from time to time in accordance with relevant tax laws or
Board policy.

Donors who have included UWLS in their estate plans shall be recognized as members of the
Legacy Society in donor newsletters and in the annual report throughout their lifetimes and for one
year after realization of their gifts. Donors will receive benefits specific to their membership.
IX. Miscellaneous Provisions

Securing appraisals and legal fees for gifts to UWLS. It will be the responsibility of the donor to secure an appraisal (where required) and seek independent legal counsel for all gifts made to UWLS. In the case of a bargain sale or a gift annuity UWLS shall have the right to select or approve the appraiser.

Valuation of gifts for development purposes. UWLS will record a gift received by UWLS at its valuation for gift or income tax purposes on the date of the gift.

Responsibility for IRS Filings upon sale of gift items. Upon receipt of a non-cash gift, UWLS is responsible for filing IRS Form 8282 upon sale or disposition of any asset sold within two years of receipt by UWLS when the charitable deduction of a non-cash item is more than $5,000. UWLS will file this form as required by applicable law.

X. Tax Matters

Nothing herein is intended to constitute tax advice to any donor or to guarantee the tax consequence to any donor upon the transfer of any property, or interest therein, to UWLS, or to a trust which may benefit UWLS. Donors should rely, in each instance, exclusively upon the advice of their own tax advisors for the income, estate and gift tax consequences of any transfers to or for the benefit of UWLS.

XI. Changes to Gift Acceptance Policy

These policies and guidelines have been reviewed and accepted by the Board of Directors, the General Counsel, the Executive Director, the Chief Financial Officer and the Senior Managing Director of Development of UWLS.

These policies and guidelines shall be subject to review and revision at a minimum of every two years.

Approved on the 8th day of February, 2017.
SECTION D

BOARD POLICIES

(Applicable to all Board Members)

GENERAL

COMPOSITION

SELECTION

RESPONSIBILITIES & EXPECTATIONS

BOARD DEVELOPMENT

EXPENSE REIMBURSEMENT

UNOFFICIAL SPOKESPERSON

RESIGNATION OR REMOVAL

EXECUTIVE DIRECTOR SELECTION, EVALUATION & MERIT PAY

ATTACHMENTS:
1. Board of Directors Job Description
2. Board Member's Job Description
3. Board Member’s Agreement
4. Emergency Succession Plan
   a. PRESIDENT/CEO job description
   b. Organizational chart
BOARD POLICIES

GENERAL

The ultimate responsibility and liability for the management and accountability of the United Way of Lake and Sumter Counties (UWLS) rests with the members of the Board of Directors who receive guidance from the PRESIDENT/CEO. Board members should ensure that the mission is carried forward, ensure that the organization's finances are managed with diligence and prudence, and inspire ethical reflection and behavior in the management of UWLS.

COMPOSITION

Members of the Board should have a desire to serve the community with an overriding goal of strengthening UWLS and fulfilling its mission in the community. Board diversity should reflect that of the UWLS service area population and should have representation from both Lake and Sumter Counties.

SELECTION

The Nomination Committee shall oversee the recruitment and selection process of potential Board members. Board members are encouraged to recruit and/or submit their recommendations for new Board members throughout the year to the Nomination Committee and/or PRESIDENT/CEO. A Board vacancy will be filled as needed to fulfill the 25 seat maximum as set forth by the bylaws.

The Committee shall consider the Board’s needs and diversity of the nominees. The nominees shall have a desire to serve the community with an overriding goal of strengthening UWLS and fulfilling its mission in the community. The nominee's prior participation as a UWLS volunteer with the Campaign or with the Allocation Panel is desirable. After the Committee review process is completed, the Chair shall present the nominee applicants to the Board for approval.

RESPONSIBILITIES & EXPECTATIONS

Board of Directors and individual Board member's roles, responsibilities, and expectations are outlined in the attached Job Descriptions. (See Attachments 1 & 2)

Orientation training shall be provided to new Board members within 90 days of joining the organization by the Board Chair and/or the PRESIDENT/CEO. Upon completion of that training, the Board member will review and sign the Board Member Agreement. (See Attachment 3) That document will be maintained in the individual's UWLS file.

BOARD DEVELOPMENT

An Annual Board Retreat shall be provided for all Board members to broaden their knowledge and understanding of specific challenges facing the organization and to
determine creative resolutions to those challenges. The focus and content of each retreat will be determined collectively by the Executive Committee and the PRESIDENT/CEO.

A Strategic Planning Retreat shall be scheduled every three years to reevaluate and determine the organization’s current mission and purpose and to translate the organization’s mission into measurable and obtainable goals and objectives.

Board Development opportunities to attend workshops, courses and conferences shall be made available to Board members. Priority will be given to the Board Chair and Chair-elect as they provide the leadership for the Board. Such training opportunities are provided to broaden the member’s knowledge and understanding of United Way’s visions, goals and initiatives.

Board members who attend workshops, courses and conferences shall provide a verbal report to the Board. Recommendations for new initiatives and/or approaches for the Board to consider shall be submitted in writing. A copy of the conference agenda and any supporting information shall be given to the PRESIDENT/CEO and filed as reference material for future organizational use.

EXPENSES REIMBURSEMENT

Board members are expected to volunteer their time and pay for their meals at committee meetings and local functions. Board members may be reimbursed for United Way training, registration fees, commercial travel, lodging and other expenses incurred outside our two county region when authorized by the Board and appropriately documented. The Board or Executive Committee may authorize training within budget constraints.

The Personnel Policies for "Reimbursements" shall be used for Board members seeking reimbursements. Board members are to submit their UWLS Expense Report within 30 days that the expenses were incurred. The PRESIDENT/CEO is authorized to approve documented expenses for reimbursement consistent with the budget.

UNOFFICIAL UWLS SPOKESPERSON

Board members serve as UWLS ambassadors, advocates and community representatives. They should be mindful that they serve as "unofficial" UWLS spokespersons at local functions and fundraising events.

RESIGNATION OR REMOVAL

A Board member may resign at any time from the Board when unable to fulfill his/her Board responsibilities and expectations. A written resignation will be submitted to the PRESIDENT/CEO and Board Chair.

UWLS Bylaws state "absence from two consecutive meetings of the Board may, at the discretion of the Board, be considered a resignation by the member so absent."
Prior to that determination, the Board Chair shall call and/or meet informally with the Board member in question to discuss the matter and determine the Board member's intentions.

On rare occasions, it may be appropriate to consider removing a member from the Board for unprofessional behavior. A Board member may be removed from the Board by two-thirds vote at any regularly scheduled meeting of the full Board.

EXECUTIVE DIRECTOR SELECTION, EVALUATION & MERIT PAY

The responsibility of choosing the PRESIDENT/CEO has the greatest impact on the organization's development and effectiveness. While this function may also be shared with others who have a stake in the outcome, the final decision is the Board's to make.

The Board may choose to hire an executive search consultant to help recruit a strong field of candidates, or it may prefer to execute the search on its own. A carefully considered search process is essential, but the Board must recognize its duty to provide a positive working environment in order for a PRESIDENT/CEO to perform effectively.

Prior to a search process, the Board should:
- Review the organization's statement of mission and purposes and ensure its adequacy.
- Conduct an inventory of the organization's major strengths and needs.
- Establish specific long-term priorities for the next period of executive leadership.
- Establish clear objectives and clarify expectations for at least the first year of the new PRESIDENT/CEO's service.
- Articulate the particular characteristics, skills and style it seeks in its new PRESIDENT/CEO.
- Provide a competitive package and other employment terms.
- Clarify the Board's functions as distinct from those of the PRESIDENT/CEO and staff, including recognizing the PRESIDENT/CEO's exclusive responsibility to select and supervise a management team without Board interference.
- Prepare a comprehensive job description that reaffirms that the organization's PRESIDENT/CEO is the chief staff officer. The distinction between this position and that of the Board Chair should be clear.

The PRESIDENT/CEO Search Committee shall consist of the Executive Committee members, lead by the Board Chair and any other members they deem appropriate. That committee is responsible for ranking each of the applicants, interviewing the top applicants and making their recommendations to the Board. The Board will make the final selection of the PRESIDENT/CEO.

The Performance Appraisal shall be accomplished by the PRESIDENT/CEO using UWA Core Competencies. The core competency assessments are viewed as critical to successful performance in the PRESIDENT/CEO's position. Based upon the competency assessment and input from the PRESIDENT/CEO, the committee shall
complete an Action Plan for PRESIDENT/CEO Development to identify target areas for improvement during the upcoming year. Management objectives for each of the target areas shall be developed.

The Merit Pay determination and approval shall be accomplished by the Executive Committee using the Performance Appraisal process. The cumulative scores of the Core Competencies and the attainment of the goals and objectives established the previous year shall be the criteria used to determine the merit pay increase.

The PRESIDENT/CEO's Performance Appraisal and Merit Pay Guidelines shall be used for both of these processes. After the Committee's appraisal and merit pay determination, the Board Chair shall report their summary and conclusions to the Board.
BOARD OF DIRECTORS JOB DESCRIPTION

Introduction:
Effective Board governance determines organizational effectiveness. Leadership comes from both a strong Board of Directors and a strong PRESIDENT/CEO.

Board Function - To oversee the business affairs of the organization:
• Authorize major actions.
• Advise and counsel the Executive PRESIDENT/CEO.
• Oversee corporate finances and ensure effective audit procedures are in place.
• Monitor performance and set performance objectives.
• Facilitate corporate decision making.
• Ensure compliance with all applicable laws.

Standards of Care - Statutory and Common Law:
• Business Judgment Rule - Requires Directors to act on an informed basis, in good faith and with an honest belief that the action taken was in the best interests of the organization. Directors are not permitted to delegate personal judgment.
• Duty of Diligence - Requires Directors to act in good faith with the care of an ordinary and prudent person in the best interests of the organization.
• Duty of Loyalty - Requires Directors to refrain from engaging in personal activities in such a manner to injure or take advantage of the organization.
• Duty of Obedience - Limits Directors to acting in accordance with the powers conferred by state law, articles of incorporation, bylaws and Board policies.

Specific areas of Oversight:
• Financial - Internal financial statements should provide meaningful and comprehensible information.
• Internal Audit - Assess business practices and risks.
• Relationships - Corporate sponsorships, major donors and community partnerships.
• Major Business Transactions.
• Employment and Executive Compensation.
• Forward planning, critical issues and new directions.

Best Practices For Board Management:
• Open process in board recruitment. Draw members from broader community.
• Orientation program
• Conflicts of interest policies
• Conduct periodic audit reporting focusing on specific areas of compliance.
• Receive regular briefings from the Executive PRESIDENT/CEO.
• Establish board committees.
• Foster open discussion and debate.
Basic Responsibility and Functions:
- Determine the organization's mission and purpose.
- Select the PRESIDENT/CEO.
- Support and assess the PRESIDENT/CEO's performance.
- Ensure effective organizational planning (short and long-term).
- Ensure adequate resources.
- Manage resources effectively.
- Determine, monitor and strengthen the organization's programs and services.
- Enhance the organization's public standing.
- Ensure legal and ethical integrity and maintain accountability.
- Recruit and orient new Board members and assess Board performance.

Accountability:
The ultimate responsibility for the organization lies with the Board of Directors, which receives guidance from the Executive Committee, officers of the organization and the PRESIDENT/CEO.
BOARD MEMBER’S JOB DESCRIPTION

Responsibilities and Functions:

- **General Expectations:**
  - Know the organization's mission, purpose, goals, policies, programs, services, strengths and needs.
  - Perform duties of Board membership responsibly and to the level of competence expected from Board members as outlined in the Standards of Care as they apply to nonprofit Board members.
  - Suggest possible nominees to the Board who are clearly individuals of achievement and distinction and who can make significant contributions to the work of the Board and the organization's progress.
  - Serve in leadership positions and undertake special assignments willingly and enthusiastically.
  - Avoid prejudging situations solely on the basis of information received from individuals and urge those with grievances to follow established policies and procedures through their supervisors. (All matters of potential significance should be called to the attention of the PRESIDENT/CEO and the Board Chair.)
  - Follow trends in the organization's field of interest.
  - Bring good will and a sense of humor to the Board's deliberations.

- **Meetings:**
  - Prepare for and participate in Board and committee meetings, including appropriate organizational activities.
  - Ask timely and substantive questions at Board and committee meetings consistent with your conscience and convictions, while supporting the majority decision on issues decided by the Board.
  - Maintain confidentiality of the Board's Executive sessions and speak for the Board or organization only when authorized to do so.
  - Suggest agenda items periodically for Board and committee meetings to ensure that significant, policy-related matters are addressed.

- **Relationship with Staff:**
  - Counsel the PRESIDENT/CEO as appropriate and support him/her through difficult relationships with groups or individuals.
  - Any special request of the staff should be directed to the PRESIDENT/CEO.

- **Avoiding Conflicts:**
  - Serve the organization as a whole rather than any special interest group or constituency. Even if you were invited to fill a vacancy reserved for a certain constituency or organization, your first obligation is to avoid any perception that you "represent" anything other than the organization's best interests.
  - Avoid the appearance of any conflict of interest that might embarrass the Board or the organization and disclose any possible conflicts to the PRESIDENT/CEO.
or Board Chair in a timely fashion.

♦ Maintain independence and objectivity and do what a sense of fairness, ethics and personal integrity dictate, even though not necessarily obliged to do so by law, regulation or custom.

Fiduciary:

♦ Exercise prudence with the Board in the control and transfer of funds.
♦ Faithfully read and understand the organization’s financial statements in order to assist the Board in fulfilling its fiduciary responsibility.

Fund-Raising:

♦ Give an annual donation.
♦ Assist the development committees and staff by implementing fund-raising strategies through personal influence with others (corporations, individuals, foundations).

Qualifications:

• A desire and commitment to serve the community with an overriding goal of strengthening the United Way of Lake and Sumter Counties and fulfilling its mission to the community.

Benefits:

• Increased awareness of local human and health service systems.
• A sense of community service through the overall process of identifying and addressing community needs through fund-raising and distribution of those funds.
• Networking on a professional level with other community leaders.

Time Commitment:

• Board members are elected for one three-year term. A term may be renewed three times.
• There are at least six scheduled Board meetings per year, each lasting 1 ½ to 2 hours.
• Standing Committees meet at least four times a year.
• Task Forces are generally ad hoc and require a minimum of three to four meetings.
• Board members are expected to regularly attend Board and Committee meetings.
• A Board Retreat is held annually, usually in the Fall.
• A full day Strategic Planning Retreat is held at least every three years.
• Board members are expected to attend the Annual Meeting and other special events and functions throughout the year, primarily during the Fall Campaign.
• Meetings and events are usually held on a weekday and during daytime working hours and/or between 5:00 - 7:00 PM.
UNITED WAY OF LAKE AND SUMTER COUNTIES

BOARD MEMBER AGREEMENT

As a Board member of the United Way of Lake and Sumter Counties (UWLS), I am fully committed and dedicated to carrying out the UWLS mission. I understand that my duties and responsibilities include the following:

- I am fiscally responsible, with other Board members, for this organization. I will know what our budget is and take an active part in reviewing, approving and monitoring the budget and the fundraising to meet it.

- I am responsible for knowing and overseeing the implementation of policies and programs.

- I accept the bylaws, core values, code of ethics and the operating policies, standards, and principles for this organization contained in UWLS Official Policy Manual.

- I shall, with other Directors, be responsible for the health and well-being of this organization.

- I will make an annual donation to UWLS.

- I will actively engage in fund-raising for this organization in whatever ways are best suited for me. This may include individual working with the Campaign Committee solicitation, undertaking special events, sign campaign appeal letters, etc. I am making a good faith agreement to help raise as much money as I can.

- I will actively promote UWLS as the organization ambassador, advocate and community representative and will encourage and support the organization’s staff.

- I will regularly attend Board meetings, be available for phone consultation, and serve on at least one Board committee. If and when I am not able to meet my obligations as a Board member, I will offer my resignation.

Signed______________________________ Date__________________
Emergency Succession Plan

Amended and Approved: February 8, 2017

Leadership plays an essential role in the success of a nonprofit organization. Moreover, a change in Chief Executive Leadership is as inevitable as the passing of time.

The Board of Directors of United Way of Lake & Sumter Counties recognizes that this is a plan for contingencies due to the disability, death or departure of the PRESIDENT/CEO. If the organization is faced with the unlikely event of an untimely vacancy, UWLS has in place the following emergency succession plan to facilitate the transition to both interim and longer-term leadership.

The Board of Directors has reviewed the job description of the PRESIDENT/CEO. The job description is attached. The Board has a clear understanding of the PRESIDENT/CEO’s role in organizational leadership, program development, program administration, operations, Board of Directors’ relationships, financial operations, resource development and community presence.

Succession Plan in Event of a Temporary, Unplanned Absence: Short-Term
A temporary absence is one of less than three months in which it is expected that the PRESIDENT/CEO will return to his/her position once the events precipitating the absence are resolved. An unplanned absence is one that arises unexpectedly, in contrast to a planned leave, such as a vacation or a sabbatical. The UWLS Board of Directors authorizes the Executive Committee to implement the terms of this emergency plan in the event of temporary, unplanned absence of the PRESIDENT/CEO.

In the event of an unplanned absence of the PRESIDENT/CEO, the Administrative Assistant is to immediately inform the Board Chair of the absence. As soon as it is feasible, the Chair should convene a meeting of the Executive Committee to affirm the procedures prescribed in this plan, make any modifications the Committee deems appropriate, and appoint an Acting PRESIDENT/CEO.

In the event the PRESIDENT/CEO is suddenly and immediately incapacitated and unable to perform his or her duties, the Board Chair will assume the position of interim PRESIDENT/CEO until the Acting PRESIDENT/CEO is appointed.

Authority and Compensation of the Acting PRESIDENT/CEO
The person appointed as Acting PRESIDENT/CEO shall have the full authority for decision making and independent action as the PRESIDENT/CEO. The Acting PRESIDENT/CEO may be awarded additional compensation for his/her efforts. The Executive Committee will determine the amount of compensation and communicate it to the Acting PRESIDENT/CEO within 30 days of the appointment.

Board Oversight
The Executive Committee is responsible for monitoring the work of the Acting PRESIDENT/CEO. The Executive Committee will be sensitive to the special support needs of the Acting PRESIDENT/CEO in this temporary leadership role.

Communications Plan
Immediately upon transferring the responsibilities to the Acting PRESIDENT/CEO, the Board Chair or his/her designee will notify staff members, members of the Board of Directors and key volunteers of the delegation of authority.

As soon as possible after the Acting PRESIDENT/CEO has begun covering the unplanned absence, Board members and the Acting PRESIDENT/CEO shall communicate the temporary leadership structure to key external supporters of UWLS. This may include (but is not limited to) UWLS committees, Partner Agencies, campaign partners, civic leaders, major donors and others whom the Executive Committee and the Acting PRESIDENT/CEO deem appropriate.

**Completion of Short-Term Emergency Succession Period**

The decision about when the absent PRESIDENT/CEO returns to lead UWLS should be determined by the PRESIDENT/CEO and the Board Chair. They will decide upon a mutually agreed upon schedule and start date. A reduced schedule for a set period of time can be allowed, by approval of the Board Chair, with the intention of working back up to a full-time commitment.

**Succession Plan in Event of a Temporary, Unplanned Absence: Long-Term**

A long-term absence is one that is expected to last more than three months. The procedures and conditions to be followed should be the same as for a short-term absence with one addition:

The Executive Committee will give immediate consideration, in consultation with the Acting PRESIDENT/CEO to temporarily filling the management position left vacant by the Acting PRESIDENT/CEO. This is in recognition of the fact that for a term of more than three months, it may not be reasonable to expect the Acting PRESIDENT/CEO to carry the duties of both positions without fair and mutually acceptable compensation. If deemed necessary, a temporary assistant position would be recruited to focus on covering the priority areas in which the Acting PRESIDENT/CEO needs assistance.

**Completion of Long-Term Emergency Succession Period**

The decision about when the absent PRESIDENT/CEO returns to lead UWLS should be determined by the PRESIDENT/CEO and the Board Chair. They will decide upon a mutually agreed upon schedule and start date. A reduced schedule for a set period of time can be allowed, by approval of the Board Chair, with the intention of working back up to a full-time commitment.

**Succession Plan in Event of a Permanent Change in PRESIDENT/CEO**

A permanent change is one in which it is firmly determined that the PRESIDENT/CEO will not be returning to the position. The procedures and conditions should be the same as for a long-term temporary absence with one addition:

The Board of Directors will appoint a Transition and Search Committee within 20 business days to plan and carry out a transition to a new permanent PRESIDENT/CEO. The Board will also consider the need for outside consulting assistance depending on the circumstances of the transition and the Board’s capacity to plan and manage the transition and search.
Checklist for Acceptance of Emergency Succession Plan

✔ Succession plan approval. This succession plan will be approved by the full Board of Directors. This plan will be reviewed annually during the first calendar year board meeting.

✔ Organizational Charts & PRESIDENT/CEO’s Job Description. An organizational chart is attached and the current job description of the position of PRESIDENT/CEO.

✔ Copies. Copies of this Emergency Succession Plan, along with the corresponding documentation, are maintained by the Board Chair, Secretary, Administrative Assistant, and are included in the UWLS Board Governance manuals.
United Way of Lake & Sumter Counties

PRESIDENT/CEO Position Description

Position Title: President/CEO

Reports To: Board of Directors

Class: Exempt

Purpose of Position:

President/CEO for United Way of Lake & Sumter Counties provides innovative and strategic leadership by working with the Board of Directors, community partners & leaders, and staff to allow the organization to identify, understand and act on the issues that determine its ability to accomplish its vision and mission.

Primary Functions:

- **Community Leadership** - Provides collaborative leadership that engages community partners and key community leaders.
- **Organizational Leadership** - Participates in partnership with the Board of Directors in setting organizational direction, developing organizational goals and operational plans, and achieving agreed upon results.
- **Development and Management of Resources** - Oversees growth and management of United Way’s human and financial resources.
- **Accountability for Operations and Fiscal Integrity** - Maintains accountability for the overall operational and fiscal integrity of the organization within the policies set by the Board of Directors.

Major Duties and Responsibilities:

I. Community Leadership:

- Provides transformational leadership necessary to achieve community impact for Lake & Sumter Counties.
- Develops and communicates a shared vision for Lake & Sumter Counties that promotes understanding and alignment among key stakeholders.
- Leads the interaction with the community in accordance with the United Way Worldwide Standards of Excellence.
- Acts as spokesperson for the organization on relevant issues.
- Demonstrates a commitment to United Way values.
- Assumes a stewardship role in the community process in which people of diverse backgrounds can help shape a vision of mobilizing the community to improve lives.
Organizational Leadership:

• Develops issues for Board review and discussion.
• Assures coordination and alignment of all United Way activities to strategic direction.
• Oversees development of United Way’s long-range goals, annual work plans, and budgets to assure alignment and maximum progress toward United Way’s goals.
• Assures that the organization is anticipating and dealing with the external and internal factors that influence success.
• Assesses organizational capacity to implement strategies and identify gaps in systems and staff, and develop plans for contingency and succession.

Development and Management of Resources (Human and Financial):

Works with Senior Staff to assure progress toward organizational goals. Assures that annual work plans for United Way are integrated with strategic plan and that planned outcomes are realized. Key result areas include:

• Resource Development, including, but not limited to, annual campaign, planned and deferred giving;
• Stewardship and accountability for financial and facility resources;
• Effective, integrated and efficient support systems in areas such as information management, staff and volunteer training, procurement, personnel and building management;
• Assessment of community needs and identification of appropriate roles for United Way in addressing them;
• Objective process for fund distribution that keeps United Way supported programs focused on priority community needs;
• Enhancement of the capabilities of community partners to respond to community needs and to manage themselves effectively.
• Oversees the planning and development of increasing and sustaining diversification of revenue and development of direct relationships with investors (vs. relying on the workplace as a conduit to givers) based on United Way impact areas and donor interests.
• Staffs the organization with fully competent professionals and support staff and delegates responsibilities/authority.
• Assures that United Way’s goals for inclusiveness and diversity among its volunteers and staff are met.
• Builds effective communications within organization to assure understanding and support for organizational objectives and activities.
• Assures implementation of performance planning and evaluation systems for all United Way employees.
• Oversees the development and implementation of growth strategies related to resource development and volunteerism.
Accountability for Operations and Fiscal Integrity:

Maintains stewardship and accountability for the overall operational and fiscal integrity of the organization within the guidelines of the Standards of Excellence and the policies set by the Board of Directors.

Assures all financial practices meet current GAAP (Generally Accepted Accounting Principles).

Maintains highest level of transparency for organizational activities to key stakeholders.

Key Relationships:
Board of Directors
Staff
Key Leaders in the Community
Community Partners
Major Donors
United Way of Lake & Sumter Counties, Inc.
Organizational Chart

Board of Directors

Community Investment Committee
Leadership Development Committee
Executive Committee
CEO
Finance/Audit Committee
Resource Development Committee

Resource Development Vice President
Community Impact Director
Administration

Campaign Director
Master Teacher
VITA
Family Stability Case Manager
MISSION UNITED Director
Bookkeeper
Administrative Assistant
SECTION E

FINANCE POLICIES

(Applicable to all Board Members and Staff)

GENERAL

BUDGET PROCESS

CERTIFIED AUDIT

FINANCIAL REPORTS

BOARD DESIGNATED RESERVES

INVESTMENTS

GRANT BUDGET & DISTRIBUTIONS

CONTRIBUTIONS & PLEDGES

IN-KIND DONATIONS

FINANCE MANAGEMENT & CONTROL

DONOR PRIVACY POLICY

RECORDS RETENTION POLICY

WHISTLEBLOWER POLICY
FINANCE POLICIES

GENERAL

The UWLS Board of Directors is accountable to the community for the organization's success in carrying out the mission and in meeting its ethical and legal obligations. These obligations and responsibilities include assuring the financial solvency of the organization. As a means, the Board approves an annual budget to guide the allocations of funds and an audit which provides an annual check of the organization's financial position.

BUDGET PROCESS

A budget is a plan of action. It records, in monetary terms, the objectives of the organization, monitors the flow of resources and alerts the Board when objectives are not being met. Operating with public support, a responsibility exists to spend money judiciously and to report on such expenditures to the public annually in the UWLS Annual Report.

The Finance and Administrative Director, with the guidance of the PRESIDENT/CEO will begin to draft the organization's annual budget each year in January for the following fiscal year (July 1-June 30). This shall be done after consultation with staff and appropriate Committee Chairpersons to determine the amount of Campaign income and Allocation expense for that period. The draft budget shall be reviewed with the Treasurer and submitted to the Executive Committee for overall evaluation and recommendation to the full Board of Directors. The Board will approve a final budget prior to the start of the fiscal year.

CERTIFIED AUDIT

An annual independent certified audit is one of the best ways to assure accountability and financial integrity. The audit provides a check of fund activities and an opinion on the financial condition of the organization and the use of generally accepted principles.

An independent certified audit and IRS Form 990 will be prepared by a professional accounting firm each year. The Finance and Administrative Director will disclose any and all UWLS information requested by the Auditor. Upon completion, the Audit Report and Internal Control letter will be presented to the Board for approval. The Audit Report will be made available to all potential and current donors upon request. Information on the IRS Form 990 will be made available to the public via several on-line funders’ sites and UWLS website.

METHOD

The United Way of Lake & Sumter Counties (UWLS) will contract, annually, with an independent, unrelated certified public accountant for the purpose of expressing an opinion on the fairness of the representation of the financial position, status and results of operations, including cash flow, in conformity with generally accepted accounting
principles. The audit will be conducted in accordance with generally accepted auditing standards and the resultant financial statements will be prepared in accordance with generally accepted accounting principles. These statements must comply with industry applicable regulation and/or guidelines as established by the American Institute for Certified Public Accountants and the Financial Accounting Standards Board.

PROCEDURES

The audit should be completed within 6 months of the close of the fiscal year.

The UWLS Board will review the service provided by the auditor and its performance. At least every 5 years, the Board will discuss whether a formal bid process will be conducted to ascertain market conditions and possibly improve the quality of service. The Finance department is responsible for submitting a RFP letter to qualified auditing firms. The responses will be presented to the Executive Committee for review and recommendation. Re-awarding the contract for auditing services to the incumbent auditing firm is acceptable as long as the selection criteria clearly indicate the incumbent firm is the most qualified and cost-effective.

FINANCIAL REPORTS

Regular Financial Reports provide a summary of the financial situation of the organization. They allow the organization to track changes in income and expenditures and the current financial condition of the organization.

The Board Finance Committee/Treasurer will provide oversight and review monthly reports from the Finance and Administrative Director. These documents will be sent to the Board members for their review at least one week prior to Board meetings.

BOARD DESIGNATED RESERVES

The Board will maintain reserves to address allocations, operating expenses and community emergencies that may not be covered by the annual campaign income. The Finance Committee/Treasurer will make recommendations to the Board for amounts of reserves in each category. These amounts will be reviewed by the Finance Committee annually and recommended changes, if any, will be referred to the Board for approval.

INVESTMENTS

The Board will develop a short and long term investment program for its assets considering availability of funds, security of principal and reasonable return. The Finance Committee/Treasurer will review the investment program annually and recommend any appropriate changes to the Board.

Gifts of stocks and land will be sold shortly after receipt.
GRANT BUDGET & DISTRIBUTIONS

The availability of funds and community needs will be taken into account when developing the UWLS budget. The Grant Budget will be determined collectively by the Finance Committee, Community Impact Committee and the PRESIDENT/CEO with final approval by the Board.

Designated funds to non-member agencies will be paid quarterly, less pledge loss rate and percentage for administrative costs. Finance Committee will approve pledge loss rate and administrative fee percentage annually. Only the collecting United Way organization may charge an administrative cost for transferred out-of-the-area designations.

CONTRIBUTIONS & PLEDGES

Each paid contribution will be booked as "unrestricted income" when received. Each pledge will be booked as "restricted income" and will be billed periodically until paid. Approximately 10% of pledges will be booked as "reserve" for uncollected pledges. Pledges from the previous fiscal year's campaign that are unpaid at the end of June will normally be written off as "non-collectable".

IN-KIND DONATIONS

UWLS does not place a monetary value on the donor's in-kind gift; however, UWLS will provide a letter verifying the donation. It will be the donor's responsibility to determine its value and whether or not it is deductible for tax purposes.
FINANCIAL MANAGEMENT & CONTROL

CASH RECEIPTS

METHOD:

The United Way of Lake & Sumter Counties, Inc. (UWLS) will establish and maintain procedures to ensure that all cash intended for the organization is received, secured, recorded, deposited and reconciled.

PROCEDURES:

Control Over Incoming Checks and Cash

The following procedure will be followed for cash handling: Campaign cash pickup

1. Cash picked up will be counted and receipted before acceptance
2. Cash will be reasonably secured during transport to office or bank.
3. Cash will be delivered to Finance department who will count and receipt the cash and prepare deposit. In the case where huge amounts of coin are collected, the coin will be placed in a clear, plastic bank deposit bag and sent to the bank for counting and deposit.
4. Finance department will provide Cash and deposit slip to depositor. Depositor will count and receipt cash before transport to bank.

Each time cash changes hands, cash must be counted and receipted.

Control Over Incoming Turnpike Cash

Since the Florida Turnpike does not count the cash contribution to UWLS, the following procedure will be followed for collecting cash donations from the Florida Turnpike:

1. The UWLS bookkeeper will give the UWLS employee assigned to pick up the Turnpike money four (4) clear tamper-proof bags. The bookkeeper will note the registration numbers of the bags and the UWLS employee will sign for the bags.
2. The UWLS employee will hand the clear tamper-proof bags to the Turnpike attendant. The Turnpike attendant will place the change and money in the tamper-proof bags, seal, sign, and number the bags (e.g. 1 of 3, etc.).
3. The UWLS employee will place the UWLS deposit slip in the outside envelope on each of the clear bags.
4. The UWLS employee will take the clear bags to the bank. The bank will give the employee the registration receipt from each bag. The bank will count the money and deposit the money into the UWLS account.

The UWLS employee will return the unused tamper-proof bags and the registration bag receipts to the bookkeeper. The bookkeeper will sign in the unused bags and the registration receipts and the both the bookkeeper and UWLS employee will sign and date the receipt.²

² Control Over Incoming Turnpike Cash – UWLS Board of Directors approved revision September 14, 2016.
The following procedure will be followed for **manual** check deposit processing:

1. Open, sort and endorse checks with stamp
2. Make copies of all checks any additional notes or documentation;
3. Post payments in Campaign and Accounting software;
4. Prepare a deposit ticket for the appropriate bank account;
5. Take deposit to the bank; depositor must not be deposit preparer

For **cash** deposits, complete steps 3, 4 and 5 only. For **ACH** deposits, complete step 3.

The following procedure will be followed for **scanned** check deposit processing:

1. Open, sort and endorse checks with stamp
2. Scan checks using scanning equipment and following software prompts
3. Print deposit detail; save PDF of deposit detail including check images
4. Secure original checks in locked file cabinet; shred original checks after 90 days
5. Post payments in Campaign and Accounting software;

All checks received will be deposited within three (3) business days of receipt.

All cash will be deposited immediately but no later than one (1) business day from receipt.

At the UWLS office all incoming mail will be opened by the Finance department with one other staff person/volunteer present at all times during the process of opening the mail. As the mail is opened, all cash & checks will be separated from the other correspondence. Checks will immediately be endorsed with an imprinted stamp to the appropriate account number. If cash is received by mail, the cash will immediately be accounted for with another person present and written receipt documenting the amount. The Finance department will sort and distribute the mail.

Upon receipt of the cash & checks, the Finance department will input the cash & check payments into the accounting software and prepare a 2-part deposit slip (deposit slip and detail). Deposit will be made by staff other than Finance department and deposit receipt will be given to Finance department.

A batch file will then be prepared for the campaign software and run a detail of the entry. The Finance department will perform this input and a transaction report will be printed. The entry detail will be attached to the campaign batch backup documentation.

Once entries into both campaign and accounting systems are complete the following will be stapled together and filed:

1. Campaign entry detail
2. Deposit detail from the accounting software
3. Bank deposit receipt

At least once a month, the President or Treasurer will review deposit information, including backup documentation, for accuracy and detail. Once the entry has been reviewed, the President will initial the document.
BANK ACCOUNT/RECONCILIATION

Cash is maintained in a master account at the bank in order to maximize interest income. All deposits are placed into the receipts account. In order to cover expenses, the President or designee must transfer cash from the interest bearing money market account to the interest bearing checking account. Checks are written to pay expenses from the checking/administrative account only. The cash transferred will be adequate to cover expenses.

Bank statements are received, unopened, by the President from the Finance department. The President will open and review each statement, initialing the statement envelope prior to opening. Once reviewed, the Finance department will reconcile each account.

The Director of Finance will reconcile bank statements of UWLS every month in a timely manner. The Director of Finance will resolve any questions and complete the bank reconciliation before the monthly financial statements are prepared. The President and Treasurer will review and approve the bank reconciliation once completed.
CASH DISBURSEMENTS

METHOD:

The UWLS will follow established procedures to ensure that cash is disbursed only upon proper authorization of management and for valid business purposes. Additional procedures will be followed to ensure that purchases are approved, supported by appropriate documentation, promptly paid and properly recorded.

Expenses will not exceed the approved total annual budget.

POLICY:

It is the policy of UWLS to require that each check written against a United Way account be signed by one Board approved signer. The President has primary check signing authority. In the absence of the President, other qualifying signatures are as follows:

- Treasurer;
- Chairman of the Board of Directors;
- Incoming Chairman

The Finance department is not authorized to sign checks under any circumstance.

PROCEDURES:

I. All checks must be signed by at least one board approved signer
II. Checks over $2,500, require two signatures
III. All check disbursements require invoices or quotes and/or check request forms approved by Director of Finance and/or President. The Finance department is responsible for running the checks at least twice a month or more frequently as needed.
IV. Once checks are processed, the supporting documents are attached and given to the President for review and signature. The second signature, if required, will occur after the President has reviewed and signed each check.
V. After the checks are signed, the Finance department will ensure that a check stub and supporting documents are filed and checks with remittances and statements are mailed. Signed checks that have not been mailed or distributed will be put under lock and key at the end of the day and mailed and/or distributed the following day.
VI. Check summary sheets will be reviewed and signed by the President, Treasurer, and randomly approved by the Executive Committee Chair.
VII. Check summary sheets will be available to the Executive Committee for review upon request.
VIII. No one will sign checks addressed to himself/herself personally, with the exception of routine budgeted payroll.
ACH DISBURSEMENTS

The following routine disbursements may be electronically transferred:

1. Board approved community funding on a payment schedule (allocation/community impact partner funding)
2. Payroll
3. Fund transfer between existing UWLS bank accounts
4. Monthly rent payment
5. National and State membership dues

Other ACH disbursements not listed above must be approved in writing by the Treasurer prior to payment.

PAYROLL

The Finance department is responsible for processing the payroll checks, and maintaining and tracking all sick-leave, vacation and other compensated absences. All staff will submit a timesheet to the Finance department for each pay period.

Payroll will be processed bi-weekly on the next business day following the end of each pay period. Payroll checks require one signature. Payroll may be electronically deposited with authorization by an approved signer before the transfer.

PETTY CASH

METHOD:

The UWLS may maintain a petty cash balance of no more than $200 for small purchases such as office supplies, certified mail or emergency purchases. Disbursements from the petty cash fund may only be made for approved expenditures. A receipt must accompany every disbursement.

PROCEDURES:

Requests for petty cash will be directed to the Finance department. The person requesting reimbursement must complete a PETTY CASH REIMBURSEMENT FORM with receipts attached and submit it to the Finance department for approval. The Finance department must submit his/her personal reimbursement request to the Executive Director for approval.

If an advance is taken from petty cash, the actual receipt must be submitted and excess returned or shortage paid.

It is the responsibility of the Director of Finance to ensure that the petty cash fund is under lock and key at all times.

At the end of every month, after a summary sheet of reimbursements is prepared, the petty cash fund will be reconciled, and replenished by check, if needed.
TRAVEL ADVANCES

The UWLS issues travel advances to individuals who have secured the proper travel authorization and have completed a *general request form*. Corporate credit card may be issued for use for approved travel expenses upon request.

**Travel Expenses**

It is the policy of the UWLS to establish travel expense limitation and guidelines as follows:

- **Authorizations** – All travel requests must be for budgeted travel and approved at least ten (10) days in advance by the President.
- **Travel Advances** – Cash travel advances may be issued if requested at least ten (10) days before the trip.
- **Personal Mileage** – employees will be reimbursed for use of their personal cars on UWLS business at a rate equal to the standard IRS allowable rate. Commuting mileage will not be reimbursed.
- **Public Carrier** – employees traveling by public carrier must purchase the most cost-effective means of travel, such as coach airfare. Receipts are necessary.
- **Lodging** – Lodging facilities must be approved by the President. Employees will be reimbursed entirely for the basic room charge and applicable taxes. Receipts are necessary.
- **Meals** – employees will be reimbursed for the actual costs of meals and reasonable tips. Receipts are required. Reimbursement for entertaining guests will be at the discretion of the President.
- **Taxi** – Actual taxi fares, including reasonable tips for baggage handling will be reimbursed. Receipts are necessary. Tips must be noted on taxi receipts.
- **Tips** – Reasonable tips for baggage handling will be reimbursed. Receipts are not required, but expenses must be properly documented. Tips for meals and taxis are discussed elsewhere under these guidelines.
- **Parking fees and toll expenses** will be reimbursed. Receipts are necessary.
- **Car rentals** – car rentals will be reimbursed if approved in advance. Receipts are required.

Travel expense reimbursements will be distributed within 15 days of the finance department’s receipt of properly approved requests.
CHARGE CARD USE

PURPOSE:

To insure that all obligations incurred by UWLS are properly approved, recorded and paid in a timely and accurate manner.

A corporate card provides employees with a convenient method of payment for business expenses and is an efficient method of payment for the organization. A corporate credit card is intended solely for business use in the event that a check can’t be issued as payment in a timely manner:

POLICY:

1. The Director of Finance will control access to the corporate charge card. The corporate card is intended solely for business purchase of goods and serviced for UWLS.

2. All business expenses must be documented. The Finance department will secure documentation of all expenses from the employees using corporate cards.

3. The President will recommend for approval to the Treasurer and Executive committee the issuer and authorized users of UWLS credit and debit cards. A maximum $10,000 credit limit will apply to each issuer/account. The President’s credit limit is $10,000 per issuer/account. The President will establish the credit limit for each authorized user which will not exceed $5,000 per card.

4. A single purchase over $2,500 to be charged on a credit card must be pre-approved in writing by two authorized signers before the transaction is made. Itemized documentation such as quote or purchase order must be provided to the authorized signers for examination and subsequent approval. A single purchase over $2,500 should not be split into multiple transactions in order to circumvent this policy.

5. The President and Treasurer are responsible for compliance with the policy.

PROCEDURE:

- The card must be requisitioned by the employee needing it and returned to the Director of Finance as soon as the purchase has been completed. Purchases made with the charge card are subject to the same procedures, (general request form completion, approval, and documentation by receipt) as other purchases made by staff under the authority of these policies. With the approval of the President, individuals traveling to conference and out of town meeting to cover expenses, provided such expenses fall within the guidelines set forth in these policies may use the charge card.

- Authorized users will submit a copy of the vendor’s receipt attached to a signed
general request form reporting the purpose of the transaction as soon as possible, no longer than 10 days after the charge. If no credit card receipt was received that describes the transaction, the authorized user shall submit a signed general request form in its place that reports the name of the vendor or entity from which goods or services were purchased, the date and the amount of the transaction, and the official business that required this transaction to be charged. NOTE the voucher will include the reason the receipt was not obtained.

- Charges for group meals must include receipt, a written detail of the names of persons whose meal was paid, reason for the meeting and explanation of business conducted.

- The authorized user who is issued a credit card is responsible for its protection and custody. If it is lost or stolen the President and Finance department will be immediately notified. The issuing company of the card will be immediately notified to close the account.

- The Finance department shall review each card statement as soon as possible to insure that transactions comply with this policy. The UWLS shall not make payment to the issuing card company until all transactions have been verified and approved for payment by the President. The balance will be paid in full at each statement cycle of the issuing company. UWLS does not intend to pay interest or late fees or used credit availability for any other purposed other than for purchase of goods and services for UWLS.

- Any transactions that appear on the statements that are not documented with a credit card slip and/or signed general request form shall be immediately investigated. Transactions that do not appear to comply with this policy shall be reported to the President with recommendation for action.

- Use of corporate credit cards for personal charges is not allowed. Unsubstantiated/undocumented transaction appearing on the credit card bill will be assumed to be unauthorized and treated/processed as such.

- Authorized users who use a UWLS card in a manner contrary to this policy shall be subject to
  a) Verbal counseling
  b) Immediate reimbursement to the UWLS for unauthorized expenditures, unauthorized expensed that are not reimbursed on a timely manner may be withheld from an employee’s next salary payment
  c) Termination of future card use
  d) Termination of employment
DISTRIBUTIONS

METHOD:

The UWLS will establish and follow procedures to ensure that grants and designations payments to agencies are accurately disbursed based on proper authorization.

Community Funding and payment schedule is approved by the Board of Directors. Normal payment schedule is quarterly. President may recommend a payment schedule specific to each partner if appropriate.

A request by a funded partner outside the normal grant schedule or a payment advance must be submitted in writing to the Finance department. The Community Investment Director will conduct a review and submit a recommendation to the President. Upon approval of the President, the check will be prepared.

Donor Designations to eligible agencies will be distributed in quarterly payments if total pledge is $500 or more, in one payment if total designation is less than $500, minus management and fundraising expenses and pledge loss.

To be eligible for designation, agencies must provide the following Documentation:
1. IRS determination letter w/ TIN
2. Patriot act certification

NOTE: Other United Ways and agencies designation through the FSECC and CFC campaign are exempt from providing the above proof to the UWLS as eligibility has been pre-determined.

The check processing procedure is the same as outlined in CASH DISBURSEMENTS.

EXTENDED ABSENCE

In the event of an extended absence of the Finance department, all financial duties assigned specifically to the Finance department will default to the President.

In the event of an extended absence of the President or the President has taken over the duties of the Finance department, all financial duties assigned specifically to the President will default to the Treasurer.
DONOR PRIVACY POLICY of 
United Way of Lake and Sumter Counties, Inc.

Amended and UWLS Board Accepted February 8, 2017.

This section of our Privacy Policy relates specifically to donors. Read our website privacy policy here.

This privacy policy applies to collection of information, including information collected on our website. By submitting your information to us or any of our staff, you consent to the terms and conditions of the policy and to our processing personal information for the purposes stated below.

PERSONAL INFORMATION

“Personal Information” is information that identifies you personally, such as your name, address, telephone number, and email address. We collect and store the personally identifiable information that you have provided us. Here are some examples of ways in which we may collect your information.

- When you request information via one of the email addresses identified on our website or otherwise contact us in person, by phone or email, we collect your name, address and email in order to respond to your inquiry.
- We collect your name, email address and other contact information if you register for an event.
- We collect your name, email address, telephone number and payment information when you make a contribution, via our website, other digital platform, over the phone, or by mailing in a check.
- We collect your name, address and email, and telephone number when you volunteer at a United Way activity or event.

The above list provides a sample of personal information that may be collected by United Way of Lake and Sumter Counties.

USE AND DISCLOSURE OF PERSONAL INFORMATION

- We will not sell, trade, or share your personal information, collected on the website or through any other business activities, with anyone else.
- We will not send you mailings on behalf of other organizations.
- We will only share your personal information if you give us specific permission to do so.
- We will collect payment information, billing address and other information necessary to process a donation or event registration.
- We will use your information to comply with the law or in the good faith belief that such action is necessary to conform to the requirements of law or comply with the legal process served on us, protect and defend our rights or act in urgent circumstances to protect the personal safety of others.
• We will use the personal information to protect against potential fraud. We may verify with third parties the information collected for processing a gift, event registration or other donation. If you use a credit or debit card on the website or other digital contribution platforms, we may use card authorization and fraud screening services to verify that your card information and address matches the information that you supplied to us and that the card being used has not been reported lost or stolen.
• You have the right to review information that we have collected about you. To review that information, please contact us in writing at Resource Development, 32644 Blossom Lane, Leesburg FL 34788.

Except as described in this Privacy Policy or at the time we request the information, we do not otherwise disclose your personal information to any third parties. Further, United Way of Lake and Sumter Counties will not sell or trade your personal information to any third parties.

CHANGES TO THE PRIVACY POLICY

We reserve the right to change this Privacy Policy from time to time. When we do, we will note the last update at the bottom of this Privacy Policy. For changes to this policy that may be materially less restrictive on our use or disclosure of your personal information, we will obtain your consent before implementing the change by sending a notice to your primary email or home address specified in our records and by placing a prominent notice on our website.
Client Privacy Notice of
United Way of Lake and Sumter Counties (UWLS)

Full Notice

What This Notice Covers

1. This notice describes the privacy policy and practices of United Way of Lake and Sumter Counties (UWLS). UWLS can be contacted by mail at 32644 Blossom Lane, Leesburg FL 34788 or by phone at 352-787-7530.

2. The policy and practices in this notice cover the processing of protected personal information for clients of all participating agencies of the Continuum of Care of Mid-Florida Homeless Coalition.

3. Protected Personal Information (PPI) is any information UWLS maintains about a client that:
   a. allows identification of an individual directly or indirectly,
   b. can be manipulated by a reasonably foreseeable method to identify a specific individual, or
   c. can be linked with other available information to identify a specific client. When this notice refers to personal information, it means PPI.

4. UWLS adopted this policy because of standards for Homeless Management Information Systems issued by the Department of Housing and Urban Development. UWLS intends our policy and practices to be consistent with those standards. See 69 Federal Register 45888 (July 30, 2004).

5. This notice informs UWLS clients, staff, and others how we process personal information. UWLS follows this policy and practices described in this notice.

6. UWLS may amend this notice and change the policy or practices at any time. Amendments may affect personal information that we obtained before the effective date of the amendment.

7. UWLS gives a written copy of this privacy notice to any individual who asks.

How and Why We Collect Personal Information

1. UWLS collects personal information only when appropriate to provide services or for another specific purpose of the organization or when required by law. UWLS may collect information for these purposes:

2. UWLS only uses lawful and fair means to collect personal information.
   a. to provide or coordinate services to clients;
   b. to locate other programs that may be able to assist clients;
   c. for functions related to payment or reimbursement from others for services that
UWLS provides;

d. to operate the organization, including administrative functions, such as legal, audits, personnel, oversight, and management functions;

e. to comply with government reporting obligations; and

f. when required by law.

3. UWLS normally collects personal information with the knowledge or consent of UWLS clients. If a client seeks our assistance and provides UWLS with personal information, UWLS assumes the client consents to the collection of information as described in this notice.

4. UWLS may also obtain information about a client from:

5. UWLS posts a sign at the in-take desk or other location explaining the reasons UWLS asks for personal information. The signs states:

UWLS collects personal information directly from you for reasons that are discussed in our privacy statement. UWLS may be required to collect some personal information by law or by organizations that give UWLS money to operate this program. Other personal information that UWLS collects is important to run our programs, to improve services for homeless individuals, and to better understand the need of homeless individuals. UWLS only collects information that we consider to be appropriate.

How We Use and Disclose Personal Information

1. UWLS uses or discloses personal information for activities described in this part of the notice. UWLS may or may not make any of these uses or disclosures with your information. UWLS assumes that you consent to the use or disclosure of your personal information for the purposes described here and for other uses and disclosures that we determine to be compatible with these uses or disclosures:

a. to provide or coordinate services to individuals;

b. for functions related to payment or reimbursement for services;

c. to carry out administrative functions such as legal, audits, personnel, oversight, and management functions;

d. to create de-identified (anonymous) information that can be used for research and statistical purposes without identifying clients;

e. when required by law to the extent that use or disclosure complies with and is limited to the requirements of the law;

f. to avert a serious threat to health or safety: if

(1) we believe that the use or disclosure is necessary to prevent or lessen a serious and imminent threat to the health or safety of an individual or the public, and

(2) the use or disclosure is made to a person reasonably able to prevent or lessen the threat, including the target of the threat;

g. to report about an individual we reasonably believe to be a victim of abuse, neglect or domestic violence to a governmental authority (including a social
service or protective services agency) authorized by law to receive reports of abuse, neglect or domestic violence

(1) under any of these circumstances:

(a) where the disclosure is required by law and the disclosure complies with and is limited to the requirements of the law,
(b) if the individual agrees to the disclosure, or
(c) to the extent that the disclosure is expressly authorized by statute or regulation, and:

(I) we believe the disclosure is necessary to prevent serious harm to the individual or other potential victims, or
(II) if the individual is unable to agree because of incapacity, a law enforcement or other public official authorized to receive the report represents that the PPI for which disclosure is sought is not intended to be used against the individual and that an immediate enforcement activity that depends upon the disclosure would be materially and adversely affected by waiting until the individual is able to agree to the disclosure, and

(2) when we make a permitted disclosure about a victim of abuse, neglect or domestic violence, we will promptly inform the individual who is the victim that a disclosure has been or will be made, except if:

(a) we, in the exercise of professional judgment, believe informing the individual would place the individual at risk of serious harm, or
(b) we would be informing a personal representative (such as a family member or friend), and we reasonably believe the personal representative is responsible for the abuse, neglect or other injury, and that informing the personal representative would not be in the best interests of the individual as we determine in the exercise of professional judgment.

h. for academic research purposes:

(1) conducted by an individual or institution that has a formal relationship with the CHO if the research is conducted either:

(a) by an individual employed by or affiliated with the organization for use in a research project conducted under a written research agreement approved in writing by a designated CHO program administrator (other than the individual conducting the research), or
(b) by an institution for use in a research project conducted under a written research agreement approved in writing by a designated CHO program administrator, and

(2) any written research agreement:
(a) must establish rules and limitation for the processing and security of PPI in the course of the research,
(b) must provide for the return or proper disposal of all PPI at the conclusion of the research,
(c) must restrict additional use or disclosure of PPI, except where required by law,
(d) must require that the recipient of data formally agree to comply with all terms and conditions of the agreement, and
(e) is not a substitute for approval (if appropriate) of a research project by an Institutional Review Board, Privacy Board or other applicable human subjects protection institution.

i. to a law enforcement official for a law enforcement purpose (if consistent with applicable law and standards of ethical conduct) under any of these circumstances:

(1) in response to a lawful court order, court-ordered warrant, subpoena or summons issued by a judicial officer, or a grand jury subpoena,

(2) if the law enforcement official makes a written request for PPI that:

   (a) is signed by a supervisory official of the law enforcement agency seeking the PPI,
   (b) states that the information is relevant and material to a legitimate law enforcement investigation,
   (c) identifies the PPI sought,
   (d) is specific and limited in scope to the extent reasonably practicable in light of the purpose for which the information is sought, and
   (e) states that de-identified information could not be used to accomplish the purpose of the disclosure.

(3) if we believe in good faith that the PPI constitutes evidence of criminal conduct that occurred on our premises;

(4) in response to an oral request for the purpose of identifying or locating a suspect, fugitive, material witness or missing person and the PPI disclosed consists only of name, address, date of birth, place of birth, Social Security number, and distinguishing physical characteristics, or

(5) if

   (a) the official in an authorized federal official seeking PPI for the provision of protective services to the President or other persons authorized by 18 U.S.C. 3056, or to foreign heads of state or other persons authorized by 22 U.S.C. 2709(a)(3), or for the conduct of investigations authorized by 18 U.S.C. 871 and 879 (threats against the President and others), and
   (b) the information requested is specific and limited in scope to the extent reasonably practicable in light of the purpose for which the information is sought, and
j. to comply with government reporting obligations for homeless management information systems and for oversight of compliance with homeless management information system requirements.

2. Before UWLS makes any use or disclosure of your personal information that is not described here, UWLS will seek your consent first.

**How to Inspect and Correct Personal Information**

1. You may inspect and have a copy of your personal information that we maintain. UWLS will offer to explain any information that you may not understand.

2. UWLS will consider a request from you for correction of inaccurate or incomplete personal information that we maintain about you. If we agree that the information is inaccurate or incomplete, we may delete it or we may choose to make it as inaccurate or incomplete and to supplement it with additional information.

3. To inspect, get a copy of, or ask for correction of your information, ask any staff member for access.

4. UWLS may deny your request for inspection or copying of personal information if:
   a. the information was compiled in reasonable anticipation of litigation or comparable proceedings,
   b. the information is about another individual (other than a health care provider or homeless provider),
   c. the information was obtained under a promise or confidentiality (other than a promise from a health care provider or homeless provider) and if the disclosure would reveal the source of the information, or
   d. disclosure of the information would be reasonably likely to endanger the life or physical safety of any individual.

5. If UWLS denies a request for access or correction, UWLS will explain the reason for the denial. UWLS will also include, as part of the personal information that UWLS maintains, documentation of the request and the reason for the denial.

6. UWLS may reject repeated or harassing requests for access or correction.

**Data Quality**

1. UWLS collects only personal information that is relevant to the purposes for which UWLS plans to use it. To the extent necessary for those purposes, UWLS seeks to maintain only personal information that is accurate, complete, and timely.

2. UWLS is developing and implementing a plan to dispose of personal information not in current use seven years after the information was created or last changed. As an alternative to disposal, UWLS may choose to remove identifiers from the information.
3. UWLS may keep information for a longer period if required to do so by statute, regulation, contract, or other requirement.

Complaints and Accountability

1. UWLS accepts and considers questions or complaints about our privacy and security policies and practices.

Questions or complaints must be submitted in writing and mailed to the Attn: President/CEO, United Way of Lake and Sumter Counties, 32644 Blossom Lane, Leesburg FL 34788.

2. All members of our staff (including employees, volunteers, affiliates, contractors, and associates) are required to comply with this privacy notice. Each staff member must receive and acknowledge receipt of a copy of this privacy notice.

Privacy Notice Change History

UNITED WAY OF LAKE AND SUMTER COUNTIES, INC.

GRANT POLICIES

GENERAL

UWLS has a responsible relationship with its donors that honors the expectation that contributed funds will be invested in services provided by agencies that respond to the needs of the community.

The availability of funds and community needs will be taken into account when developing the UWLS budget. The Grant Budget will be determined collectively by the Finance Committee, Community Investment Chair and the PRESIDENT/CEO with final approval by the Board.

Agencies/programs that receive funding through any funding source listed in this policy shall identify and address human and health service problems; improve lives to create sustained health and human services improvements; and serve as a partner with UWLS to achieve sustainable solutions.

COMMUNITY IMPACT FUNDING

Community Impact is a philosophy premised upon improving lives by mobilizing communities to create lasting, long term changes. This is done by achieving measurable results through strategies that focus on community systems and resources.

United Way has put a bold stake in the ground by committing to work on improving outcomes for our community related to EDUCATION, INCOME and HEALTH while maintaining its commitment to BASIC NEEDS. The community has chosen these focus areas because of our ability to collectively make a difference.

The Board of Directors will approve the organization’s initiatives within the focus area. The staff, in conjunction with local community leaders and experts will determine the goals within the focus area.

COMMUNITY IMPACT TEAM

The CI Team will review funding requests and program proposals within the focus area within the guidelines of the goals. The community impact team will be responsible for recommending and justifying the funding of programs to the Board; determining program membership requirements; and evaluating and making recommendations for Community Impact funding. The committee chair is elected by majority of committee member vote. United Way staff will ensure the CI Team is comprised of members of the board, stakeholders, and community members with expertise in the focus area. Potential partners requesting funding will be required to submit a written proposal.
APPLICATION PROCESS

UWLS will make available applications for specific UWLS approved outcomes. Partners may be approved through RFP (Request for Proposal) processes or may be selected based on services provided.

RECOMMENDATION, APPROVAL, AND DISTRIBUTION

Recommendations for funding are presented by the CI Team chair to the Board at a regular board meeting. The Board of Directors may modify any program’s funding and/or restrict funding to an agency.

Community Impact funding is specific to programs; therefore, the manner of the distribution of funds will be determined at the time of proposal acceptance.

OTHER TYPES OF FUNDING

Designations

A donor choice program is key to allowing the donor, who is our primary investor, the maximum flexibility to direct the distribution of his or her contribution. Donors are encouraged to support strategic, verifiable, outcome-based programs for the improvement of Lake and Sumter Counties, or they may designate their contribution to any 501(c)(3) tax-exempt organization and UWLS may charge a 5% processing fee. The donor must provide accurate contact information on their designated organization, including the organization’s mailing address and phone number. The tax-exempt organization must supply a signed US Patriot Act annually to receive designated funds. Failure to comply with the Patriot Act will result in the forfeiture of the designation and the donation will be placed in the Community Impact Fund of UWLS.

Donor Designations to partner agencies are “separate stream” and are calculated and distributed separately from any other funding.

If a designation is not able to be processed, efforts will be made to contact the donor to redirect the contribution to another agency/program or to return the contribution. If the donor cannot be contacted, the contribution will be placed in the Community Impact Fund.

Sponsorships

The Board of Directors of UWLS may set aside a portion of Community Care Funds to allow for sponsorships. Funds are awarded at the discretion of the PRESIDENT/CEO.

Sponsorships dollars are used when an opportunity is available to support an event/activity and its cause helps advance United Way’s mission. The agency/organization must submit a request in writing at least 30 days prior to the event and the letter must specify how the UWLS logo or materials will be utilized. Maximum
award is $1,000.

MINIMUM REQUIREMENTS

Grantee Requirements
- Provide Health and/or Human Services in Lake or Sumter Counties
- Must have established programs in Lake or Sumter County for a minimum of 12 months
- Submit written requests for funding as outlined by UWLS
- Meet audit requirements as defined by UWLS
- Have the capacity to manage grant funds
- Have the capacity to meet program outcomes

UWLS Requirements

UWLS will provide a written response to all grant applications received
UWLS will provide a Letter of Agreement to all funded agencies outlining responsibilities and expectations
UWLS will disburse funds in quarterly payments
UWLS will maintain good communication with funded program providers

RESPONSIBILITIES

- Provide complete agency budget annually and program budget annually or when a line item adjustment of more than 10% occurs
- Receiving and maintaining any specific licensures to conduct business
- Must understand and agree to terms outlined in program specific memorandum of understanding
- Submit reports as required by Letter of Agreement
- Grantee is responsible for returning all grant funds not expended during the approved spending period
- Grantee will maintain good communication with UWLS
- Grantee will maintain proper nondiscrimination policies

UNALLOWABLE GRANT EXPENSES

Activities specifically religious in nature.
United Way of Lake and Sumter Counties, Inc.

RECORD RETENTION POLICY

The United Way of Lake and Sumter Counties, Inc. (UWLS) takes seriously its obligations to preserve information relating to litigation, audits, and investigations. The Sarbanes-Oxley Act makes it a crime to alter, cover up, falsify, or destroy any document to prevent its use in an official proceeding. Failure on the part of employees to follow this policy can result in possible civil and criminal sanctions against the UWLS and its employees and possible disciplinary action against responsible individuals (up to and including termination of employment). Each employee has an obligation to contact the chief executive or chief financial officer of a potential or actual litigation, external audit, investigation, or similar proceeding involving the UWLS. The information listed in the retention schedule below is intended as a guideline and may not contain all the records the UWLS may be required to keep in the future. Questions regarding the retention of documents not listed in this chart should be directed to the PRESIDENT/CEO and or the Finance department.

From time to time, the PRESIDENT/CEO may issue a notice, known as a “legal hold,” suspending the destruction of records due to pending, threatened, or otherwise reasonably foreseeable litigation, audits, government investigations, or similar proceedings. No records specified in any legal hold may be destroyed, even if the scheduled destruction date has passed, until the legal hold is withdrawn in writing by the chief executive.

<table>
<thead>
<tr>
<th>File Category</th>
<th>Item</th>
<th>Retention Period</th>
</tr>
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<tbody>
<tr>
<td>Corporate Records</td>
<td>Bylaws and Articles of Incorporation</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>Corporate resolutions</td>
<td>Permanent</td>
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<td></td>
<td>Board and committee meeting agendas and minutes</td>
<td>Permanent</td>
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<tr>
<td></td>
<td>Conflict-of-interest disclosure forms</td>
<td>5 years</td>
</tr>
<tr>
<td>Finance and Administration</td>
<td>Financial statements (audited)</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>Auditor management letters</td>
<td>Permanent</td>
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<tr>
<td></td>
<td>Payroll records</td>
<td>Permanent</td>
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<tr>
<td></td>
<td>Journal entries</td>
<td>Permanent</td>
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<tr>
<td></td>
<td>Check register and checks</td>
<td>[7 years/ Permanent]</td>
</tr>
<tr>
<td></td>
<td>Bank deposits and statements</td>
<td>7 years</td>
</tr>
<tr>
<td></td>
<td>Charitable organizations registration statements (filed with [State] Attorney General)</td>
<td>7 years</td>
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<tr>
<td></td>
<td>Chart of accounts</td>
<td>7 years</td>
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<td></td>
<td>Expense reports</td>
<td>7 years</td>
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<tr>
<td></td>
<td>General ledgers and journals (includes bank reconciliations, fund accounting by month, payouts allocation, securities lending, single fund allocation, trust statements)</td>
<td>7 years</td>
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<tr>
<td></td>
<td>Accounts payable ledger</td>
<td>7 years</td>
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<td></td>
<td>Investment performance reports</td>
<td>7 years</td>
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<td></td>
<td>Investment consultant reports</td>
<td>7 years</td>
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<tr>
<td>File Category</td>
<td>Item</td>
<td>Retention Period</td>
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<td></td>
<td>Investment manager correspondence</td>
<td>7 years</td>
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<tr>
<td></td>
<td>Equipment files and maintenance records</td>
<td>7 years after disposition</td>
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<tr>
<td></td>
<td>Contracts and agreements</td>
<td>7 years after all obligations end</td>
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<tr>
<td></td>
<td>Investment manager contracts</td>
<td>7 years after all obligations end</td>
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<tr>
<td></td>
<td>Correspondence — general</td>
<td>3 years</td>
</tr>
<tr>
<td>Insurance</td>
<td>Policies — occurrence type</td>
<td>Permanent</td>
</tr>
<tr>
<td>Records</td>
<td>Policies — claims-made type</td>
<td>Permanent</td>
</tr>
<tr>
<td>(Where</td>
<td>Accident reports</td>
<td>7 years</td>
</tr>
<tr>
<td>applicable)</td>
<td>Fire inspection reports</td>
<td>7 years</td>
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<tr>
<td></td>
<td>Safety (OSHA) reports</td>
<td>7 years</td>
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<td></td>
<td>Claims (after settlement)</td>
<td>7 years</td>
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<tr>
<td></td>
<td>Group disability records</td>
<td>7 years after end of benefits</td>
</tr>
<tr>
<td>Real Estate</td>
<td>Deeds</td>
<td>Permanent</td>
</tr>
<tr>
<td>(Where</td>
<td>Leases (expired)</td>
<td>7 years after all obligations end</td>
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<tr>
<td>applicable)</td>
<td>Mortgages, security agreements</td>
<td>7 years after all obligations end</td>
</tr>
<tr>
<td></td>
<td>Purchase agreements</td>
<td>7 years after disposition requirement</td>
</tr>
<tr>
<td>Tax</td>
<td>IRS exemption determination and related correspondence, including Form 1023</td>
<td>Permanent</td>
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<tr>
<td></td>
<td>IRS Form 990s and 990-Ts</td>
<td>Permanent</td>
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<tr>
<td></td>
<td>Withholding tax statements</td>
<td>7 years</td>
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<tr>
<td></td>
<td>Correspondence with legal counsel or accountants, not otherwise listed</td>
<td>7 years after return is filed</td>
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<tr>
<td></td>
<td>Timecards</td>
<td>3 years</td>
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<tr>
<td>Communications</td>
<td>One set of all communication documents kept on-site and one set kept off-site</td>
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<td></td>
<td>Press releases</td>
<td>Permanent</td>
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<td></td>
<td>Annual reports</td>
<td>Permanent (5 copies)</td>
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<tr>
<td></td>
<td>Other publications</td>
<td>7 years</td>
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<tr>
<td></td>
<td>Photos</td>
<td>7 years</td>
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<td></td>
<td>Press clippings</td>
<td>7 years</td>
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<tr>
<td>Donor Services</td>
<td>Fund agreements (paper and digital copies)</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>Correspondence — acknowledgment of gifts and grant requests</td>
<td>Permanent</td>
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<tr>
<td></td>
<td>Donor fund statements</td>
<td>Permanent</td>
</tr>
<tr>
<td>Consulting</td>
<td>Consulting contracts/filed</td>
<td>7 years after all obligations end</td>
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<tr>
<td>Services</td>
<td></td>
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<tr>
<td>Human</td>
<td>Employee personnel files</td>
<td>Permanent</td>
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<tr>
<td>Resources</td>
<td>Retirement plan benefits (plan descriptions, plan documents)</td>
<td>Permanent</td>
</tr>
<tr>
<td></td>
<td>Employee medical records</td>
<td>Permanent</td>
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<td>File Category</td>
<td>Item</td>
<td>Retention Period</td>
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<td>Retention Period</td>
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<tr>
<td>Employee handbooks</td>
<td>Permanent</td>
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<tr>
<td>Workers comp claims (after settlement)</td>
<td></td>
<td>7 years</td>
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<tr>
<td>Employee orientation and training materials</td>
<td></td>
<td>7 years after use ends</td>
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<tr>
<td>Employment offer letter</td>
<td></td>
<td>7 years after all obligations end</td>
</tr>
<tr>
<td>Employment applications</td>
<td></td>
<td>3 years</td>
</tr>
<tr>
<td>IRS Form I-9 (store separate from personnel file)</td>
<td>Greater of 1 year after end of service, or 3 years</td>
<td></td>
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<tr>
<td>Résumés</td>
<td></td>
<td>1 year</td>
</tr>
<tr>
<td>Technology</td>
<td>Software licenses and support agreements</td>
<td>7 years after all obligations end</td>
</tr>
<tr>
<td>Library</td>
<td>Other annual reports</td>
<td>2 years</td>
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<td>Directories and periodicals</td>
<td>2 years</td>
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<tr>
<td>General Administration</td>
<td>Correspondence — chief executive and general</td>
<td>7 years</td>
</tr>
<tr>
<td></td>
<td>Appointment calendars — chief executive</td>
<td>7 years</td>
</tr>
</tbody>
</table>
United Way of Lake and Sumter Counties

WHISTLEBLOWER POLICY

PURPOSE

United Way of Lake and Sumter Counties (UWLS) relies on all associated persons to conduct themselves in accordance with the requirements and spirit of this policy and report questionable matters without fear of retaliation. This Whistleblower Policy is a control to further safeguard the integrity of UWLS.

UWLS expects all associated persons (employees, officers, directors, volunteers and agents) to act in accordance with the highest ethical standards in performance of responsibilities. Full compliance with the UWLS Code of Ethics, all applicable laws, regulations, accounting standards and controls and policy is required. UWLS is committed to fair, accurate and transparent accounting of financial matters. UWLS fully recognizes its responsibility of stewardship for resources and for the public/private support that enables it to pursue its mission.

POLICY

This policy is intended to cover serious concerns that have a significant impact on UWLS. Examples of actions or behavior to be reported includes but is not limited to:

- Fraud or deliberate error in the preparation, evaluation, review or audit of any financial statement or accounting record of UWLS;
- Stealing or misappropriation of funds or assets;
- Violations of laws, regulations, accounting standards and controls or policy, including the UWLS Code of Ethics.

The procedures associated with this policy are intended to provide a mechanism for any UWLS employee, officer, director, volunteer or agent to be able to submit a good faith complaint. All reports will be taken seriously and addressed promptly, discreetly and in a professional manner intended to ensure persons are protected from unlawful retaliation and discrimination for their having properly disclosed or reported illegal or unethical conduct. Persons acting in good faith who report suspected violations of the UWLS Code of Ethics, laws, regulations, accounting standards and controls, or policy will not suffer adverse employment actions. Anyone receiving services from UWLS who reports violations of the UWLS Code of Ethics, laws, regulations, accounting standards and controls or policy will not suffer adverse service actions.

PROCEDURES

Who to report to?

Oftentimes a person’s immediate supervisor is in the best position to address an area of concern. Supervisors and managers who become aware of any questionable accounting or auditing matters, or who receive complaints or concerns from other employees or other persons, must immediately report them directly to any one of the following:

- PRESIDENT/CEO,
- Treasurer of the Board of Directors or
- Chair of the Board of Directors

Any supervisor of manager who fails to report allegations in accordance with this policy or who
otherwise fails to deal properly with such allegations may be subject to disciplinary action.

Reporting

UWLS encourages all persons with complaints and concerns to come forward with information and prohibits retaliation against persons raising the concerns. Reports may be submitted in writing by delivery of mail marked “confidential” or via email. A person submitting a report may also request to remain anonymous by excluding contact information.

In order to facilitate a complete investigation, employees should be prepared to provide as many details as possible, including a description of the questionable practice or behavior, the names of any persons involved, the names of possible witnesses, dates, times and places, and any other available details. Discussions and documentation regarding reports will be kept in strict confidence, consistent with the need to conduct an adequate investigation. Further, confidentiality will be adhered to as permitted by policy, law, and regulations.

Investigation and Response

Receipt of the concern or complaint will be acknowledged to the sender if sent on other than anonymous terms and even a concern that is a non-reportable matter will be acknowledged. Reports will receive immediate attention and if appropriate, an investigation will commence as soon as practical based upon risk assessment and exposure.

The Executive committee will oversee the receipt and handling of allegations including directing an appropriate investigation and response. Based on the investigation, the Executive committee will direct UWLS to take prompt and appropriate corrective action in response to the complaints or concern if necessary to ensure compliance with legal and ethical requirements relating to financial, accounting and audit matters of UWLS.

An employee, who retaliates against someone who has reported a suspected violation in good faith, will be subject to disciplinary action up to and including termination. Disciplinary action may also result against anyone who makes unfounded allegations that are proven to have been made with the intent to cause harm to another individual when reckless, malicious or with the foreknowledge that the allegations were false.

All copies of reports and any summary or written record reflecting them will be maintained in the office of Human Resources for a period of five years from receipt. These policies and procedures are subject to change at the discretion of United Way of Lake and Sumter Counties.
SECTION F

PERSONNEL POLICIES

Board approved 04/21/11

Revision 03/14/19
SECTION 1.0- POLICY ADMINISTRATION

General
Policy Revision Legal
Compliance Employee
Compliance

General

This personnel policy is published for you. It is a source of easily accessible summaries of information on personnel policies and procedures and employee benefits.

The personnel policy is not a contract of employment nor an employment agreement. Nothing in this personnel policy is intended to create a guarantee or contract for employment and should not be construed to guarantee continuous employment.

An employee’s employment is at will and can be terminated at any time without legal ramifications. Employment can be terminated at any time without cause. None of the United Way of Lake & Sumter Counties’ (hereinafter “UWLS”) officers, supervisors or agents has the authority to make any binding assurances that conflict with the “at will” doctrine.

All policies, procedures and benefits contained within the handbook are subject to change at the sole discretion of UWLS without notice. These policies are implemented at the sole discretion of management; are reviewed and approved by the Board of Directors, and they may be withdrawn or changed at any time without notice. Any employee who violates any aspect of these personnel policies and procedures may be subject to termination.

No policies or procedures contained herein shall be modified in any way without the express written intent to do so signed by the PRESIDENT/CEO who is the only individual authorized on behalf of UWLS to publicize changes in these policies. These policies supersede all prior statement of policy.

Policy Revision

These Personnel Policies shall be reviewed by the President/PRESIDENT/CEO and Executive Committee as necessary. Recommendation for revisions shall be made to the Board of Directors for approval.

Legal Compliance

The policies and practices established herein by the UWLS are intended to comply with all local, state, and federal legislation, which shall always take precedence in case of conflict.
Employee Compliance

UWLS employees are responsible for familiarizing themselves and complying with the content of the UWLS Official Policy Manual and including the core values, code of ethics and the operating policies, standards and principles set forth in this manual.

Upon completion of orientation each employee will sign a Certificate of Compliance which will be placed in the individual's personnel file.
SECTION 2.0- EMPLOYMENT

Introduction

Equal Opportunity

Diversity and Inclusiveness

Job Descriptions

Authority to Hire

Introduction

It is UWLS’s policy to fill any vacant position with the best-qualified applicant. In doing so, a person’s ability, experience, training and formal education are all important. Every effort will be made to provide employment opportunities to persons in UWLS’s service areas, with due consideration given to the requirements of the position being filled.

Employees are encouraged to refer to us any persons who might be interested in a job opportunity with UWLS.

Equal Opportunity

UWLS is an Equal Opportunity Employer. Any discrimination or harassment, real or perceived, should be reported to an Employer official or supervisor. UWLS has a long-standing record of nondiscrimination in employment and opportunity because of race, color, sex, sexual orientation, gender identity, religion, age, ancestry, national or ethnic origin, marital status, disability/handicap, veteran or draft status.

It is the policy of UWLS to:

• Strictly follow personnel procedures that will ensure equal opportunity for all people without regard to race, color, sex, sexual orientation, gender identity, religion, age, ancestry, national or ethnic origin, marital status, disability/handicap, veteran or draft status;
• Comply with all the relevant and applicable provisions of the Americans with Disabilities Act (“ADA”). UWLS will not discriminate against any qualified employee or job applicant with respect to any terms, privileges, or conditions of employment because of a person’s physical or mental disability.
• Make reasonable accommodations wherever necessary for all employees or applicants with disabilities, provided that the individual is otherwise qualified to safely perform the duties and assignments connected with the job and provided that any accommodations made do not require significant difficulty or expense.
• Achieve understanding and acceptance of UWLS’s policy on Equal Employment Opportunity by all employees and by the communities in which the company operates;
• Thoroughly investigate instances of alleged discrimination and take corrective action if warranted;
• Be continually alert to identify and correct any practices by individuals that are at variance with the intent of the Equal Employment Opportunity Policy.

Diversity and Inclusiveness

We believe that diversity of thought as well as visible diversity of staff and volunteers strengthens UWLS’s ability to achieve its mission, vision, philosophy and values.

UWLS is committed to having a workforce that reflects and celebrates the diversity of our community in all respects.

UWLS recognizes that in order to effectively engage our community, staff, volunteers, donors and community partners to achieve our community impact goals, we must embrace the diversity of the communities we serve. Our culture, recruitment, partnerships and other business practices demonstrate inclusiveness.

Job Description

A written job description is available for each regular position that identifies job title, wage/salary classification; basic function and reporting relationship; and a list of major duties and responsibilities. A summary of required skills, abilities, knowledge, and training/education specifications may in the future be developed. UWLS Job Descriptions are on file in the Human Resource Director’s office. A copy of the applicable job description will be given to each employee. Salaries and benefits are in accordance with prevailing practice for similar size United Ways and are Board approved.

Authority to Employ or Terminate

The Board of Directors has the authority to employ and terminate the PRESIDENT/CEO. The PRESIDENT/CEO has the authority employ and terminate all other personnel.
SECTION 3.0- PROCEDURAL DEFINITIONS

Employment Process

Hiring Procedure
Orientation and Training
Probationary Period
Employment Agreements

Hiring Procedure

UWLS is an Equal Opportunity Employer and will hire individuals solely on the basis of their qualifications and ability to perform the required task of the job to be filled. Unless otherwise provided in writing, employment with UWLS is considered to be at-will; therefore, either party may terminate the relationship at any time and for any lawful reason.

The PRESIDENT/CEO is responsible for recruiting and hiring the staff. The Board is responsible for recruiting and hiring the PRESIDENT/CEO. Job openings may be publicly advertised until filled. Job openings may be submitted to the UWW online, local daily and weekly papers, and other local media and service agencies as appropriate.

UWLS will attempt to fill a vacant position by promoting from within whenever qualified internal applicants are available. When candidates from outside UWLS are to be considered for job openings, the following procedures shall be followed:

Employment Application

Before a person may be considered for a position, he/she must complete and sign an employment application and attach a resume for review.

Interview

The PRESIDENT/CEO will interview applicants to determine their suitability for available job openings.

Verification of Employment Information

Employees shall furnish at the time of hire and during their employment as necessary proof of age and social security number and any other personal information required by employee benefits administration or to comply with local, state, or federal employment laws and regulations. The PRESIDENT/CEO shall verify personal and employment references.
Pre-Employment Screening

Pre-employment screening will be conducted. This screening may include credit, background, driving record, drug and criminal checks.

Employment Confirmation

Each Employee shall receive upon employment with UWLS a letter signed by the PRESIDENT/CEO that designates the hire date, employment status, starting pay rate, and other applicable employee benefits.

The Search Committee will rank the PRESIDENT/CEO applicants, interview the top applicants, and make recommendations to the Board. The Board will make the final selection of the PRESIDENT/CEO.

Orientation and Training

The PRESIDENT/CEO is responsible for the general orientation of new employees and necessary job training. The Board Chairman is responsible for the PRESIDENT/CEO orientation and training.

All employees are expected to maintain up-to-date skills required to perform their jobs. Employee development is encouraged throughout the organization. Some educational training or conference opportunities may be available to employees and paid by UWLS. The individual will be notified by the PRESIDENT/CEO when classes or conferences are offered. Individual staff members may seek training opportunities that are relevant to their position and job duties and request participation. The PRESIDENT/CEO may approve training for each individual staff member within budget restraints. Training and travel costs beyond restraints in the budget will require prior approval by the Board.

Probationary Period

The initial ninety (90) days of employment will be deemed a probationary period for purposes of the Florida Unemployment Compensation Code. The probationary period may be extended another thirty to ninety (30-90) days, at the discretion of the PRESIDENT/CEO.

The probationary period does not extend any rights or privileges beyond that outlined in this personnel policy. On the expiration of the probationary period, employees are not extended any rights or privileges beyond those outlined in this personnel policy, and in no way binds UWLS or guarantee employee continued employment.

The probationary period gives an employee an opportunity to determine whether or not the position is suitable to him/her. It also provides UWLS an opportunity to determine if an employee’s work, attitude, attendance record and
skills are in accordance with UWLS's standards of employment. During the probationary period, an employee may be released at any time. During the probationary period an employee may decide to resign without stating a reason, and/or may be released by the organization on the same basis, without an adverse effect on their employment record. Until an employee has completed their probationary period, he/she will not have recourse to the organization's dispute resolution process.

During the probationary period, new employees will be ineligible for benefits or vacation, with the exception of the exempt employees, as defined in section 3.0. The employee will be notified by the PRESIDENT/CEO when he/she has satisfactorily completed the probationary period, whether the probationary period has been extended, or whether the employee has been released. The PRESIDENT/CEO will be notified by the Board Chair of his/her satisfactory completion of the initial probationary period.

**Employment Agreements**

UWLS may execute written Employment Agreements with new employees, certain short-term and/or special assignment employees- during their probationary period. The PRESIDENT/CEO is the only UWLS representative authorized to enter into a written employment agreement with employees. The Board is the only body authorized to enter into such an agreement with the PRESIDENT/CEO. Employees are encouraged to carefully and diligently review their employment agreement.
SECTION 4.0- PROCEDURAL DEFINITIONS

Employment Classifications

Regular/Temporary
Full Time/Part Time/Less than Part Time
Loaned Executive
Exempt/Non exempt

Regular/Temporary

All employees shall be classified as either regular or temporary:

Regular employees: Employees hired without specific termination date and with the intention of UWLS for the employment to be of long-term duration.

Temporary employees: All other employees whose service is intended by UWLS to be of limited duration. Temporary employees are not eligible for any employee benefits and are paid only for the time worked. On rare occasions, a temporary full-time employee may be hired under contract, but he/she is not eligible for benefits.

Full Time/Part Time/Less than Part Time

All employees shall also be classified as Full Time, Part Time, or Less Than Part Time:

Full-time employees: Employees who work forty (40) hours weekly are considered full-time employees. Full-time employees are eligible for all employee benefits after the probationary period.

Part-time employees: Employees who work a minimum of twenty (20) hours a week, and less than forty (40) hours and maintain continuous employment status as part-time employees. These employees are eligible for regular part-time employee benefits based on the average number of hours worked after the probationary period.

Less than part time employees: Employees who work less than twenty (20) hours per week are not eligible for any employee benefits and are paid only for time worked.

Loaned Executive

A Loaned Executive is an employee of a local business or company that strongly supports UWLS. The business or company may lend an employee to act as a part-time or full-time temporary UWLS staff to assist with and participate in operations, programs and campaign efforts. The business or company continues to pay the compensation the Loaned Executive is due.
UWLS is not responsible for the payment of Loaned Executives.

**Exempt/Nonexempt**

**Exempt**: Exempt employees are those employees whose positions are Executive, Professional, or Administrative under the Fair Labor Standards Act. Exempt employees are paid based on an annual salary, and are not hourly employees. Exempt employees are not eligible for overtime pay provisions contained in the Fair Labor Standards Act. Exempt staff is under contract and pay is based on overall responsibility and not on the number of hours worked. Weeknight or weekend work may be necessary on occasions.

**Non-exempt staff**: Pay for non-exempt staff is based on number of hours worked per week, as governed by the Fair Labor Standards Act. Time worked in excess of forty (40) hours per week must have prior approval by the PRESIDENT/CEO. Compensatory time is an acceptable substitute for extra hours worked.
SECTION 5.0- PROCEDURAL DEFINITIONS

Work Hours

Normal Work Week

A full time normal workweek is forty (40) hours per week, eight (8) hours per day. Daily start and ending times are 8:30 am to 4:30 pm, Monday through Friday, with a thirty (30)-minute paid lunch period.

Schedule Adjustments

The PRESIDENT/CEO may require or approve employee requests for different schedules; in such event, the employee’s work requirements shall take precedence over employee’s personal needs. The PRESIDENT/CEO may schedule adjusted work hours or extra work hours. Only hours worked by non-exempt employees in excess of forty (40) hours during a workweek will be calculated for overtime compensation. Compensatory time may be substituted for overtime, if acceptable to the employee.

Employees’ attendance at UWLS or sponsored organization lectures, meetings and training programs will be considered hours of work, and therefore will be compensated time if attendance is required. Time spent by non-exempt employees in traveling away from home to an event on UWLS business is considered hours worked for pay purposes with prior approval from the PRESIDENT/CEO.

The nature of the exempt employee’s position may require him/her to work more than the regularly scheduled forty (40) hours in a given work-week. Exempt employees are not eligible to receive overtime compensation but may be eligible for compensatory time-off after working evenings, weekends or long hours.
SECTION 6.0- EMPLOYEE CONDUCT

Attendance
Personal Appearance
Telephone/Voicemail/Electronic Use
Outside Employment
Smoking Policy
Confidentiality
Conflict of Interest
Code of Ethics
Sexual Harassment
Drug Free Workplace Policy
Accidents

Attendance

Being on the job and on time each working day contributes greatly to a better team effort and the efficient operation of UWLS’s programs.

Absence

An employee who is going to be absent from work for the day shall let the employee PRESIDENT/CEO know. If an employee finds it necessary to be late or absent from work because of illness or an emergency situation, he/she will contact the PRESIDENT/CEO.

Tardiness

If an employee knows he or she is going to arrive at the office for work after 8:30 a.m. or return from lunch late, the person should inform the PRESIDENT/CEO in advance.

Absence Without Leave

If you are absent from the office without permission of the PRESIDENT/CEO, you will be subject to dismissal and forfeiture of compensation for the time of absence. Employees who are absent from work for three (3) consecutive days without being excused or giving proper notice will be considered as having voluntarily resigned.

Personal Appearance

It is the policy of UWLS that each employee's dress, grooming and personal hygiene should be appropriate to the work situation. Normal dress code is Business Casual. However, at the PRESIDENT/PRESIDENT/CEO’s discretion, employees may occasionally be allowed to dress in a more casual fashion. On these occasions, employees are expected to present a neat appearance and
are not permitted to wear ripped or disheveled clothing, suggestive attire or similarly inappropriate clothing.

Telephone/Voicemail/Electronic Use

UWLS telephones are to be used for business purposes only. Business purposes are those related to serving the organization’s mission and normal UWLS operations.

Answer all calls promptly and courteously starting with “United Way, this is [first name] How may I direct your call?” When an employee takes a message for someone else in the office, a written message will be left on that person's desk giving the caller's name and phone number. The Finance Department will monitor long distance calls by reviewing the monthly itemized phone bill.

Only employees specifically authorized by UWLS may access on-line Internet services. Employees’ on-line use must be limited to work-related activities. In addition, employees may not duplicate or download from the Internet or from an e-mail communication any software or materials that are copyrighted, patented, trademarked or otherwise identified as intellectual property without express permission from the owner.

Outside Employment

UWLS does not wish to prevent an employee from holding outside employment but, in the best interest of all concerned, the following policies have been adopted with regard to additional employment:

• The employee is required to provide written notification to the PRESIDENT/PRESIDENT/CEO if he/she is engaged in any employment outside of UWLS. The PRESIDENT/PRESIDENT/CEO will notify the Board Chair only when there is a need or problem.
• Outside employment shall not interfere with the efficient performance of the employee’s duties at UWLS, constitute a conflict of interest with his/her duties at UWLS, occur with any UWLS-funded organization or occur during his/her regular working hours at UWLS.

Smoking Policy

UWLS recognizes that smoking by one employee can adversely affect the health and work performance of other employees. In accordance with the Florida Clean Indoor Air Act, this office shall be deemed a Smoke Free Environment. Smoking shall only be permitted outside of the office building in that area designated for smoking. All employees are expected to properly dispose of any and all trash and debris created by the smoking.
Confidentiality of Information

Corporate Data

No employee of UWLS will release contribution data, corporate or personal, confidential agency information, such as board roster, budgets, and audits, to any persons other than UWLS employees, board members or volunteers. The names and addresses of UWLS campaign prospects are also considered confidential. The PRESIDENT/PRESIDENT/CEO must approve release for all confidential information to any unauthorized parties.

Personnel Records

UWLS respects each employee’s right to privacy. Personnel records are kept in a locked file in the PRESIDENT/PRESIDENT/CEO’s office. Personnel files are the sole property of UWLS, and employees are not permitted access without specific written permission by the PRESIDENT/PRESIDENT/CEO. Each employee has the right to see and examine his/her personnel records in the presence of the PRESIDENT/PRESIDENT/CEO. Upon request to the PRESIDENT/PRESIDENT/CEO, a Board officer may review an employee’s file in the presence of the PRESIDENT/PRESIDENT/CEO.

Except as required by Federal, State or local law or regulations, UWLS will refuse to release employee information to sources outside UWLS without court order or the employee’s express written approval.

It is important that individual personnel records be accurate and kept up-to-date. Employees are to report any changes in personnel data, including, but not limited to, a change of name, physical and mailing address, telephone number, marital status, tax exemption status and number of dependents. A copy of any professional advancement (degrees, training, workshops, etc) should be provided to the PRESIDENT/PRESIDENT/CEO.

Conflict of Interest

Employees of UWLS may not serve on the Board of Directors of any agency receiving UWLS support, and may not receive payment for any services they render to a participating United Way agency. It is expected that UWLS employees will use their own good judgment and discretions when filling other volunteer roles within United Way agencies, and in any outside employment in which they may be involved. All employees of UWLS are required to annually sign a Conflict of Interest statement.

Code of Ethics

All Employees of UWLS are required to sign a Code of Ethics statement.
Sexual Harassment

UWLS recognizes and promotes the right of all employees to be treated with respect and dignity. UWLS is committed to providing a workplace that is free from sexual harassment. Sexual harassment in the workplace is against the law and will not be tolerated. When UWLS determines that an allegation of sexual harassment is credible, it will take prompt and appropriate corrective action.

Definition

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

1) An employment decision affecting that individual is made because the individual submitted to or rejected the unwelcome conduct; or

2) The unwelcome conduct unreasonably interferes with an individual's work performance or creates an intimidating, hostile, or abusive work environment.

Certain behaviors, such as conditioning promotions, awards, training or other job benefits upon acceptance of unwelcome actions of a sexual nature, are always wrong.

Unwelcome actions such as the following are inappropriate and, depending on the circumstances, may in and of themselves meet the definition of sexual harassment or contribute to a hostile work environment:

- Sexual pranks, or repeated sexual teasing, jokes, or innuendo, in person or via e-mail;
- Verbal abuse of a sexual nature;
- Touching or grabbing of a sexual nature;
- Repeatedly standing too close to or brushing up against a person;
- Repeatedly asking a person to socialize during off-duty hours when the person has said no or has indicated he or she is not interested;
- Giving gifts or leaving objects that are sexually suggestive;
- Repeatedly making sexually suggestive gestures;
- Making or posting sexually demeaning or offensive pictures, cartoons or other materials in the workplace;
- Off-duty, unwelcome conduct of a sexual nature that affects the work environment.

A victim of sexual harassment can be a man or a woman. The victim can be of the same sex as the harasser. The harasser can be a supervisor, co-worker, other UWLS employee, or a non-employee who has a business relationship with UWLS.

UWLS’s Responsibilities Under This Policy
If UWLS receives an allegation of sexual harassment, or has reason to believe sexual harassment is occurring, it will take the necessary steps to ensure that the matter is promptly investigated and addressed. If the allegation is determined to be credible, UWLS will take immediate and effective measures to end the unwelcome behavior. UWLS is committed to take action if it learns of possible sexual harassment, even if the individual does not wish to file a formal complaint.

Supervisors and other responsible UWLS employees who observe, are informed of, or reasonably suspect incidents of possible sexual harassment must immediately report such incidents to the PRESIDENT/PRESIDENT/CEO, unless the PRESIDENT/PRESIDENT/CEO is the subject of the complaint, in which instance the complaint shall be made to the Board Chair or any other Executive Committee Member, who will either initiate or oversee a prompt investigation. Failure to report such incidents to the PRESIDENT/PRESIDENT/CEO or Board Chair will be considered a violation of this policy and may result in disciplinary action. The PRESIDENT/PRESIDENT/CEO or Board Chair will provide guidance as needed on investigating and handling the potential harassment. Supervisors should take effective measures to ensure no further apparent or alleged harassment occurs pending completion of an investigation.

UWLS will seek to protect the identities of the alleged victim and harasser, except as reasonably necessary (for example, to complete an investigation successfully). UWLS will also take the necessary steps to protect from retaliation those employees who in good faith report incidents of potential sexual harassment. It is a violation of both federal law and this policy to retaliate against someone who has reported possible sexual harassment. Violators may be subject to discipline.

**Employees' Rights and Responsibilities Under This Policy**

Any employee who believes he or she has been the target of sexual harassment is encouraged to inform the offending person orally or in writing that such conduct is unwelcome and offensive and must stop. If the employee does not wish to communicate directly with the offending person, or if such communication has been ineffective, the employee has multiple avenues for reporting allegations of sexual harassment and/or pursuing resolution.

Individuals who are aware of or have experienced an incident of sexual harassment or sexual assault should promptly report the matter to the PRESIDENT/PRESIDENT/CEO, unless that individual is the subject of the complaint, in which instance the complaint shall be made to the Board Chair or any other Executive Committee Member.

**Confidentiality**

UWLS will make every reasonable effort to conduct all proceedings in a manner that will protect the confidentiality of all parties. Parties to the complaint should treat the matter under investigation with discretion and respect for the reputation of all parties involved.
Malicious, False Allegations

A grievant whose allegations are found to be both false and brought with malicious intent will be subject to disciplinary action which may include, but is not limited to, written warning, demotion, transfer, suspension, dismissal, expulsion, or termination.

Retaliation

UWLS policy and state and federal law prohibit retaliation against an individual for reporting sexual harassment, or for participating in an investigation. No employee, applicant for employment, or member of the public shall be subject to restraints, interference, coercion or reprisal for action taken in good faith to seek advice concerning a sexual harassment or sexual assault matter, to file a sexual harassment/sexual assault grievance, or to serve as a witness or a panel member in the investigation of a sexual harassment/sexual assault grievance. Acts of retaliation are a violation of this sexual harassment/sexual assault policy and will be investigated and adjudicated accordingly. Retaliation is a serious violation that can subject the offender to sanctions independent of the merits of the sexual harassment allegation.

Corrective Measures

Employees who have been found by UWLS to have subjected another employee to unwelcome conduct of a sexual nature, whether such behavior meets the legal definition of sexual harassment or not, will be subject to discipline or other appropriate management action. Discipline will be appropriate to the circumstances, ranging from a letter of reprimand through suspensions without pay of varying lengths to termination. A verbal or written admonishment may also be considered. UWLS has a compelling obligation to address allegations and suspected instances of sexual harassment when it obtains information that would lead a reasonable person to believe that this policy has been violated. UWLS is not precluded from taking any action it deems appropriate, including informing the alleged harasser of the complaint and pursuing an investigation even in cases when the complainant is reluctant to proceed. The complainant will be notified in advance when such action is necessary.

Drug Free Workplace Policy

It is the policy of UWLS to create a drug free work place in keeping with the spirit and intent of the Drug Free Work Place Act of 1988, as amended. The use of illegal controlled substances is inconsistent with behavior expected of an employee of UWLS. It is UWLS’s policy that an employee found with alcohol or illegal drugs in his/her system, in possession of, using, selling, trading, or offering for sale illegal or prescription drugs or alcohol during working hours, may be subject to disciplinary action up to and including discharge.
Purpose and Goal

UWLS is committed to protecting the safety, health and wellbeing of all employees and other individuals in our workplace. We recognize that alcohol abuse and drug use pose a significant threat to our goals. We have established a drug-free workplace program that balances our respect for individuals with the need to maintain an alcohol and drug-free environment.

- This policy recognizes that employee involvement with alcohol and other drugs can be very disruptive, adversely affect the quality of work and performance of employees, pose serious health risks to users and others, and have a negative impact on productivity and morale.
- This organization has no intention of interfering with the private lives of its employees unless involvement with alcohol and other drugs off the job affects job performance or public safety.
- As a condition of employment, this organization requires that employees adhere to a strict policy regarding the use and possession of drugs and alcohol.
- This organization encourages employees to voluntarily seek help with drug and alcohol problems.

Covered Workers

Any individual who conducts business for the organization, is applying for a position or is conducting business on the organization’s property is covered by our drug-free workplace policy. Our policy includes, but is not limited to PRESIDENT/PRESIDENT/CEO, executive management, managers, supervisors, full-time employees, part-time employees, off-site employees, contractors, volunteers, interns and applicants.

Applicability

Our drug-free workplace policy is intended to apply whenever anyone is representing or conducting business for the organization. Therefore, this policy applies during all working hours and whenever conducting business or representing the organization.

Prohibited Behavior

It is a violation of our drug-free workplace policy to use, possess, sell, trade, and/or offer for sale alcohol, illegal drugs or intoxicants.

Notification of Convictions

The PRESIDENT/CEO must be notified in writing by Employee within five calendar days of any conviction. The organization will take appropriate action within thirty (30) days of notification. Federal contracting agencies will be notified when appropriate.
 Searches

Entering Employer's property constitutes consent to searches and inspections. If an individual is suspected of violating the drug-free workplace policy, he or she may be asked to submit to a search or inspection at any time. Searches can be conducted of pockets and clothing, lockers, wallets, purses, briefcases and lunchboxes, desks and work stations and vehicles and equipment.

 Drug Testing

To ensure the accuracy and fairness of our testing program, all testing will be conducted according to DHHS/SAMHSA guidelines where applicable and will include a screening test; a confirmation test; the opportunity for a split sample; review by a Medical Review Officer, including the opportunity for employees who test positive to provide a legitimate medical explanation, such as a physician's prescription, for the positive result; and a documented chain of custody. All drug-testing information will be maintained in separate confidential records.

Each employee, as a condition of employment, will be required to participate in pre-employment, periodic, random, post-accident, reasonable suspicion and follow-up testing upon selection or request of management. The substances that will be tested for are amphetamines, cannabinoids, cocaine, opiates, phencyclidine (PCP) and alcohol.

Testing for the presence of alcohol will be conducted by analysis of breath, saliva and blood. Testing for the presence of the metabolites of drugs will be conducted by the analysis of urine, blood and hair.

Any employee who tests positive will be terminated immediately. An employee will be subject to the same consequences of a positive test if he/she refuses the screening or the test, adulterates or dilutes the specimen, substitutes the specimen with that from another person or sends an imposter, will not sign the required forms or refuses to cooperate in the testing process in such a way that prevents completion of the test.

Consequences

One of the goals of our drug-free workplace program is to encourage employees to voluntarily seek help with alcohol and/or drug problems. If, however, an individual violates the policy, the consequences are serious.

In the case of applicants, if he or she violates the drug-free workplace policy, the offer of employment can be withdrawn. The applicant may not reapply. If an employee violates the policy, he or she will be subject to progressive disciplinary action and may be required to enter rehabilitation. An employee required to enter rehabilitation who fails to successfully complete it and/or repeatedly violates the policy will be terminated from employment. Nothing in this policy prohibits the employee from being disciplined or discharged for other violations and/or performance problems.
Return-to-Work Agreements

Following a violation of the drug-free workplace policy, an employee may be offered an opportunity to participate in rehabilitation. In such cases, the employee must sign and abide by the terms set forth in a Return-to-Work Agreement as a condition of continued employment.

Assistance

UWLS recognizes that alcohol and drug abuse and addiction are treatable illnesses. We also realize that early intervention and support improve the success of rehabilitation. To support our employees, our drug-free workplace policy:

Employees are encouraged to seek help if they are concerned that they or their family members may have a drug and/or alcohol problem, and utilize the services of qualified professionals in the community to assess the seriousness of suspected drug or alcohol problems and identify appropriate sources of help.

Treatment for alcoholism and/or other drug use disorders may be covered by the employee benefit plan. However, the ultimate financial responsibility for recommended treatment belongs to the employee.

Confidentiality

All information received by the organization through the drug-free workplace program is confidential communication. Access to this information is limited to those who have a legitimate need to know in compliance with relevant laws and management policies.

Shared Responsibility

A safe and productive drug-free workplace is achieved through cooperation and shared responsibility. Both employees and management have important roles to play. All employees are required to not report to work or be subject to duty while their ability to perform job duties is impaired due to on- or off-duty use of alcohol or other drugs.

In addition, employees are encouraged to:

* Be concerned about working in a safe environment.
* Support fellow workers in seeking help.
* Report dangerous behavior to their supervisor.

It is the supervisor’s responsibility to:

* Inform employees of the drug-free workplace policy.
* Observe employee performance.
* Investigate reports of dangerous practices.
* Document negative changes and problems in performance.
* Counsel employees as to expected performance improvement.
* Clearly state consequences of policy violations.
Communication

Communicating our drug-free workplace policy to both supervisors and employees is critical to our success. To ensure all employees are aware of their role in supporting our drug-free workplace program:

* All employees will receive a written copy of the policy.
* The policy will be reviewed in orientation sessions with new employees.
* Employee education about the dangers of alcohol and drug use and the availability of help will be provided to all employees.
* Every supervisor will receive training to help him/her recognize and manage employees with alcohol and other drug problems.

Disciplinary action

An employee reporting for work visibly impaired who is unable to properly perform duties will not be allowed to work. If possible, the supervisor should first seek another supervisor’s opinion of the employee’s status. Then the supervisor should consult privately with the employee with the observation, to rule out any problems that may have been caused by prescription drugs.

If, in the opinion of the supervisor, the employee is considered impaired, the employee should be sent home or to a medical facility by taxi or other safe transportation alternative, depending on the determination of the observed impairment, accompanied by the supervisor or another employee, if necessary. An impaired employee should not be allowed to drive.

Allowable drug use

Drugs prescribed by the employee’s physician may be taken during work hours. The employee should notify the supervisor if the use of properly prescribed medication would affect the employee’s work performance.

On the Job Accidents

Report any accident or injury suffered on the job to the PRESIDENT/CEO who will contact the necessary insurance personnel. UWLS maintains workers’ compensation insurance required by law. Failure to record an injury promptly may result in loss of benefits from the workers’ compensation policy.
SECTION 7.0-COMPENSATION AND EVALUATION

Salary Administration

Guidelines
Ranges
Overtime Pay
Salary Review

Salary Administration

A formal wage and salary program shall govern the rates of pay for all regular employees. This program includes the following:

Wage and Salary Administration Guidelines

Annually, the PRESIDENT/CEO shall submit to the Executive Committee for approval a proposal for wage and salary ranges. The President will determine individual salary increases with the recommendation of appropriate supervisors and within the approved salary ranges and annual budget constraints. The recommended ranges will be submitted to the Board of Directors along with the annual budget proposal.

Wage and Salary Ranges

Each Job shall be assigned a salary range based on an assessment of external labor market rates, equitable relationships with other jobs within the organizations, and the organization’s ability to pay.

Employee’s pay within assigned ranges shall be based primarily on their performance in accordance with current Wage and Salary Administration guidelines (See 3.11)

Overtime Pay

No employee is entitled to overtime wages until that employee has worked a minimum of forty (40) hours in a particular week. Once a non-exempt employee has worked forty (40) hours in a particular week, each additional hour entitles the non-exempt employee to an hourly wage of 1.5 times the normal hourly rate. All overtime hours must be recorded indicating the individual date on which the overtime was accumulated and the amount of time, then submitted to UWLS prior to each pay period. Overtime must be approved prior to working overtime.

Holidays and Personal Leave will not be calculated in the forty (40) hour workweek for purposes of calculating overtime. For example, should UWLS have a paid Holiday on a Monday, an employee will be expected to work forty
(40) hours during the remaining work week to be entitled to overtime with no credit for work being given for the Holiday. In lieu of overtime pay, the PRESIDENT/CEO may assign compensatory time at a 1:1-1/2 ratio after the workweek. Exempt employees are not eligible for financial compensation for overtime work.

Salary Review

Each employee will be reviewed for a **merit-based pay increase** in concert with his/her annual performance evaluation. The merit pay increase is calculated at one to four percent (1-4%) of current base salary and will be applied to the employee's base salary for the following budget year. Determination of the exact percentage for the merit pay increase will be based upon the following three factors:

1. PRESIDENT/CEO's review of staff and the Executive Committee review of the PRESIDENT/CEO's performance in relation to overall performance rating, attainment of goals and objectives established the previous year,
2. The recommendation of the PRESIDENT/CEO for the Staff and the Board for the PRESIDENT/CEO and
3. Availability of funds.

The appraisal summary and merit pay determination will be reported to the Board. Each employee shall normally be eligible for a pay increase in July of each calendar year.

The President must approve exceptions to this normal schedule of pay increases. (See Performance Appraisals)
SECTION 8.0-COMPENSATION AND EVALUATION

Pay procedures

Scheduled Payday

The payroll period for all employees shall be bi-weekly, beginning on Sunday and ending fourteen (14) days later on Saturday.

All employees shall be paid on the Friday following the end of the pay period, provided no holidays occur during that week. If a holiday is observed during the week following the end of the pay period, then payday will be on the fifth business day following the end of the pay period.

Timesheets

Employees are required to maintain timesheets that correspond to the pay period for which they are being paid. All employees are required to complete, sign and submit the timesheet to the Finance department for preparation of the payroll no later than 9am on the first working day following the end of the pay period. Timesheets that are either not submitted in a timely fashion or are incomplete may not be processed with the payroll and may cause a delay in the employee’s receipt of payment.

Withholdings

State, Federal and Social Security taxes will be deducted automatically. No other withholding will be made unless required or allowed by law, contract, or employee obligation.

The PRESIDENT/CEO is the only staff person authorized to receive a writ of garnishment or a notice of levy by any taxing authority.

Optional Payroll Deductions

An employee may elect to have additional deductions (e.g., UWLS pledge and Retirement Plan) taken from their pay, but he/she must request the deductions in writing.

- United Way Donation
- Aflac
- 401(k) contribution
- Flex Savings account (FSA)
Pay Methods

**Direct Deposit** is a convenient method of receiving payroll funds. An employee may request to receive pay by direct deposit by completing an ACH form accompanied by a voided check.

**Payroll checks** will be available for pickup at 9:00 am on scheduled paydays at the United Way main office from either the Finance department or PRESIDENT/CEO. If the scheduled payday falls on a holiday when the office is closed, then the paycheck will be available the working day preceding the holiday.

If an employee is unable to pick up his/her check, he/she must give UWLS written permission in order to have another employee or relative collect it. The person picking up the employee's check must sign a receipt for the full amount of the check.

**Check Reissue**

Employees who discover a mistake in their paycheck, lose their paycheck or have it stolen should notify the Finance Department immediately. In the case of a mistake, the error will be remedied promptly by the Finance Department. In the case of loss or theft, the Finance Department will stop payment on the check and will make every attempt to replace the check within five (5) business days.
SECTION 5.0-COMPENSATION AND EVALUATION

Reimbursable Expenses

General

Employees traveling on UWLS business are representatives of United Way and are expected to maintain a high level of professionalism and to follow all of UWLS's policies and rules. It is the policy of UWLS that business travel must be approved in advance and should be engaged in and reimbursed according to the guidelines below. UWLS Expense Reports will be used to record expenses.

All employee business expenditures are to be submitted within thirty (30) days from the date that the expenses were incurred and are subject to UWLS's internal review process. Employees must book the least expensive fares, and stay and eat at moderately priced establishments. The maximum per diem rate for daily meals and lodging allowances is determined by the General Services Administration (GSA) rate for the specific area or location. A cash advance may be obtained for approved business travel by submitting a written request to the PRESIDENT/CEO that does not exceed approved per diem rates. UWLS reserves the right to issue further guidelines specifying and/or restricting reimbursement procedures.

Expenses for approved UWLS business will be reimbursed when properly documented by the employee and approved by the PRESIDENT/CEO. (The Board Chairman or Treasurer will review and approve travel and expenses by the PRESIDENT/CEO.) Examples of expenses normally paid or reimbursed include transportation, meals, lodging, and limited incidental expenses. Any travel expenses considered unreasonable under the circumstances will not be paid or reimbursed and are the employee's personal responsibility.

Mileage

UWLS will reimburse employees for business-related travel that is properly authorized, reasonable, and appropriately documented. UWLS will reimburse employees at the current rate approved by the Internal Revenue Service (IRS) for those miles incurred on an individual’s personal vehicle while conducting UWLS business. Reimbursement on a per mile rate is intended to cover all costs of operating the traveler's personal automobile including gasoline, oil, insurance, repairs, etc. Tolls and parking fees are considered additional reimbursable expenses. This policy aligns with IRS Publication 463.
Examples of mileage to be reimbursed are:

1. Mileage for workplace campaign presentations or to establish new business relationships for fundraising purposes,
2. Mileage for community meetings, such as Chambers of Commerce, Rotary, Kiwanis, etc.,
3. Mileage for business purposes, such as site visits, affinity group meetings, meetings in support of community partners, etc.,
4. Speaking engagements to promote the mission and support of UWLS,
5. Mileage to meet with community, committee, or board members,
6. Mileage to carry out other business matters of UWLS,
7. Mileage to airports for UWLS business, and
8. Return trips to the UWLS office after a UWLS business appointment.

Examples of mileage not to be reimbursed are:

1. Mileage commuting to UWLS office and home,
2. Mileage to personal doctor, counselor, professional or school appointments, or
3. Any mileage for personal business.

Examples of reimbursable mileage calculations are as follows:

Example 1: An employee leaves for a business appointment from the UWLS office. The employee may count the round-trip mileage from the office to the appointment and the return trip to the office for reimbursement.

Example 2: An employee goes to a business appointment from the UWLS office and will go home directly after the business appointment. The employee takes the round-trip mileage from the office to the business appointment and back to the UWLS office. The employee then subtracts their commute from the UWLS office to home. The difference is the reimbursable mileage, i.e., total round trip mileage minus the usual commute home mileage equals the reimbursable mileage.

Example 3: The employee lives in Eustis and attends the Lake Eustis Chamber of Commerce breakfast less than a mile away at 7 am (before office hours) to represent UWLS. The employee tracks the mileage from home to the event and then to the office and subtracts his/her usual commute to work mileage: 9.2 – 8.1 = 1.1 reimbursable miles.

Example 4: An employee lives in Eustis and attends a Chamber of Commerce event in Clermont at 7 am (before UWLS office hours). The employee’s usual commute mileage to UWLS is 8 miles. The employee takes the total mileage from (A) home to the event in Clermont, minus (B) subtracts his/her usual 8-mile
commute to work. \( A - B = \text{total reimbursable mileage}. \)

**Example 5:** An employee lives in Eustis and has permission to work from home for the day. His usual commute mileage to the office is 8.1 miles. The employee attends a UWLS business appointment in Mount Dora and returns home from the appointment to work. The employee tracks the total round-trip mileage (which is 6) and subtracts his normal commute mileage (8), or \( 6 - 8.1 = -1.9 \). Since the mileage from home to the appointment and back home is less than his usual commute to the office, the employee may not report the business mileage for reimbursement.

**Example 6:** An employee lives in Belleview (a 28-mile commute to the UWLS office) and reports to work at a partner’s facility before UWLS office hours (as in the case of the Master Teacher) for several days. The employee takes the round-trip mileage from home to the partner’s site and subtracts the 28-mile commute to the UWLS office. The difference is the reimbursable mileage.

Mileage is recorded on the UWLS Expense Report. Employees must submit their request for mileage reimbursement within 30 days of travel. Employees who fail to submit timely requests may not be reimbursed for travel expenses.

UWLS requires that personal vehicles used on UWLS business be insured as required by law. UWLS does not provide reimbursement for deductible amounts applicable under personal vehicle coverage.

### Meals

UWLS will reimburse employees for business-related meals that are properly authorized and appropriately documented. Business related meals are scheduled meals where United Way activities and business will be promoted or conducted. Meal expenses should be reasonable and should not exceed the GSA rates for the location. Meal costs are reimbursed for the actual, reasonable cost, including tax and gratuity, and will be documented on the UWLS Expense Report form with appropriate receipts attached.

### Lodging

UWLS will reimburse employees for business related lodging that is properly authorized, appropriately documented, and taxes are exempted. Lodging expenses should be reasonable and should not exceed the GSA rates for location. Reimbursement will be made for actual and reasonable lodging expenses when supported by the paid receipts and documented on the UWLS Expense Report.

Hotel reservations may be made with a UWLS business credit card to guarantee a late arrival. If unable to honor that reservation, it is the employee’s
responsibility to ensure that the room is canceled in compliance with the
cancellation terms established by the hotel.

Unless there is an authorized reason for not canceling a reservation, UWLS will
not pay those charges and they will be the responsibility of the individual. Late
check-out penalties are not reimbursable.

Conference

When an employee is authorized to participate in training programs, conventions
or conferences, the registration fees may be prepaid by UWLS or reimbursed
afterward when supported by the paid receipt and documented on the UWLS
Expense Report.

Commercial Transportation

Employees must provide an itinerary with their intended methods of
transportation at least seven days in advance and book inexpensive commercial
transportation when traveling on UWLS business and use the organization’s tax-
exempt certificate to save on sales taxes. Commercial transportation fares may
be pre-paid by UWLS or will be reimbursed when supported by the paid receipt
and documented on UWLS Expense Report. Reimbursable commercial
transportation includes airfare, bus fare, taxi fare, shuttle fare and
accompanying gratuity.
SECTION 5.0-COMPENSATION AND EVALUATION

Performance Appraisals

General

Unsatisfactory Performance

General

The effectiveness of UWLS is dependent upon a competent staff fully cognizant of its duties, responsibilities and performance standards. Therefore, the purpose of the performance appraisal process is to enable each employee to understand what is required of the position, to know how well he/she is performing and to identify steps needed to improve performance or to prepare for more responsibilities.

The PRESIDENT/CEO will complete the staff's performance appraisals. The Executive Committee will complete the PRESIDENT/CEO's performance appraisal. At least once each year, employees and their supervisors will participate in an employee performance appraisal process.

A performance appraisal should be accomplished upon the following occasions: 1) at the end of the probationary period, 2) on the anniversary month of employment or 3) the last month of the fiscal year. Between scheduled appraisals, the PRESIDENT/CEO should keep records of any significant incidents related to the employee, including any disciplinary actions. The employee should receive a copy of the memo that describes the event.

The performance appraisal should include evaluation comments and recommendations for continued improvement. In evaluating the employee, the supervisor should consider factors such as the experience and training of the employee, the job description and the employee's attainment of annual objectives. Other factors that normally should be considered include knowledge of the job, quantity and quality of work, promptness in completing assignments, cooperation, initiative, reliability, attendance, judgment, conduct and acceptance of responsibility. The UWA Core Competency Appraisal form will be used to evaluate the PRESIDENT/CEO.

After the appraisal process has been completed, the PRESIDENT/CEO will meet with the employee and the Board Chair will meet with the PRESIDENT/CEO. During that meeting, the supervisor will discuss the evaluation, assessing the employee’s strengths and weaknesses in a constructive manner and will determine management objectives for the upcoming year. The supervisor will complete and sign the Performance Appraisal Summary and the employee will sign the form to verify that it was
reviewed. The employee will be given the opportunity to examine the appraisal and make written comments about any aspect of it. The completed appraisal form will become part of the employee’s personnel file.

**Unsatisfactory Performance**

In instances where an employee’s job performance is less than satisfactory, a review will be conducted and appropriate action will be taken at the discretion of the supervisor. Memo of review and remedy will become part of employee’s personnel file.
SECTION 6.0 - EMPLOYEE BENEFITS

Holidays

Observance
Pay Eligibility

Holidays

UWLS provides 9 paid holidays each year to full-time employees. Part-time employees who work at least 20 hours a week are eligible to receive holiday pay only if the day they are scheduled to work falls on a holiday and the office is closed.

The office will be closed on the following 9 holidays:

- New Year's Day
- Thanksgiving Day
- Memorial Day
- Thanksgiving Friday
- Independence Day
- Christmas Eve
- Labor Day
- Christmas Day
- New Year's Eve

Observance

These holidays shall be observed on the day they fall; except when the above days fall on a Saturday, the previous Friday shall be observed; when the above days fall on a Sunday, the following Monday shall be observed.

Eligibility for Pay

If a holiday occurs during the time you are taking paid annual leave, that day is paid as a holiday and not charged to annual leave. An employee on leave without pay on either their regularly scheduled day preceding or following the observed holiday shall not be eligible for holiday pay.

An employee eligible for holiday pay and required to work an observed holiday shall receive:

1) holiday pay and regular pay for all hours worked on the holiday or
2) regular pay for all hours worked on the holiday and time off with pay equal to the hours worked on the holiday within (10) days before or following the holiday.

Either options may be requested by the employee, but is subject to approval.
SECTION 6.0 - EMPLOYEE BENEFITS

Paid Leave

Annual Leave
Sick Leave
Personal Leave
Jury Duty
Bereavement Leave
Hazardous Weather

Annual leave

Eligibility

Regular, full-time and part-time employees are eligible to receive annual leave with pay. Temporary employees are not eligible for annual paid leave.

Part-time employees must work at least 20 hours per week to be eligible for annual paid leave.

Accrual

Annual leave should be approved by the PRESIDENT/CEO prior to the start date and is accrued as follows:

<table>
<thead>
<tr>
<th>Employed</th>
<th>Vacation</th>
<th>Full-time</th>
<th>Part-time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 1 year</td>
<td>1 week</td>
<td>10 hrs/3 mo</td>
<td>5 hrs/3 mo</td>
</tr>
<tr>
<td>1-5 years</td>
<td>2 weeks</td>
<td>20 hrs/3 mo</td>
<td>10 hrs/3 mo</td>
</tr>
<tr>
<td>5-10 years</td>
<td>3 weeks</td>
<td>30 hrs/3 mo</td>
<td>15 hrs/3 mo</td>
</tr>
<tr>
<td>10+ years</td>
<td>4 weeks</td>
<td>40 hrs/3 mo</td>
<td>20 hrs/3 mo</td>
</tr>
</tbody>
</table>

Upon start of employment, an eligible employee will begin to accrue annual leave days each quarter at a rate specified in the chart above. If an employee is hired between the first and fifteenth of the month, accrual will begin on the first of the month in which he/she was hired. If an employee is hired between the fifteenth and the end of the month, vacation days will begin accruing on the first of the following month. The maximum amount of accrued vacation days allowed is thirty (30) days. Accumulated and used annual leave time will be reflected on a quarterly statement for each employee.

Note: The President/PRESIDENT/CEO shall receive one extra week of vacation each year.

Requests for Annual Leave

Annual leave benefits are available for use after the probationary period. Employees shall request use of Annual leave in writing as far in advance as
possible and according to any procedures established. They must be pre-arranged with and approved by the PRESIDENT/CEO to avoid conflict with schedules and other work of the UWLS, which may require the presence of the staff member. No more than two employees may be on vacation at the same time. In the event of conflict, preference will be given to service seniority. All Annual leave requests are subject to supervisory approval based on projected workload demands and available staff.

An employee must take at least five (5) consecutive days of vacation per full calendar year. Exceptions to this policy may be granted by the PRESIDENT/CEO.

In the event of termination of employment, employees who have worked a minimum of two years will be paid for up to fifteen (15) days of unused accrued annual leave unless terminated for cause from UWLS.

**Sick leave**

**Sick Leave Eligibility**

Regular, full-time and part-time employees are eligible to receive sick leave with pay. Temporary employees are not eligible for sick leave.

**Sick Leave Accrual**

For all regular, full-time employees sick leave is accrued at a rate of four (4) hours per month of active employment. For all regular, part-time employees sick leave is accrued at a rate of two (2) hours per month of active employment. If an employee is hired between the first and fifteenth of the month, accrual will begin on the first of the month in which he/she was hired. If an employee is hired between the fifteenth and the end of the month, sick days will begin accruing on the first of the following month. Sick days may be accumulated to a maximum of thirty (30) days.

**Sick Leave Use**

Sick leave benefits are available for use after the initial thirty (30) days of employment. Sick leave pay is allowed in the event the employee is actually ill or injured, or in an instance where the employee must miss work in order to be with an individual who is dependent upon the employee for care. When an employee’s illness continues beyond the expiration of sick leave credit, the remaining time may be charged to annual leave or as a leave of absence.

Employees eligible to use sick leave time may charge visits to the doctor or dentist for medical, dental or optical examination or treatment or other personal related reasons. Sick leave may be used and charged against accrued time in two (2) hour increments. Except in emergencies, employees must schedule such visits with the prior approval of their supervisor.
It is the employee’s responsibility to notify the PRESIDENT/CEO of his/her appointment(s) and/or to call the UWLS office when he/she is sick. An employee who has been absent from work due to illness or injury for more than five (5) consecutive working days may be required to provide a doctor’s written statement regarding the nature of illness or injury and release to return to work upon coming back to the job. In other special instance when there is a reasonable cause for concern for an employee’s health and safety even though returning to work sooner than five (5) consecutive days of absence, a doctor’s statement and written release may also be required of the employee.

In the event of termination of employment, employees who have worked a minimum of two (2) years will be paid for up to thirty (30) days of unused accrued sick leave at the rate of fifty percent (50%) of the current rate pay, unless terminated from UWLS for misconduct.

Personal leave

Full time salaried employees will be entitled to five (5) personal days per year. They will begin to accrue from date of hire at the rate of ten (10) hours per quarter. If an employee is hired between the first and fifteenth of the month, accrual will begin on the first of the month in which he or she was hired. If an employee is hired between the fifteenth and the end of the month, personal days will begin accruing on the first of the following month. Unused personal days expire six (6) months after date of accrual credit. Unused days will not be compensated. Personal days may be scheduled with the agreement of the PRESIDENT/CEO and the employee following the completion of the probationary period. Full time hourly employees will be entitled to two (2) personal days per calendar year, accrued four (4) hours per quarter.

Jury duty

Employees are encouraged to accept this civic responsibility if called upon to do so. An employee summoned and serving jury duty will be granted time off with pay when needed for actual jury duty. The PRESIDENT/CEO should be notified when the employee receives a summons to serve. Employees are expected to return to work when excused from jury duty for the day or when the period of jury duty is over. The employee’s pay will be reduced by the amount of any jury duty compensation received.

Bereavement leave

Time off with pay is granted in the event of a death in the immediate family (see Glossary) according to the following schedule:
- Up to three working days for full time regular employee.
- 1.5 working days for part-time employee.
- One-half working day for attending a funeral for any other relative.

Notify the PRESIDENT/CEO for approval of bereavement leave as soon as
possible. Additional time may be charged to annual leave should more time off be needed.

Immediate Family Members Defined: An individual's spouse, children, grandchildren, parents, grandparents, siblings.

Hazardous weather

The PRESIDENT/CEO shall determine when UWLS will be officially closed or opening late because of the weather and will notify staff. The PRESIDENT/CEO will take into account weather conditions affecting our location and issue appropriate instructions to staff to protect their safety.

There will be a recorded message on the main phone to inform the community of such closings. In the event of closure, employees are to be paid for the regular hours that they would have worked.
SECTION 9.0 - EMPLOYEE BENEFITS

Unpaid Leave

Definition
Eligibility
Duration
Types of Unpaid Leave
Reinstatement
Seniority
Employee
Responsibilities
Effects of Benefits
Return to Work

Definition

A Leave of absence is an approved absence from work without pay. Employees must submit a written request for leave of absence and receive approval by the PRESIDENT/CEO. Leaves of absence are normally granted in order to maintain continuity of service where unusual or unavoidable circumstances require an employee’s absence.

Whenever possible a request should be made at least one month in advance. Requests for leaves of absence will be individually reviewed and granted by the PRESIDENT/CEO only after careful consideration of the impact of the absence on the United Way organization. In no instance is a leave of absence granted automatically.

Eligibility

Leaves of Absence may be granted to non-probationary full-time employees only.

Duration

The length of the leave will depend on its nature. In general, leaves of absence will be referred to as:

- **Short-term**: 11 days to 6 months
- **Long-term**: More than 6 months

In no instance will a leave exceed one (1) year. This does not cover military leave that is governed by federal and state law.
Types of Unpaid Leave

Personal Leave: Any leave other than for disability and military.

Disability Leave: A leave resulting from a mental or physical impairment supported by a statement from an attending physician.

Military Leave: Employees required to report for temporary annual duty in military service may elect annual paid leave in lieu of military leave. Employees are responsible to contact their supervisors so that work coverage can be made as far in advance as possible.

Reinstatement

Leaves of Absences will be granted with the understanding that every reasonable effort will be made to reinstate the employee in the same or comparable position as held at the time of the leave began (provided a vacancy exists and the employee is qualified for the position in question).

If possible, the employee’s position will be held open through either a temporary replacement or distribution of job duties within the department until the employee returns from leave. The following factors will be taken into consideration before deciding on a replacement of an employee who is requesting a leave:

1. Workload of office staff
2. Purpose of Leave
3. Length of prior service
4. Duration of leave

Seniority

Leave of absence will not be considered a break in service. For leave of absence of thirty (30) days or more, the employee’s service record shall be discontinued and seniority shall be frozen until the date of reinstatement.

Employee Responsibilities

An employee who is granted a leave of absence is expected to meet certain conditions. An employee who requests a leave of absence must be aware of his/her responsibilities as follows:

1. Request a Leave of Absence in writing, giving specific reasons for requesting leave.
2. In the case of personal leave, employees may request in writing for insurance coverage to continue by sending in the entire premium to the bookkeeper each month during their absence.

Effects on Benefits

Pension Coverage: Any employee on a Leave of Absence will not receive more than three months (501) hours service credit to the pension plan within any calendar year.

Health Insurance: Coverage and premium payment while on an authorized leave of absence will be as follows:

1. If it is a disability leave, the employer pays full premiums for the first 90 days. After 90 days, employee may choose to continue coverage by covering cost.
2. If it is a personal or military leave, employee pays premiums to United Way bookkeeper on a monthly basis. Coverage will remain in force as long as premium payment is timely.

Benefit Accrual: Employees on unpaid leave shall not accrue sick, personal, and paid annual leave benefits.

Return to Work

If the employee was out due to illness or injury, (including maternity) a doctor’s statement of fitness to work is required.
SECTION 10.0 - EMPLOYEE BENEFITS

Group Benefit Programs

Medical
Life
Disability
Retirement

Medical Insurance Coverage

All regular employees of the UWLS are eligible to participate in the UWLS health benefits program following completion of the probationary period. Employees hired on the first working day of the month are eligible to start coverage on their fourth month of employment. Employees hired after the first working day of the month are eligible to start coverage the first working day of the fifth month of employment. The United Way will pay the entire monthly premium for regular, full-time employees. Regular, part-time employees may participate at their own cost. Dependent coverage is also available at the expense of the employee.

Group Life Insurance

All regular, full time employees are provided with life insurance following the completion of the probationary period. The United Way pays full premium.

Group Accidental Death & Dismemberment Insurance

Employees who work 1,000 hours or more a year become eligible for Accidental Death and Dismemberment Benefits following the completion of three months’ service.

Retirement

UWLS will provide a supplemental pension plan for employees who work at least thirty hours per week. After twelve (12) months of employment, all employees who meet eligibility requirements of the Plan may enroll in the United Way retirement plan with a five (5) year vesting schedule. At that time and at no cost to the employee, UWLS shall contribute a base amount of 3% of the employee’s compensation to the plan. Deposits will be made monthly. Optional Employee contributions to the plan will be matched up to an additional 3% by UWLS.

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3 Subheading changed & adopted by UWLS BOD April 12, 2017.
SECTION 11.0- EMPLOYEE RELATIONS

Formal Disciplinary Actions
Conflict Resolution
Dispute Process
Staff Grievance

Formal Disciplinary Actions

Under normal circumstances, UWLS endorses a policy of progressive discipline in which it attempts to provide employees with notice of deficiencies and an opportunity to improve. UWLS does retain, however, the right to administer discipline in any manner it sees fit. This policy does not modify the status of employees or in any way restrict UWLS’s right to bypass the disciplinary procedures suggested.

In the event of an employee’s failure to meet performance expectations or to comply with these personnel policies or other operational policies or procedures of the United Way, the PRESIDENT/CEO shall have the right to impose disciplinary action. Such action may take the form of an oral warning, a written warning, a suspension, a demotion, a transfer or termination. The PRESIDENT/CEO shall determine the extent of disciplinary action depending upon a review of all relevant facts and circumstances. All disciplinary actions must be documented.

The normal process of progressive discipline will be initiated when an employee is not meeting UWLS standards of behavior or performance. The employee’s supervisor shall take the following action:

• Meet with the employee to discuss the matter;
• Inform the employee of the nature of the problem and the action necessary to correct it. Issue a written reprimand or warning and place document in personnel file.
• If there are additional occurrences, the PRESIDENT/CEO may or may not offer a second chance and can terminate employee.

Employees who believe that they have been disciplined too severely or who question the reason for discipline are encouraged to use the Dispute Resolution Process.

Conflict Resolution

The purpose of this policy is to provide employees with the means to seek resolution of management decision or actions that they may deem inconsistent or in direct conflict with these personnel policies, other operations policies or procedures, or fair and consistent management practice.
Dispute Process

UWLS anticipates that each employee will have a successful employment experience. However, there may be an occasion when a problem relative to your working conditions or the administration of Organization and Personnel Policies may occur. A dispute is an allegation, by an employee, that there has been a violation, misinterpretation or misapplication of the terms of the UWLS Official Policy Manual.

An Employee who feels that he/she has an appropriate dispute should proceed as follows:

• Informal Complaint & Meeting with PRESIDENT/CEO. The employee will submit his/her complaint in writing. The PRESIDENT/CEO shall resolve the issue within five (5) business days of receiving the written complaint and shall prepare a written summary of the dispute and proposed resolution for the employee's personnel file.

• Appeal decision to the Board Chair: An employee may appeal in writing the PRESIDENT/CEO's decision to the Board Chair. The Board Chair will investigate the dispute and will then issue a written decision within 30 days. The Board Chair may forward the appeal to the Board when deemed appropriate.

Staff Grievances

When a work-related issue cannot be resolved through discussions between the individuals concerned, the staff member may file a grievance. The grievance procedure is available to all staff members who have completed an initial 90-day provisional period of employment. Staff members who have not completed an initial provisional period cannot file a grievance unless the issue involves alleged discrimination.

Staff members may use the grievance procedure without fear of reprisal or retaliation. It is a clear violation of policy for a supervisor to retaliate against a staff member who uses the grievance procedure.

The grievance procedure applies to problems involving:

• employment (e.g., hiring, salary, job classification, promotion, discipline, probation and termination);

• failure to apply policy;

• violation of a contract provision, company policy/rule or a past practice;

• treatment of a member or grievant differently than other members in the same situation or with similar problems.

If there is more than one grievant on a particular matter, each grievant is required
to file a separate grievance. Staff members who wish to file a formal charge of sexual harassment should refer to the formal sexual harassment complaint procedure.

Since the grievance procedure is provided for the internal resolution of problems and is not a legal forum, staff members may not be accompanied by outside counsel.

Filing a Grievance

To file a grievance, the staff member must submit a written statement summarizing the issue to the PRESIDENT/CEO. If the respondent named in the staff member's grievance is the PRESIDENT/CEO, the grievance should be submitted to the Board Chair or any other Executive Committee member. The Executive Committee member who receives the initial written grievance will herein be referred to as the ombudsman. Grievances must be submitted in a timely manner, normally within one month of the failure to resolve the issue through informal channels. The following information should be included:

- **Grievance Statement**—A description of the issue, including the policy or rule that the staff member alleges was violated, if applicable, and the name of the respondent.

- **Background**—A statement of the relevant facts supporting the staff member's position, including information about the impact the issue has had or is having on the staff member.

- **Requested Resolution**—A statement of what the staff member is requesting as a satisfactory resolution to the grievance.

Staff members cannot modify or expand a grievance once it has been submitted for consideration. If a staff member who has already filed a grievance wishes to pursue new issues, a new grievance must be filed. Staff members can, however, supplement their initial grievance statement with additional information in order to clarify the issues further. The staff member can stop the grievance process at any time by giving written notice.

Grievance Resolution Procedure—PRESIDENT/CEO not involved in grievance

**Step 1**

The PRESIDENT/CEO schedules individual and/or group meetings with the staff member and the respondent named in the staff member's grievance statement within five working days of receiving the written statement from the staff member. The purpose of this meeting is to discuss the issues raised by the staff member and to consider possible solutions.

Prior to this meeting, the PRESIDENT/CEO arranges for the respondent named in the grievance to receive a copy of the staff member's grievance statement.

The respondent named in the grievance is required to respond in writing to the PRESIDENT/CEO within five working days following the meeting with the
PRESIDENT/CEO. The PRESIDENT/CEO will provide a copy of this communication to the staff member within 5 working days.

Step 2

If any one of the following occurs:

1. respondent named in the grievance refuses to attend the meeting;
2. respondent named in the grievance does not respond to the staff member's grievance in writing within five working days following the meeting with the PRESIDENT/CEO;
3. the grievant notifies the PRESIDENT/CEO in writing within 5 days of receiving the respondent's response that he/she does not agree that the grievance has been satisfactorily resolved

then the PRESIDENT/CEO has the responsibility to consider known facts, conduct further investigation and conclude a fair resolution which may include corrective action, disciplinary action or termination. The PRESIDENT/CEO must reach a fair resolution and communicate it to grievant and respondent within 20 working days of receiving the notification from the grievant.

Step 3

If the grievant does not agree that the grievance has been satisfactorily resolved in step 2, the grievant can request in writing to the PRESIDENT/CEO that the grievance be referred to the Executive Committee. This request must be submitted to the PRESIDENT/CEO within 5 working days of receiving the resolution from the PRESIDENT/CEO and include the reasons for referring the grievance to the next step. Otherwise, the grievance is considered to be resolved. The PRESIDENT/CEO arranges a meeting with the Executive Committee for review. The Executive Committee will work to resolve the dispute and communicate the solution to all parties within 20 working days of receiving notice of the grievance. The decision of the Executive Committee is final.

Grievance Resolution Procedure—PRESIDENT/CEO named in grievance

Step 1

The ombudsman schedules individual and/or group meetings with the staff member and the PRESIDENT/CEO within five working days of receiving the written statement from the staff member. The purpose of this meeting is to discuss the issues raised by the staff member and to consider possible solutions.

Prior to this meeting, the ombudsman arranges for PRESIDENT/CEO to receive a copy of the staff member's grievance statement.

The PRESIDENT/CEO is required to respond in writing to the staff member's
grievance within five working days following the meeting with the ombudsman. The PRESIDENT/CEO provides the written response to the ombudsman who gives a copy of this communication to the staff member within 5 working days.

Step 2

If the grievant does not agree that the grievance has been satisfactorily resolved, the grievant can request in writing to the ombudsman that the grievance be referred to the Executive Committee. This request must be submitted to the ombudsman within 5 working days of the Step 1 meeting and include the reasons for referring the grievance to the next step. Otherwise, the grievance is considered to be resolved. The ombudsman arranges a meeting with the Executive Committee for review.

The Executive Committee will work to resolve the dispute and communicate the solution to all parties within 20 working days of receiving notice of the grievance.

Step 3

The Full Board is responsible for hearing grievances, at the request of the Executive Committee, involving the PRESIDENT/CEO that cannot be resolved at Step 2 in the grievance procedure. The decision of the Full Board is reached by a majority vote and is communicated to the all related parties within twenty (20) working days of receiving the grievance from the ombudsman. This decision is final unless additional information is discovered that would cause the case to be reconsidered.
SECTION 12.0 - TERMINATION

Voluntary Termination

Resignation Process

Final Pay and Benefits

Exit Interview

Request for References

Rehire Status

Funding Limitations

An employee’s employment is subject to termination “at-will” at any time without cause.

Voluntary Termination

If you desire to terminate your employment relationship with UWLS, you should notify the PRESIDENT/CEO at least two (2) weeks in advance of your intended termination. UWLS reserves the right to terminate employment at any time for violation of policy and procedures, failure to meet job competence or for conduct inconsistent with UWLS mission and goals. Also, an employee who is absent from work for three (3) consecutive days without being excused or giving proper notice will be considered as having voluntarily resigned.

Resignation Process

An employee is requested to give a written two-week notice of their intent to resign. However, the PRESIDENT/CEO has the option to accept the resignation immediately upon receipt of written notice. Failure to give written notice may result in forfeiture of non-vested UWLS benefits such as pay out for unused annual and sick leave and render him/her ineligible for rehire.

The PRESIDENT/CEO should give as much advance notice of his/her intent to retire as possible but at least thirty (30) days.

To ensure that termination is the appropriate course of action, the PRESIDENT/CEO will review employee records and make recommendations before any final action is taken. This review will ensure that the decision is based on objective and job-related reasons that the employee has been treated fairly and that the discipline is administered consistently among similarly situated employees.

Final Pay and Benefits

If a resigning employee has given a two-week notice, a paycheck will be ready on the final day. The final paycheck will include pay for work up through the termination date.
All mandatory legal deductions will be made on the final check. An employee has the option of selecting which voluntary deductions to include through calculation of the final pay.

A separate check will be processed for accrued unused annual leave for which the employee is eligible and mileage/other expense reimbursement if applicable and will be mailed to employee’s address on file.

The PRESIDENT/CEO will be responsible for distributing the final paycheck to the employee in instances of voluntary resignation. When presenting the final pay, the PRESIDENT/CEO will be responsible for obtaining from the employee all UWLS property such as keys, company credit cards and other property. If the employee owes UWLS any money or is responsible for any lost or damaged property, those accounts are to be settled by deduction from final pay, unless prohibited by law.

An employee’s medical insurance coverage will continue through the end of the month in which the employee terminates.

United Way’s contribution to an employee’s pension plan stops upon termination. An employee may withdraw any personal funds contributed to the pension plan, but employer contributions for which an employee is vested must stay in the pension plan until the employee’s retirement.

Exit Interview

Whenever possible, exit interviews will be conducted with terminating employees. The PRESIDENT/CEO will offer to conduct an exit interview no later than the employee’s last working day. The exit interview will be conducted privately with the employee by the PRESIDENT/CEO in a manner which encourages free and open discussions of the employee’s feelings regarding the organization, working environment, fellow employees, and any other concerns the employee might have.

The PRESIDENT/CEO will maintain written reports of the termination notice meeting (when applicable) and exit interview. Pertinent items requiring managerial review and needed changes of policy will be brought to the attention of the Executive Committee.

The exit interview is confidential and does not become part of the employee’s work record. Exit interviews are filed in the personnel records.

Request for References

Requests for employment references must be made in writing to the PRESIDENT/CEO and should include an authorization by the employee for the release of the requested information and release of confidentiality. The PRESIDENT/CEO will not release information without the employee’s
authorization and will limit the information to verification of the employee’s position, wages and dates of employment with UWLS and rehire status.

Rehire Status

Former United Way employees who left in good standing may be considered for rehire and will retain accumulated seniority. Employees who retire may be eligible to be considered for rehire and/or as consultants. Former employees who resigned without notice or who were dismissed for disciplinary reasons may not be considered for rehire.

Funding Limitations

While we do not like to think about funding limitations, it may be necessary to do a reduction in force, eliminating some employees because of funding limitations. If this becomes necessary on an individual basis because of a program's elimination or due to a reduction in force, the employee will be given at least two weeks’ notice of termination whenever possible. He/she would then be qualified for unemployment benefits.
Policy Certification

The personnel policies are not intended to be contractual nor should they be construed as such. Rather, the policies are written for the purpose of giving employees a brief description of benefits, policies and procedures in place at UWLS. These policies are implemented at the sole discretion of management; are reviewed and approved by the Executive committee; and may be withdrawn or changed at any time without notice. Employees of UWLS may resign their employment at any time, and for any reason or no reason, and UWLS reserves the same right to terminate the employment of any employee under the same conditions. Nothing in these policies shall be interpreted to be in conflict with, eliminate, or modify in any way the employment-at-will status to the UWLS Counties employees.

I, ________________________________, acknowledge that I have received, reviewed and understand my personal copy of the United Way of Lake and Sumter Counties Official Policy Manual. I understand that each UWLS Board member, staff, volunteer and representative is responsible for adhering to the core values, code of ethics, and the operating policies, standards and principles that are contained in UWLS Official Policy Manual. I also agree that I will conduct myself in accordance with the policies, principles and standards of this Manual. This certification is required for all employees of United Way of Lake and Sumter Counties.

__________________________________________   __________________________
Signature                                      Date