

Northern Santa Barbara County
United Way
P. O. Box 947
Santa Maria, CA 93456
Phone 805 922-0329
Lompoc 805 735-1825
Solvang 805 688-7979
Fax 805 349-9848
contact@uwcentralcoast.org



| Successful Children | Independent Seniors | Strong Families |
| Better Community |

Thank you for your willingness to participate with Northern Santa Barbara County United Way by joining the Lompoc Advisory Council Team (ACT). Your team gives local representation focusing on the specific needs of Lompoc Valley. We look forward to working with you as we address community issues that impact all of us.

This is an exciting time to be a part of your local United Way. Across the country the volunteer role within the organization's Community Impact Model is being greatly expanded. The involvement is year round. Emphasis is placed on knowing the issues, being aware of other community resources, understanding the gaps in services, and developing strategies to address unmet needs. You, and your team, will help to establish priorities for fundraising and strategies for investment. You will be part of the decision-making process for each of the above focus areas affecting investments in both direct services and community-change efforts. These are extremely pivotal decisions for the organization that will require your time and commitment. Be assured your United Way staff and Board of Directors will do their best to provide you with all the support, guidance, and assets you need to successfully represent your community.

United Way cannot accomplish its goals without your participation. Again, we truly appreciate your volunteer efforts. Welcome aboard!

Best regards,

Eddie Taylor
Chief Executive Officer

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WELCOME TO NORTHERN SANTA BARBARA COUNTY UNITED WAY

Northern Santa Barbara County (NSBC) United Way is one of nearly 2100 local United Ways in the United States. You'll also find United Ways on an international scope, in Canada, parts of Europe, and even in Asia. Like its counterparts, NSBC United Way is a non-profit corporation that is locally governed by a board of directors. It is affiliated with the United Way of America in Alexandria, Virginia, by utilizing the national logo and taking part in staff training programs and national initiatives. Beyond this, NSBCUW operates with total independence to set its own policies, funding relationships and role in the community. NSBCUW service area includes Santa Ynez Valley, Lompoc Valley, Santa Maria Valley, Cuyama (the geographic area from the Gaviota Pass to the northern county line).

OUR MISSION AND VISION

To improve lives by leading, collaborating and mobilizing resources to address community needs and priorities in the communities of Northern Santa Barbara County.

With three basic functions:

- 1. Resource Development:** Fundraising through the annual United Way Campaign and other planned giving programs.
- 2. Community Impact Services:** Coalition building to solve community problems and promote the development of a comprehensive, integrated, and coordinated human services system.
- 3. Agency Services:** Allocating resources to local human service agencies in a prudent manner, to ensure both the availability of services and their measured effectiveness to meet documented community needs.

COMMUNITY IMPACT

Beyond fundraising and fund distribution, NSBC United Way's business, simply put, is Community Problem Solving. This is a much broader perspective. NSBC United Way can play a major role in bringing organizations and individuals together to solve health and human service problems. NSBC United Way has a major stake in helping the whole system work better.

HOW COMMUNITY INVESTMENT FITS IN

Community Investment is a function within Agency Services. The Community Investment function is the responsibility of community volunteers. Through the **Community Advisory Council Team (ACT)** review process, agencies' funding requests are reviewed and services evaluated to assure that changing community needs are being met. Recommendations of ACT Volunteers are channeled through the NSBCUW Executive Committee to the Board of Directors. The Board of Directors has the final authority to distribute funds.

STAFF ROLES

A small core of professionals and support staff work full time to assist in the entire Community Investment process.

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Advisory Council Teams (ACT)

Description of Responsibilities

Position Title: Member, Community Advisory Council Teams (ACT)

Purpose: The Community Advisory Council Teams (ACT) oversee key aspects of United Way's efforts to improve the community's well-being through the work of the Impact Councils / Board of Directors.

Together, the ACT and Board of Directors are responsible for resource development, oversight of United Way's contractual relationships with its Community Impact Partners (Donors) and Impact Grantees (Agencies) and for management of the Contingency Fund.

The Committee is directly responsible for:

- **assisting in the fund raising campaign,**
- **making funding and other recommendations, i.e., public policy advocacy, community initiatives, to the Board;**
- **and for determining: United Way's yearly investment strategy; United Way's percentage investment in each of its Impact Areas; and United Way's priorities for gap and emerging needs investments through the Crisis Response Fund.**

RESPONSIBILITIES

- Participate in the Committee's discussions and deliberations as it formulates its recommendations on the items noted above
- Become familiar with community issues and service needs as they relate to the Impact Areas
- Actively participate in the Committee's activities
- Represent Northern Santa Barbara County United Way publicly as needed

REQUIREMENTS

- Dedication to the effective investment of United Way funds
- Commitment to the mission and goals of the Northern Santa Barbara County United Way
- Interest in the Northern Santa Barbara County community and its needs
- Commitment to and appreciation of diversity
- Ability to work cooperatively within a team to arrive at a consensus
- Ability to make the necessary time commitment

TIME COMMITMENT

- Two year term (Agency Executives will serve one year terms)
- Committee meets monthly / as needed

COMPOSITION - The Community Advisory Council Teams (ACT) will be comprised of 10-15 volunteers and reflect the geographic and ethnic diversity of the community. The Chair will represent the council as a member of the Board of Directors. Membership will include issue experts, other health and human services representatives, government services representatives and members of the community.

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TOGETHER, THE COMMUNITY ADVISORY COUNCIL TEAMS (ACT) WILL:

- Work with the United Way Resource Development staff to develop a fund raising plan.
- Assist in / participate in establishing workplace campaigns and other resource development strategies.
- Assess needs, resources and data to refine and develop strategies within Community Impact Areas.
Action steps will include:
 - Identifying critical community partners
 - Creating benchmarks and identifying tracking sources
 - Identifying current funding resources directed at priority issues
 - Creating mid-range and short-range outcomes
 - Reviewing agency proposals
- Develop plans, that include mid-range and short-range outcomes, and that utilize strategies including public policy, advocacy, resource development opportunities, and other recommendations
- Assist in the implementation of approved recommendations.
- Review and evaluate community needs assessments,
- Participate in the review and evaluation of applications submitted by nonprofit organizations, make recommendations as to appropriate funding levels and evaluate outcome performance.
- Continue learning about community issues and ways to address them.

TIME COMMITMENT:

Participate actively for a full term on the council as noted below.

An estimate of the meeting commitment is as follows:

- **ACT** Orientation (1 hour)
- **ACT** Resource Development Planning (8 hours)
- **ACT** Community Needs Assessment Evaluation (8 hours)
- **ACT** Outcome Development Meetings (8 hours)
- **ACT** Regular Monthly or Bi-monthly meetings as determined by the Council (6 to 12 hours)
- **In addition** – the ACT Chair will serve as a member of the Board of Directors

Estimated Meeting Time Commitment = 31 to 40 hours per year

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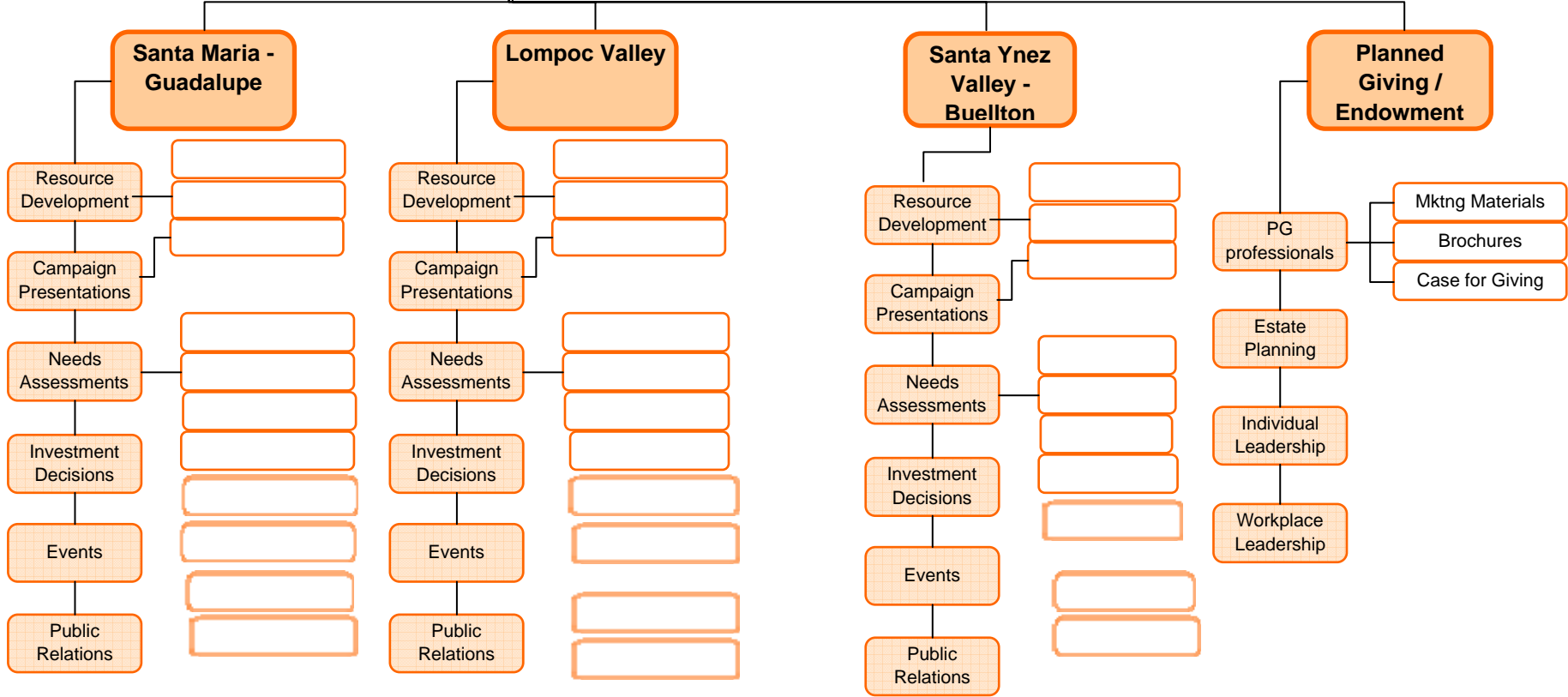
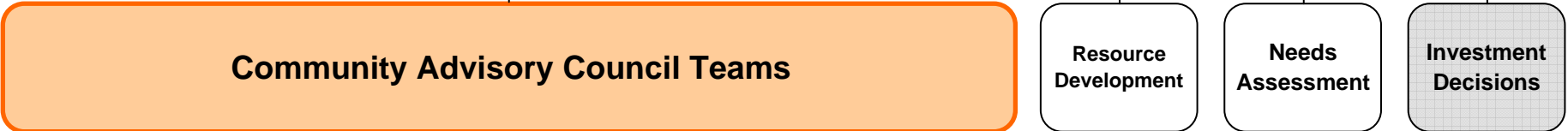
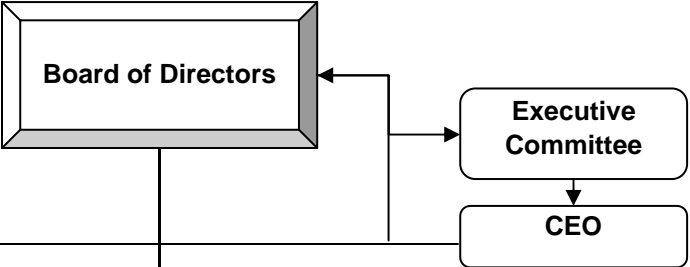
OPERATING PRINCIPLES

- Quorum: one-half of the membership will constitute a quorum
- Attendance: Members are strongly encouraged to attend all meetings. The inability to attend a meeting should be communicated to the lead staff person. If a member misses 4 scheduled meeting in a year, they will be considered as having resigned
- Resignations/Replacements: Members will notify the chair and staff if they resign. The Chair and will submit any prospective replacements to Board of Directors for approval; upon which the replacement will complete the term.
- Decision-Making: The goal is to reach decisions that best reflect the thinking of all group members. Team should strive for consensus, if not possible, 75% affirmative vote is required to approve.

VOTING CONSIDERATIONS

	Allocations	ImpactArea
Chair and Vice-Chair	Y	Y
Experts	Y	Y
Funders	Y	Y
Community Members	Y	Y

CONFIDENTIALITY - Materials, discussions and decisions should be kept confidential. Recommendations are not final until approved by the Northern Santa Barbara County United Way Board of Directors.



**OFFICIAL
POLICY MANUAL**



NORTHERN SANTA BARBARA COUNTY UNITED WAY

**OFFICIAL POLICY MANUAL
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WELCOME TO NORTHERN SANTA BARBARA COUNTY UNITED WAY



Northern Santa Barbara County United Way 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 our ten county communities. United Way exists because of the spirit of volunteerism.

Northern Santa Barbara County United Way is comprised of ten communities in Santa Ynez Valley, Lompoc Valley, Santa Maria Valley and Cuyama.

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 Northern Santa Barbara County United Way team in helping us to build a stronger community and to bring out the best in our community.

The Northern Santa Barbara County United Way Board of Directors and Staff Members

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 Northern Santa Barbara County 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 Northern Santa Barbara County United Way.

This Official Policy Manual is intended to be the basic guideline governing the regular activities of United Way Board members, employees and volunteers. Northern Santa Barbara County United Way 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 by the various committees 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 Executive Director or the Board President 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 Northern Santa Barbara County United Way is a small organization. Therefore, flexibility, initiative and willingness to be a "team player" are some of the characteristics important to all positions at Northern Santa Barbara County United Way.

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

NSBC-UW VOLUNTEERS

CONFIDENTIALITY & PRIVACY

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GUIDANCE & DISCLOSURE

CODE OF ETHICS EXAMPLES

CORE VALUES

The mission of Northern Santa Barbara County United Way is to increase the organized capacity of all People in Northern Santa Barbara County, by being accountable to one another. This critical role requires that all of NSBC-UW Board members, staff, volunteers and representatives who foster such essential public good must assume the responsibility of earning public trust.

Accordingly, Northern Santa Barbara County United Way (NSBC-UW) 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.

October 2006

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 well being 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

Northern Santa Barbara County United Way (NSBC-UW) is committed to the highest ethical standards. Based on the unique trust placed in (NSBC-UW) 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 and Core Values communicate key guidelines and will assist NSBC-UW 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 NSBC-UW 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: NSBC-UW is responsible to its stakeholders, which include partner agencies, donors and others in the community who have placed faith in NSBC-UW To uphold this trust we:

Promote good stewardship of NSBC-UW 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-NSBC-UW purposes.

Observe and comply with all laws and regulations affecting NSBC-UW 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 predicated professional advancement on the response to solicitations.

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

Value, champion and embrace diversity in all aspects of NSBC-UW 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 NSBC-UW or undermine the public's trust, NSBC-UW Board members, staff, volunteers, and representatives should:

Avoid any activity or outside interest which conflicts or appears to conflict with the best interest of NSBC-UW, including involvement with a current or potential NSBC-UW 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 NSBC-UW duties or the achievement of NSBC-UW's mission.

Ensure that travel, entertainment and related expenses are incurred on a basis consistent with the mission of NSBC-UW and not for personal gain or interest.

Decline any gift, gratuity or favor in the performance of NSBC-UW duties except for promotional items of nominal value (under \$25). Declines the offer of any food, transportation, lodging or entertainment unless directly related to NSBC-UW 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.

NSBC-UW VOLUNTEERS:

Should not knowingly take any action or make any statement intended to influence the conduct of NSBC-UW 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 Executive Director or Board President 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 (NSBC-UW) duties.

POLITICAL CONTRIBUTIONS:

Encourages individual participation in civic affairs. However, as a charitable organization, NSBC-UW 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 NSBC-UW.

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 NSBC-UW.

Refrain from using any NSBC-UW 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 NSBC-UW organization. If we are identified as an official of NSBC-UW 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 NSBC-UW.

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.

NSBC-UW affirms prompt and fair resolution of all reported breaches.

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 Executive Director.

CONFLICT OF INTEREST

Situation: A firm that your father owns is interested in bidding on a contract to supply goods to (NSBC-UW).

Solution: You must notify the Executive Director. 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 (NSBC-UW'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 (NSBC-UW).

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 (NSBC-UW)?

Solution: Solicitations are permitted at (NSBC-UW) provided prior approval is obtained from the Executive Director. 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 NSBC-UW.

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, NSBC-UW 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 NSBC-UW'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 Executive Director.

POLITICAL CONTRIBUTIONS

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

Solution: NSBC-UW, 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 NSBC-UW, such as using of NSBC-UW stationary, name or logo.