



**BOARD OF DIRECTORS' MEETING**

June 4, 2020 from 7:30 a.m.– 9:00 a.m.

Via Zoom Virtual Meeting

<https://us02web.zoom.us/j/87046926429>

Meeting ID: 870 4692 6429

Password: 761230

**AGENDA**

- I. Call to Order and Welcome Jonathan Boone, Board Chair
- II. Pledge of Allegiance & Invocation
- III. Minutes Approval-03/05/20 Jonathan Boone
- IV. New Board Director Election Jonathan Boone
- V. COVID-19 Report & Updates Ginny Mohrbutter, Executive Director
- VI. Community Partner Spotlight Urgent Relief Grant Recipients
  - a. Trishonda Roberson - The REACH Center
  - b. Liz Lord – Harrison Family YMCA
- VII. Committee Reports:
  - A. Community Campaign Rick McMahon & Robert Covington-VP's Community Campaign
  - B. Finance Gerry Felton & Ted Whitehurst-VP's Finance & Alan Davis, Asst. Director/ CFO
  - C. Planning Angela Burton & Craig Worthy-VP's Planning
  - D. Community Investment Vanessa Whitaker & Christy Taylor-VP's Community Investment
    - *2020-2021 Community Investment Funding Reports – Education, Health & Income*
  - E. Chefs Showcase Updates Mike Smith, VP Resource Development
  - F. Governance Zee Lamb-Co-VP Governance
- VIII. Endowment Fund Update Ginny Mohrbutter
- IX. Old Business/ New Business Jonathan Boone
- X. Adjournment Jonathan Boone

***Thank you for your attendance!***



## BOARD OF DIRECTORS' MEETING

Thursday, March 5, 2020 from 7:30 a.m. to 9:00 a.m.  
Harrison Family YMCA Multipurpose Room

### Minutes

**Directors Present:** Sammy Anderson, Sheriff Cleo Atkinson, Julie Baggett, Jonathan Boone, Bob Boyd, Dr. Valerie Bridges, Angela Burton, Michele Cherry, Robert Covington, Tim Engelking, Gerry Felton, Gwen Hyman, Zee Lamb, Dave Masters, Rick McMahon, Chris Miller, Eric Miller, Dr. Haywood Parker, Lee Proctor, Mike Smith, Christy Taylor, Alex Urquhart, Mike Varnell, Vanessa Whitaker, Ted Whitehurst, Ed Wiley, Gary Wingfield, Craig Worthy, and Lisa Wright.

**Directors Absent:** Jackie Deloach, Alane Gordon-Bray, Natasha Hampton, David Lavelly, and Randall Mills.

**Staff Present:** Ginny Mohrbutter, Alan Davis, Tamika Joyner and Mary Scott Anderson.

**Call to Order** at 7:31 a.m. by Board Chair, Jonathan Boone, with a leading of our Pledge of Allegiance and Invocation. Special welcome was given to new and ongoing Board Directors. Cummins-RMEP has a new representative, Tim Engelking, to serve on our Board of Directors. A motion to approve Tim Engelking as a new Board Director was made by Bob Boyd and seconded by Mike Smith. The Board appointment was approved unanimously. All new Board Directors were recognized individually by reviewing a list in the Board Package. A round of applause was given to new Board Directors.

**Minutes:** Board meeting minutes from 12/03/19 were emailed in advance for review and were also in the Board package. A motion to approve the minutes as presented was made by Rick McMahon and seconded by Haywood Parker. Minutes were unanimously approved.

**Role of Executive Committee:** Jonathan Boone provided an overview of our Executive Committee and directed members to the blue document within the Board package. The document provides an overview of our Executive Committee, the various Board committees, and their volunteer leaders. We are proud of the diversity and strength of our Board and Executive Committee, and we encourage Board Directors to become involved with an existing committee.

### Committee Reports:

#### **Community Campaign: Rick McMahon & Robert Covington, VP's Community Campaign**

This year has proven to be a unique and challenging year. We know that United Ways across the country and in NC, including eastern NC have seen substantial declines in their Community Campaigns due to various factors that include: baby boomers leaving the workforce, changing giving trends/ diversified workplace campaigns, increased competition for charitable dollars, tax changes that have impacted charitable giving, preferences to support specific causes (particularly millennials), and other factors associated with the changing world of technology. Our United Way has weathered these changes very well, especially since we continue to innovate and put extra effort/ attention into our local campaigns and donors. We have probably logged more hours with this year's Campaign than last year, in meeting with companies and employees. We have had many campaigns

do very well this year, for which we are very grateful. We have also had campaigns that saw changes within their workplace campaigns that have resulted in lower support or even no support. As a result of this, the enclosed Campaign Report shows that we have landed at 90% or \$1,089,000 of reaching our \$1.2 million goal. Not reaching our goal does not indicate lack of effort or care by many United Way supporters, we want to be very clear about this; however, we have to take an honest and real look at the changes that are occurring. Next on our agenda will be updates from the Finance Committee who met and discussed next steps to move forward with this loss in revenue, including recommendations for Community Investment funding. We are looking forward to our Community Champions' Luncheon on May 20th at the Rocky Mount Event Center so we can celebrate our supporters. At this event, we will hold the car giveaway sponsored by Davenport Honda. We are looking forward to beginning our planning efforts for the 2020-2021 Campaign. We will get input from our Marketing Committee and begin to focus on the details and goals for the Campaign. We know that developing new campaigns will be very important, as well as, enhancing existing campaigns. We will be calling on Board Directors to get involved, so any support will be greatly appreciated. Appreciation was given to Rick and Zee for their service as our Campaign Chairs. We also discussed Ginny sending a press release to our Board of Directors and then the media outlining our Campaign shortfall.

**Finance: Gerry Felton & Ted Whitehurst, VP's Finance & Alan Davis, Assistant Director/ CFO**

The Quarterly Financial Snapshot was included in the Board package and highlights were reviewed. Audit preparations, including the IRS 990 tax return, are underway with Terri Sharpe at Bunch and Company, with a completion target of mid-May. The 2020/ 21 Community Investment Funding Notes document was discussed to address the financial shortfall from the Campaign. The first committee to discuss the Community Investment funding level for the 2020/2021 Funding Year was the Planning Committee in early February. The Finance Committee met February 26, and this included Gerry Felton, Ted Whitehurst, Jonathan Boone, Rick McMahon, Craig Worthy, Ginny Mohrbutter, and Alan Davis. The recommendation was made for a 10% reduction in Total Community Investment Funding for the 2020/ 21 cycle which is an \$81,735 reduction. Community Investment Funds to Campaign dollars ratio translates into a 3.2% increase compared with that ratio from the previous year. In summary, the 10% reduction recommendation is built on two points. Financially, we have the cash on hand and net assets to support the recommendation due to the good years and this review process, and the rate of the reduction will soften the impact to the United Way funded programs at a lower rate than the expected loss to the goal and the budget for the year. We cannot afford to operate in this level of deficit long-term; however, the healthy years will allow us to absorb this current loss.

Motion led by Gerry Felton from the Finance Committee to approve a 10% (or \$81,735) reduction in overall Community Investment funding and seconded by Christy Taylor. Motion was unanimously approved.

**Community Investment: Vanessa Whitaker & Christy Taylor, VP's Community Investment**

Directors were encouraged to review the Community Investment Funding Summary by Impact Area (green document) enclosed in Board packages. It provides recommended funding amounts within each Impact Area. Due to our unique and challenging Campaign year, as just described within our Campaign and Finance updates, this document reflects the 10% decrease across all Impact Areas.

Motion made by Eric Miller to accept the overall funding levels presented for Community Investment, including each Impact Area and seconded by Chris Miller. Motion was unanimously approved.

The 2020 Community Investment Calendar (yellow document) was presented at our December Board Meeting. We provide this calendar to Board members to keep everyone updated on where we are in our Community Investment funding process. We are very focused and specific with this process to ensure donor accountability and impactful results. The calendar outlines the detailed steps that have been taken so that when we present

final funding recommendations per Impact Area/ per program at our June meeting, you will know the detail that has gone into this process. An overview was provided of key dates on the calendar.

**Planning: Angela Burton & Craig Worthy, VP's Planning**

The Planning Committee continues to meet monthly, and our first two meetings of the year were extremely busy. This committee continues to serve as an umbrella for our organization. We are working on several areas: 1) Updates on My Sister's House (MSH): Our leadership team met separately with MSH to develop a priority list for their Board Development training. We have a private funder who paid for the training for MSH on Saturday, February 29. A professional facilitator was engaged and helped address the board development priorities of My Sister's House. Ginny can provide more details during her updates; 2) Revenue Shortfall: We also discussed the shortfall and other financial challenges, already been addressed in this meeting, including United Way Worldwide dues increase that Ginny will address later in this meeting. We continue to look at new opportunities for resource development for the organization; 3) Letters of Intent (LOI): We reviewed the 3 submitted Letters of Intent and determined that one met the qualifications to move forward, Buck Leonard Sports Association, and they have since decided to not apply this year. The next Planning Team meeting is Wednesday, March 11, 4:30 to 6:00 pm.

**Resource Development: Mike Smith, VP Resource Development**

As part of our Planning Committee work, we have discussed details around the Tar River Chefs Showcase. Our Chefs Showcase committee has been meeting since late 2019 driving the details of the event. We have a good group this year with new members committed to the event and United Way. In the Board Package were details about the event that will be Thursday, April 23, 2020 at Nash Community College's Brown Auditorium. We are asking for help in four specific areas: 1) Volunteer at the Event-A signup sheet was circulated to sign up for a particular area of the event; 2) Promote Ticket Sales-A sheet in the package provided a link to tickets sales and other information; 3) Solicit Sponsorship-This is important to the success of the event, and details were in the package; and 4) Solicit Silent Auction Items-Lanny Shuff, a committee volunteer, provided updates on the need for silent auction items. We are excited to have 77 tickets already purchased or committed, including those within sponsorship packages and 9 to the VIP reception. We have also secured over \$3000 in Sponsorship.

**Executive Director Report: Ginny Mohrbutter**

The report (lavender document) was presented in the Board package and highlights were covered. Thank you again for the Campaign leadership of Rick McMahon and Zee Lamb. After the January 'Think Tank' meeting of financial planners and attorneys, we have more information about formalizing our Planned Giving program, beginning with opening an endowment fund for United Way. This will provide a vehicle for us to accept planned gifts that can leave a legacy for a donor and help create long-range revenue stability for United Way. More information about this will be presented at our next Board meeting. Community Partner updates, including My Sister's House, were outlined in the report, with a high level overview provided. Special appreciation was given to all who help with our Community Investment process. Special appreciation was giving to our Planning Team members and dedicated staff members. United Way Worldwide is planning to increase our yearly dues from 1% to 2% of what we raise. The increase is meant to help with modernizing how we do business, especially with using technology and shared platforms throughout our network. United Way Tar River Region has received the 4-Star Rating from Charity Tracker, which is the highest rating. Details were included in the Board package.

**Old/ New Business:** None was discussed.

**Adjournment:** Jonathan Boone thanked all members for attending. Motion to adjourn the meeting was made by Chris Miller and seconded by Mike Smith, with unanimous support. The meeting adjourned at 8:50 a.m.



## United Way Tar River Region COVID-19 Community Response and Fund Updates

*Our COVID-19 Response has been the perfect example of our mission in action: ‘We unite people and resources to build a stronger community’. In times of crisis, our community members and nonprofit partners look to United Way, more than ever, for support and leadership.*

- **COVID-19 Fund: \$161,810**
  - Cummins Foundation \$100,000
  - PNC Bank \$ 25,000
  - Truist Bank \$ 10,000
  - Wells Fargo Bank \$ 5,000\*
  - Individual \$ 21,810\*

*\*Flexibility in using funds to support NC 211, United Way Community Development and other areas of need*
- **COVID-19 Donations’ Focus:** Thank you to our VP’s of Marketing, Chris Miller and Julie Baggett, for our virtual Marketing Committee meeting where we discussed keeping all donations very focused with the message of supporting our COVID-19 Fund. Donations can still help United Way directly because United Way is a backbone for our community and nonprofits; funding is needed so United Way can execute NC 211 and its community development/ support work.
- **Fund Promotion & Updates:** Mayor Sandy Roberson’s endorsement, plus he is donating rest of his 2020 mayoral salary-local video & PSA promoting our COVID Fund, etc.; we are promoting via social media, Life 103.1 PSA & radio interview, WHIG TV updates; donor postcard mailing; newspaper articles; signs (in the future), etc.

### **Three Ways to Give to our COVID-19 Fund:**

- **Online at: [www.UNITEDWAYTRR.ORG/RESPONSEFUND](http://www.UNITEDWAYTRR.ORG/RESPONSEFUND)**
- **TEXT2GIVE: Text “GIVE” to 252-221-6048**
- **Mail a Donation: UWTRR, 2501 Sunset Avenue, Rocky Mount, NC 27804**

- **Round #1 Urgent Relief Grants Distribution (April) – approximately 4100 to be served – 12 nonprofit partners**

**We mobilized \$32,100 to meet direct needs, and the funds have supported:**

- 1) Childcare Program (helping address essential worker's needs and beyond) – serving 50-75 families
- 2) Homeless Shelter/ Feeding Pantry Feeding needs – serving approx. 1500 people
- 3) Feeding outreach to our seniors & persons with disabilities – serving approx. 1150 people
- 4) Feeding outreach to youth in evenings and weekends – serving approx. 200 people
- 5) Self Sufficiency Programs/ Financial support for rent – serving approx. 140 households
- 6) Domestic Violence Shelter & Program – serving approx. 500 people
- 7) Ensuring we have safe blood collections – serving approx. 575 people

- **Round #2 Urgent Relief Grant Awards (May) - approximately 9150 to be served – 14 nonprofit partners**

**We mobilized \$49,050 to meet direct needs, and the funds will support:**

- 1) Homeless Shelter/ Feeding Pantry/ Feeding needs – serving approx. 2500 people
- 2) Feeding outreach to our youth and seniors identified with food insecurities in rural communities – serving approx. 3900 people
- 3) Feeding outreach to youth & families identified in need – serving approx. 1650 people
- 4) Self Sufficiency Programs/ Financial support for medications & utilities – serving approx. 115 households
- 5) Financial and feeding support for students & families in need – serving approx. 250 people
- 6) Meeting needs for special populations (girls, women, cancer patients) - 100 people
- 7) Feeding partnerships with local restaurants to feed seniors – 130 people
- 8) Feeding & self-sufficiency partnerships with local churches – 335 families

- **Round #3 Urgent Relief Grant released to our nonprofit partners week of June 1. Funds will be awarded by last week of June. Grant application is available on our website: [www.unitedwaytrr.org](http://www.unitedwaytrr.org)**
- **NC 211:** Statewide system to help citizens locate health and human services during COVID-19. This system is funded and updated through our local United Way for our two-county region. Statewide, over 50,000 calls have been answered. *Locally hundreds of calls have been fielded by NC 211 operators and our office staff.*
- **Website & Social Media Updates:** Tamika and Mary Scott continue to diligently update our COVID-19 community resources on a daily basis. There have been many new visitors to our website and social media.

- **Nonprofit Network & Support:** We serve as a backbone for our nonprofits by sharing resources, listening to needs, and helping identify resources and solutions. We helped identify a county feeding coordinator, have worked with homeless shelters to ensure housing for COVID negative & positive citizens, worked to mobilize face masks for nonprofit usage, and helped with many other citizen and nonprofit needs.
- **Volunteer & In-Kind Donations:** Citizens can sign up to volunteer through United Way, as well, drop off non-perishable food items, baby supplies, medical supplies (masks, gloves, sanitizers).
- **Emergency Food & Shelter Program:** Through this federal program, we have administered for many years, our EFSP Advisory Board met, reviewed and awarded last week, **\$70,508** (Phase 37) to supplement emergency food / shelter programs in our area and **\$100,524** (Phase CARES) to supplement COVID-19 related needs in emergency food / shelter programs in our area.

### **Payroll Protection Program**

United Way was approved for a PPP/ SBA loan in the amount of \$58,512. We monitoring its usage to be implemented in approved manners: payroll, benefits, and utilities to ensure the loan is forgiven. If we cannot use all funds, we will repay to the lender to avoid interest charges.

### **Response, Recovery & Rebuild**

We have much experience in responding to disasters, both in the immediate, intermediate and long-term. This continues to be a great opportunity for our United Way to demonstrate our value and importance in our community as a mobilizer of people, funds and resources that will be needed as we have long-term rebuilding from COVID-19.

**United Way Tar River Region**  
**Profit & Loss Budget Comparison**  
 July 2020 through June 2021

	Jul 2019 - Jun 2020 Budget	Jul 2019 - Jun 2020 Annualized	Jul 2020 - Jun 2021 Budget	Jul 2019 - Jun 2020 Budget to Jul 2020 - Jun 2021 Budget	Percent Variance	Jul 2019 - Jun 2020 Annualized to Jul 2020 - Jun 2021 Budget	Percent Variance
<b>INCOME</b>							
CONTRIBUTIONS, GIFTS, GRANTS, AND OTHER	\$ 1,269,000	\$ 1,084,000	\$ 1,100,000	\$ (169,000)	-13.3%	\$ 16,000	1.5%
Gross Designated Pledges	(100,150)	(85,528)	(86,790)	13,360	-13.3%	(1,262)	1.5%
Pledge Loss	(42,750)	(36,531)	(45,366)	(2,616)	6.1%	(8,835)	19.5%
INVESTMENT INCOME	1,325	905	900	(425)	-32.1%	(5)	-0.6%
GROSS AMOUNT FROM FUNDRAISING EVENT(S)	15,250	4,150	15,000	(250)	0.0%	10,850	0.0%
Cost of Fundraising Event(s)	(4,200)	(738)	(4,000)	200	0.0%	(3,262)	0.0%
OTHER REVENUE	35,400	178,000	132,000	96,600	272.9%	(46,000)	-34.8%
<b>TOTAL INCOME</b>	<b>\$ 1,173,875</b>	<b>\$ 1,144,258</b>	<b>\$ 1,111,744</b>	<b>\$ (62,131)</b>	<b>-5.3%</b>	<b>\$ (32,514)</b>	<b>-2.9%</b>
<b>EXPENSES</b>							
GRANTS AND OTHER ASSISTANCE	\$ 817,351	\$ 817,351	\$ 735,615	\$ (81,736)	-10.0%	\$ (81,736)	-11.1%
Less: Donor Designated Funds to Community Pa	(50,150)	(35,489)	(31,926)	18,224	-36.3%	3,563	-11.2%
OTHER GRANTS AND OTHER ASSISTANCE	-	100,000	125,000	125,000	0.0%	25,000	20.0%
COMPENSATION, BENEFITS, AND PAYROLL TAXES	284,350	281,490	282,490	(1,860)	-0.7%	1,000	0.4%
FEEES FOR SERVICES PAID TO NON-EMPLOYEES	23,500	23,137	18,500	(5,000)	-21.3%	(4,637)	-25.1%
ADVERTISING EXPENSES	6,700	7,030	7,000	300	4.5%	(30)	-0.4%
OFFICE EXPENSES	16,800	18,739	18,800	2,000	11.9%	61	0.3%
INFORMATION TECHNOLOGY	6,500	5,969	6,300	(200)	-3.1%	331	5.3%
OCCUPANCY	25,000	17,418	15,618	(9,382)	-37.5%	(1,800)	-11.5%
TRAVEL	3,374	2,350	2,900	(474)	-14.0%	550	19.0%
CONFERENCES, CONVENTIONS, AND MEETINGS	7,000	7,479	7,000	-	0.0%	(479)	-6.8%
PAYMENTS TO AFFILIATES	13,200	12,490	21,800	8,600	65.1%	9,310	42.7%
DEPRECIATION, DEPLETION, AND AMORITIZATION	15,000	14,910	14,910	(90)	-0.6%	-	0.0%
OTHER EXPENSES	5,250	5,317	5,400	150	2.9%	83	1.5%
<b>TOTAL EXPENSES</b>	<b>\$ 1,173,875</b>	<b>\$ 1,278,191</b>	<b>\$ 1,229,407</b>	<b>\$ 55,532</b>	<b>4.7%</b>	<b>\$ (48,784)</b>	<b>-4.0%</b>
<b>NET INCOME (LOSS)</b>	<b>\$ -</b>	<b>\$ (133,933)</b>	<b>\$ (117,663)</b>				
Net Assets Appropriated For Current Year	\$ -	\$ (133,933)	\$ (117,663)				
Capitalized Purchases	\$ 12,000	\$ 12,600	\$ -	\$ (12,000)	0.0%	\$ (12,600)	0.0%
Establishment of endowment fund	\$ -	\$ -	\$ 25,000	\$ 25,000	0.0%	25,000	100.0%
Self-insurance for the flood fund	\$ -	\$ -	\$ 15,000	\$ 15,000	0.0%	15,000	100.0%

# Community Investment Funding 2020-21

## EDUCATION

Agency Name	Program Name	Previously Allocated	Requested Amount	Funding Cycle	Total	Comments/Rationale
Association for Learning Disabled & Handicapped - ALDH	CORE	\$19,187.00	\$19,687.00	Year 1 of 1	\$17,268.30	
Association for Learning Disabled & Handicapped - ALDH	EAS	\$12,500.00	\$19,687.00	Year 1 of 1	\$11,250.00	
Boy Scouts - East Carolina Council, Inc.	Scouting in Nash and Edgecombe	\$54,258.00	N/A	Year 2 of 3	\$48,832.20	
Boys and Girls Clubs of the Tar River Region	Boys & Girls Club of Nash/Edgecombe	\$89,000.00	N/A	Year 2 of 3	\$80,100.00	
Communities in Schools Rocky Mount Region	Powering the Future	\$34,295.00	\$75,000.00	Year 1 of 1	\$30,865.50	
Communities in Schools Rocky Mount Region	Williford Family Resource Center	\$10,000.00	\$10,000.00	Year 1 of 1	\$9,000.00	
Down East Partnership for Children	Ready Schools/Ready Communities	\$23,000.00	N/A	Year 2 of 3	\$20,700.00	
Girl Scouts - North Carolina Coastal Pines	Girl Scout Community Outreach	\$24,000.00	N/A	Year 2 of 3	\$21,600.00	
Peacemakers of Rocky Mount	Freedom School	\$9,947.00	N/A	Year 2 of 3	\$8,952.30	
Rocky Mount Family YMCA, Inc.	Child Care: Before & After	\$68,143.00	N/A	Year 2 of 3	\$61,328.70	
Strategic Twin-Counties Education Partnership	#workHERE	\$7,500.00	\$40,000.00	Year 1 of 1	\$6,750.00	
		<b>\$351,830.00</b>			<b>\$316,647.00</b>	

## Community Investment Funding 2020-21

### HEALTH

Agency Name	Program Name	Previously Allocated	Requested Amount	Funding Cycle	Total	Comments/Rationale
Christian Fellowship Home of Nash/Edgecombe Counties, Inc.	Christian Fellowship Homes of Nash-Edgecombe Counties, Inc.	\$32,972.00	\$32,972.00	Year 1 of 1	\$29,674.80	
Down East Partnership for Children	Healthy Kids Collaborative	\$15,000.00	N/A	Year 2 of 3	\$13,500.00	
Dunbar Community Development Club, Inc.	Dunbar Community Development	\$7,806.50	\$15,000.00	Year 1 of 1	\$7,025.85	
Princeville Senior Citizens Center	Princeville Senior Citizens Center	\$2,500.00	N/A	Year 2 of 3	\$2,250.00	
Rocky Mount Family YMCA, Inc.	YMCA Adaptive Swim Program	\$18,000.00	N/A	Year 2 of 3	\$16,200.00	
Rocky Mount Family YMCA, Inc.	YMCA Aquatic Exercise Classes	\$10,000.00	N/A	Year 2 of 3	\$9,000.00	
The Salvation Army	Social Adjustment and Development: Senior Citizens	\$10,089.50	N/A	Year 2 of 3	\$9,080.55	
Special Olympics NC	Special Olympics Nash County	\$5,000.00	N/A	Year 2 of 3	\$4,500.00	
The Wright's Center	Adult Day Health Care	\$22,500.00	\$30,000.00	Year 1 of 1	\$20,250.00	
		<b>\$123,868.00</b>			<b>\$111,481.20</b>	

## Community Investment Funding 2020-21

### INCOME

Agency Name	Program Name	Previously Allocated	Requested Amount	Funding Cycle	Total	Comments/Rationale
American Red Cross of Northeastern NC	Blood Services	\$5,000.00	N/A	Year 2 of 3	\$4,500.00	
American Red Cross of Northeastern NC	Disaster Services	\$54,250.00	N/A	Year 2 of 3	\$48,825.00	
American Red Cross of Northeastern NC	Service to Armed Forces	\$6,000.00	N/A	Year 2 of 3	\$5,400.00	
The REACH Center	Responsive Empowerment	\$5,000.00	\$5,000.00	Year 1 of 1	\$4,500.00	
Meals on Wheels of Rocky Mount	Meals on Wheels of Rocky Mount	\$25,500.00	N/A	Year 2 of 3	\$22,950.00	
Meals on Wheels of Tarboro	Meals on Wheels of Tarboro	\$1,500.00	\$2,000.00	Year 1 of 1	\$1,350.00	
My Sister's House, Inc.	Domestic Violence and Sexual Assault	\$32,500.00	\$35,000.00	Year 1 of 1	\$29,250.00	
My Sister's House, Inc.	Prevention Shelter	\$13,500.00	\$15,000.00	Year 1 of 1	\$12,150.00	
The Salvation Army	Comprehensive Emergency Assistance	\$100,000.00	N/A	Year 1 of 1	\$90,000.00	
Tarboro Community Outreach	Tarboro Community Outreach	\$13,500.00	N/A	Year 2 of 3	\$12,150.00	
Tri-County Industries	ADVP Transportation	\$14,500.00	\$14,000.00	Year 1 of 1	\$13,050.00	
United Community Ministries	Community Kitchen and Pantry	\$12,000.00	\$12,000.00	Year 1 of 1	\$10,800.00	
United Community Ministries	Community Shelter	\$22,000.00	\$22,000.00	Year 1 of 1	\$19,800.00	
United Community Ministries	The Bassett Center	\$25,000.00	\$25,000.00	Year 1 of 1	\$22,500.00	
Community Medicine Foundation (VOICE)	Volunteers Offering Independent Care For The Elderly (VOICE)	\$11,403.00	N/A	Year 2 of 3	\$10,262.70	
		<b>\$341,653.00</b>			<b>\$307,487.70</b>	



# **The North Carolina Community Foundation:**

**A Non-Profit Endowment Partner  
for the United Way Tar River Region**



# About the North Carolina Community Foundation

- ◆ **Mission** is to inspire North Carolinians to make lasting and meaningful contributions to their communities
- ◆ Established in 1988 by Lewis Holding as North Carolina's **only statewide community foundation**
- ◆ An important component of NCCF's mission is to ensure that **rural philanthropy** has a voice at local, regional and national levels





**300+**

**North Carolina non-profit  
organizations have endowments  
with NCCF.**

**United Way Tar River Region strengthens  
our state, and we are committed to  
helping you thrive.**



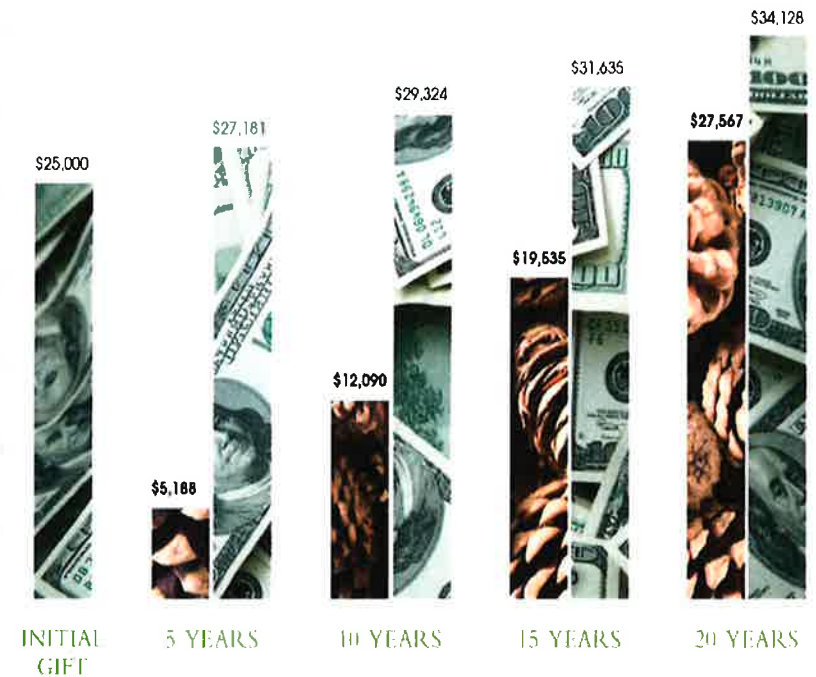
# Benefits & Services for Non-Profits

## Ongoing source of income.

- Invested pool of money that provides a reliable source of income in perpetuity
- Relieves pressure from the annual fund
- Principal of the fund will be preserved

## Enhances stability & credibility.

- Sends a message of planned long-term stability, fiscal responsibility, and financial viability



Endowment Balance



Cumulative Grants



# Benefits & Services for Non-Profits

## Low investment costs.

- NCCF's large investment portfolio reduces the costs that individual funds incur

## Transparency.

- Statements, investment holdings, performance and total costs are reported quarterly
- Access to fund information 24/7 through our easy and secure online portal

## Advantages of Scale.

- Gain access to a diversified group of high quality, institutional investment managers not regularly available to most investors

## Oversight.

- It is NCCF's **fiduciary duty** to ensure prudent investment of your assets
- A highly experienced investment committee and staff oversee investment activity, including an annual audit
- Allows your staff and volunteers to focus on your unique mission and programs



# Benefits & Services for Non-Profits

## Administration.

- NCCF provides all administrative and record-keeping support related to endowments, including gift acknowledgments and fund performance reports

## Marketing Opportunities.

- NCCF will provide you with important language to incorporate into fundraising material or your website, or will help you create a printed brochure

## Planned Giving Expertise.

- Build your pipeline of gifts that will mature in the future
- NCCF enables nonprofits to accept a wide variety of assets and provide expertise that eases the management of complex gifts and charitable trusts
- You will receive a link to embed on your organization's website or digital materials
- Your newly-created fund will be listed on NCCF's website (see next slide) and annual report



# How it works:

## Step 1: Start an Endowment.

- Make a minimum contribution of \$25,000 to the North Carolina Community Foundation, and complete a simple legal agreement and an authorizing corporate resolution from United Way Tar River Region's Board of Directors
- After the initial contribution is made, additional gifts may be made in any amount, at any time.
- NCCF Annual Administrative Fee:
  - Under \$1 million: 1%
  - \$1m - \$3m: .75%
  - \$3m - \$5m: .5%
  - \$5m - \$10m: .5%
  - \$10m + : .25%



# How it works:

## Step 2: Select Investment Pool.

### Investment Strategy:

- NCCF has approximately \$280 million under management
- Objective requires moderate level of risk, long-term horizon and asset diversity
- Outside managers have discretion within allocation ranges provided in the Investment Policy Statement
- Long-term objective is CPI + 6%

### Donor Options:

- NCCF Investment Fund: Managed by Fund Evaluation Group
- Socially-Responsible Pool: Pax World Balanced Fund
- External Asset Management:

Edwards Jones Trust Co.  
First Citizens Bank  
Merrill Lynch

Morgan Stanley  
Raymond James Financial Svcs.  
Wells Fargo Bank



# NCCF Investment

## Investment Objective

- ◆ To preserve fund principal while achieving a long-term, average return sufficient to cover:
  - ◆ 5% spending policy
  - ◆ 1% administrative fee
  - ◆ Inflation, 2.5 – 3.5% as measured by the CPI Index, over a complete market and economic cycle.
- ◆ Achieving this objective requires the assumption of a moderate level of risk, a long-term investment horizon and asset diversification.

## Investment Philosophy

- ◆ The perpetual nature and long-term perspective of philanthropy are the bases for the Foundation's investment philosophy.
- ◆ Philanthropic investing has a longer-term horizon than personal investing, retirement investing or intergenerational investing.



# How it works:

## Step 3: Receive an annual stream of income.

- The annual spendable portion of the endowment is 5% of the fund's average balance, which is calculated over the previous 12 quarters
- The fund assets remain invested, and only a portion is ever distributed
- Your organization may opt not to take annual allocation, but to reinvest for continued growth

## Step 4: Grow your endowment with a pipeline of future gifts.



**Give Now**



**Give Later**





# Give Later: How?

- Bequest or designation from trust
- Charitable Trust
- Life Insurance
- Real Estate
- Retirement Accounts

**NCCF Development Team will work with your donors and their counsel to provide necessary language to insert in estate planning documents.**



# Assets Accepted:



## CASH

Cash equivalent or credit card donation



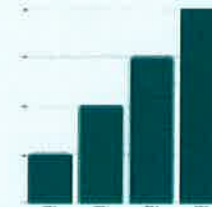
## LIFE INSURANCE

Name NCCF as beneficiary or transfer ownership and receive a tax deduction for the policy's cash value.



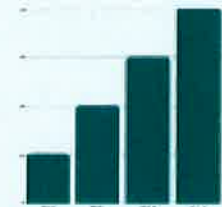
## REAL ESTATE

Turn a home, business, or land into a charitable gift outright, or set up a trust that will convert the property into a gift that will provide income.



## STOCKS, BONDS & MUTUAL FUNDS

When held for one year or more, results in a charitable deduction for the full market value of the donated asset, and helps avoid capital gains tax.



## CLOSELY-HELD STOCK

Charitable deduction for the appraised market value and potential avoidance of capital gains tax.

*\*Real property and personal property require prior approval and may have other conditions of acceptance.*



## 2020 Membership Certification

- Both the Board Chair and Chief Executive Officer must sign and submit this form. If your United Way does not have a CEO, a second officer must also sign.
- Answer all questions and provide an explanation for any “no” answers.
- Responses will be kept confidential and will only be shared with essential volunteers and staff of United Way Worldwide.
- Guidance on completion of this certification is available on United Way Online.

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

Does your United Way have paid employees?

*Note: Some questions in this certification apply only to United Ways with paid employees. Your response helps identify applicable questions.*

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

<b>Is your United Way recognized as exempt from taxation under Section 501(c)(3) of the Internal Revenue Code as well as from corresponding provisions of other applicable state, local and foreign laws or regulations?</b>	yes
1. Did your United Way file the IRS Form 990, or 990-EZ or 990-N, in a timely manner (within ten and a half months of last fiscal year end)?	no
2. Date the <b>LAST</b> IRS Form 990 submitted to IRS:	05/13/19
3. What version of the IRS Form 990 was most recently filed?	990
4. Have you followed the <i>UWW Implementation Standards for Membership Requirement A</i> in completing the IRS Form 990?	yes
5. Was a copy of the IRS Form 990 provided to the organization’s governing body before it was filed?	yes
6. Is your United Way properly classified as a public charity as evidenced by checking box 7 on Part 1 of Schedule A of the IRS Form 990?	yes
7. For the prior fiscal year, did the organization become aware of a material diversion of the organization’s assets? <i>Please provide an explanation for a “YES” response to this question. Per the IRS, a material diversion (e.g., unauthorized use of organizational assets) is more than 5% of gross annual receipts or more than \$250,000, whichever is less. Report all material diversions of assets to <a href="mailto:membership@unitedway.org">membership@unitedway.org</a> for review, advice and counsel.</i>	no
8. Is the compensation for the top management official (e.g., CEO, executive director) and top financial official (e.g., chief financial officer) reported as required on the IRS Form 990?	yes
9. Does your United Way make the IRS Form 990 (990 E-Z or 990-N) available to the public?	yes

### Requirement B: Legal Requirements

<b>Does your United Way comply with all applicable legal, local, state, and federal operating and reporting requirements (e.g., nondiscrimination)?</b>	yes
1. In the last 12 months, have there been any government agency led investigations of your United Way for violations of local, state, or federal laws? <i>Please provide an explanation for a “Yes” response to this question.</i>	no
2. Since January 1, 2019, has your organization amended its articles of incorporation and filed them with the Secretary of State’s office in your state? <i>Please provide an explanation for a “Yes” response to this question.</i>	no
3. Does your United Way conduct anti-terrorism compliance measures?	yes
4. Does your United Way comply with provisions of Sarbanes-Oxley applicable to nonprofit corporations (whistleblower protection and implementation of document retention and destruction policies)?	yes
5. Does your organization promote itself as an equal opportunity employer?	yes
6. Is your United Way currently registered to conduct charitable solicitations at the state and local level? <i>A response is not required if not applicable to your United Way.</i>	yes

7. Is your United Way compliant with all provisions of the Fair Labor Standards Act?	yes
8. Has your United Way adopted a policy that confirms the organization's commitment to providing an environment free from sexual harassment, including a commitment to investigate credible allegations? <i>This policy must apply to United Way board members, volunteers and employees (if any).</i>	yes
<i>All organizations, including nonprofits, must maintain data using secure systems, policies and procedures. The following questions reflect Federal laws as well as best practices to safeguard sensitive information. Please consult the United Way Information Security page on United Way Online (<a href="https://online.unitedway.org/infosec">https://online.unitedway.org/infosec</a>) for more guidance on the questions below.</i>	
9. Has your United Way established a donor and data privacy policy? <i>These policies typically include what information is collected and for what purposes, how the information protected, how and/or when it is disclosed to third parties, and how changes to the privacy policy will be communicated. Best practice includes posting the policy to your website and establishing a simple method for individuals to inquire about their personal data.</i>	yes
10. Has your United Way established a data security risk assessment program? <i>These programs evaluate reasonable foreseeable threats that could result in unauthorized disclosure, misuse, alteration or destruction of donor/volunteer information; the likelihood and potential damage of threats; and the sufficiency of policies, procedures, customer information systems, and other controls. Best practices also include creating an incident response plan, identifying professionals responsible for data security and privacy, staff training on security/privacy, and cyber insurance.</i>	no
11. In the past 12 months, has your United Way experienced an incident that was deemed to be a data breach? <i>Data breaches must be reported to United Way Worldwide, via an email to <a href="mailto:membership@unitedway.org">membership@unitedway.org</a>, where they will be forwarded to UWW's Information and Technology staff for review, advice and counsel.</i>	no

#### Requirement C: Governance

<b>Does your United Way have an active, responsible, and voluntary governing body which ensures effective governance over the policies and financial resources of the organization?</b>	yes
1. Does the board approve the annual budget?	yes
2. Does the board, or board-delegated committee, review financial statements on at least a quarterly basis?	yes
3. Does your United Way regularly provide training (e.g., onboarding, access to conferences, webinars, outside speakers) to governing board members?	yes
4. Does your United Way produce an annual report?	yes
5. Does your United Way's governing board review its bylaws and other governance documents at least once every three years?	yes
6. Are meeting minutes maintained for all governing board meetings?	yes
7. Does your United Way have a board-approved business expense reimbursement policy?	yes
8. Does your board meet at least quarterly?	yes
9. Is the external auditor engaged by and working for the board or board-appointed committee?	yes
10. Does your board review the external annual audit (or financial review if annual revenue is less than \$500,000), and is the audit (or review) presented to the board by the auditor or audit committee chair?	yes
11. Did the board approve the process for determining the CEO's compensation (e.g., type of comparability data, independent members of the board reviewing and approving CEO compensation)?	yes
12. Did the board specifically set and approve the CEO's compensation?	no
13. Does your board establish performance expectations for the CEO annually and have a written performance review process in place to guide and assess the performance?	yes
14. Does the board proactively support, engage and drive fundraising efforts year-round to ensure adequate resources for your United Way?	yes

15. Does the board regularly (at minimum once every three years) self-assess to ensure the organization, CEO (if any), and the board are working on the most relevant, mission-critical issues?	yes
16. Does your board have a process to identify and recruit well-qualified board members to ensure inclusive and sustainable United Way leadership?	yes
17. Does your organization have a written board member agreement that outlines expectations of service? <i>These agreements include sections on board member duties (duty of care, duty of loyalty, duty of obedience), the organization's values, expectations for fundraising and personal giving, participation on committees, meeting attendance, and confidentiality requirements. Consider including a commitment to support a trusting environment free of harassment, intimidation, and unlawful discrimination. Best practice includes confirmation of what the organization provides to the board (protection from liability through D&amp;O insurance coverage, accurate and timely reports and meeting materials, recognition for service).</i>	yes

#### Requirement D: Diversity & Inclusion

<b>Does your United Way adhere to a locally developed and adopted statement to ensure volunteers and staff broadly reflect the diversity of the community it serves?</b>	yes
1. Does your board review the organization's diversity statement at least once every two years?	yes
2. Does your board review, at least once every two years, a report of the board, volunteers and staff composition to ensure diversity is achieved?	yes
<i>Diversity and inclusion are at the heart of what it means to LIVE UNITED. To effectively and authentically address our communities' most pressing needs requires an outward and intentional commitment to equity and inclusion across all dimensions (race, age, gender, sexual orientation, gender identity, national origin, religion, physical or mental ability, etc.). The following questions, while not required, highlight best practices and are opportunities to consider the value of adopting new practices and policies and engaging the community in the process.</i>	
3. Is your United Way's commitment to diversity and inclusion displayed prominently on your website (either on the home page or on a link directly from the home page)?	yes
4. Has your board and senior management created and executed a strategic plan that reflects a commitment to diversity, equity, and inclusion?	yes
5. Does your staff and board possess an emergent understanding of the race disparities that exist among the populations in your community? <i>Increasingly United Ways must examine race disparities as part of their commitment to diversity and equity.</i>	yes

#### Requirement E: Trademark

<b>Does your United Way represent itself as a United Way in accordance with all United Way Worldwide trademark standards and requirements, including those contained in the licensing agreement?</b>	yes
1. Does your organization's name include a geographic modifier (e.g., United Way of XYZ County), and is the full corporate name included in public advertising (e.g., broadcast, print, electronic, email, social media, website)?	yes
2. Does your United Way follow United Way brand identity guidelines in all respects?	yes
3. Does your United Way only solicit businesses located in your zip codes on file at United Way Worldwide (GiftLink)?	yes
4. Does your United Way limit its workplace solicitations to individuals who work at facilities in your zip codes on file at UWW?	yes
5. Does your United Way limit its non-workplace solicitations of individuals to your zip codes on file at UWW (e.g., home addresses in your United Way's territory, special events in your United Way's territory)?	yes

#### Requirement F: Membership Investment

<b>Does your United Way provide financial support to United Way Worldwide in accordance with the membership investment formula?</b>	yes
1. Will 2020 membership investment be paid in quarterly installments and in full no later than December 31, 2020?	yes

#### Requirement G: Code of Ethics

<b>Does your United Way adhere to a locally developed and adopted code of ethics for volunteers and staff, which includes provisions for ethical management, publicity, fundraising practices, and full and fair disclosure?</b>	yes
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1. Do all staff and board members annually verify in writing they have reviewed the code of ethics?	yes
2. Does your United Way have a written conflict of interest policy?	yes
3. Does the code of ethics or conflict of interest policy instruct the board and staff to avoid conflicts of interest that would act against the best interest of United Way?	yes
4. Does the code of ethics or conflict of interest policy include a process for reporting and resolving conflicts of interest should they occur?	yes
5. Are the board members and staff required to disclose in writing, on an annual basis, any potential conflicts of interest?	yes
6. Does your board review the code of ethics at least once every three years?	yes
7. Has your United Way established a tip line for the reporting of concerns (e.g., ethical breaches, malfeasance)?	yes

**Requirement H: Audit**

<p><b>Does your United Way have an annual audit conducted by an independent certified public accountant whose examination complies with generally accepted auditing standards and generally accepted accounting principles? Exception: organizations with annual revenue totaling less than \$500,000 may have their financial statements annually reviewed rather than audited by an independent public accountant provided they also conduct an independent internal controls assessment at least once every three years.</b></p> <p><i>Note: answer "Yes" if your United Way's annual revenue was less than \$500,000 and you produced financial statements reviewed by an independent public accountant.</i></p>	yes
<p>Please select your United Way's annual revenue range.</p> <p><i>Note: some of the questions below depend on your United Way's annual revenue and will appear as N/A if not applicable. For United Ways with annual revenue of less than \$500,000, please indicate if your financial statements were audited or reviewed.</i></p>	<p>More than \$4 million</p> <p>More than \$500,000 and less than \$4 million</p> <p>Less than \$500,000, and financial statements were audited</p> <p>Less than \$500,000 and financial statements were reviewed</p>
1. Were most recent financial statements audited by an independent CPA?	yes
2. Was the auditor's opinion unqualified/unmodified (i.e., a "clean" audit)?	yes
3. Were most recent financial statements reviewed by an independent CPA (acceptable only for organizations with annual revenue of less than \$500,000)?	N/A
4. Fiscal year of most recent audit or review:	06/30/19
<p><i>Only respond to questions 5, 6 and 7 if your United Way's annual revenue is less than \$500,000 and the organization produced reviewed financial statements (rather than audited financial statements).</i></p>	
5. Have you conducted an independent internal controls assessment within the last three years? Additional information on internal controls assessments is available on United Way Online: <a href="http://online.unitedway.org/ica">http://online.unitedway.org/ica</a>	N/A
6. Year of last independent internal controls assessment:	N/A
7. Were any findings from the internal controls assessment implemented?	N/A
8. Has your United Way followed the UWW Implementation Standards for Membership Requirement H (updated in 2018 and available on United Way Online) in preparing the audited financial statements?	yes
9. Does the board, executive committee or audit committee review the auditor's management letter and take appropriate actions to minimize any risks identified?	yes
10. How much does your United Way have in operating reserves, per the most recently audited or reviewed financial statements? Operating reserves are calculated from the Statement of Financial Position (balance sheet) as follows: Unrestricted, undesignated net assets less net fixed assets (property & equipment net of depreciation and net of any borrowing secured by fixed assets).	\$1,159,890

11. How many months of expenses does your United Way's operating reserves represent? <i>At a minimum, United Ways must maintain at least three months' of expenses including grants to other organizations in operating reserves; higher reserves may be required based on other factors (economy, likelihood of disaster, and any risks that will interrupt cash flow). Calculate this using the organization's annual expense budget, dividing by 12 to determine one month's expenses. Divide the operating reserves by one month's expense to determine the number of months the reserves will cover. If your organization has little to no operating reserves, it is an indication that a financial crisis is imminent and immediate steps must be taken to restore stability.</i>	11.9
12. Has the board, or board-delegated committee, approved the current provision for uncollectible pledges (estimated shrinkage)?	yes

**Requirement I: Self-Assessment**

A new self-assessment will be released in 2020.

**Requirement J: Database II**

Did/will your United Way submit Database 2 to UWW by May 15, 2020, or by June 30, 2020 (if on a July-June fiscal cycle)?	yes
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**Requirement K: Income and Expense Survey – Suspended for 2020**

**Requirement L: Campaign Reporting**

Does your United Way adhere to standard reporting guidelines contained in the Database 2 Survey in reporting campaign revenue and resources generated to United Way Worldwide?	yes
1. Are amounts reported on Database 2 provided in accordance with the NPC Total Resources Generated Policy?	yes
2. Has your United Way talked with neighboring United Ways and United Ways with whom you share accounts to ensure that your campaign proceeds are being properly reported in accordance with NPC policies?	yes

**Requirement M: Cost Deduction Standards**

Does your United Way adhere to the following cost deduction standards on designations (agency transactions): a) fees charged will be based on actual expenses; b) will not deduct fundraising or processing fees from designated gifts originating by or from another United Way organization?	yes
1. Does your United Way allow donor-designated contributions? If answer is no, you may skip next three questions.	yes
2. Have you calculated the maximum cost deduction rates according to the Cost Deduction Standards for Membership Requirement M (Part I) and are the rates charged at or below those rates?	yes
3. Has the board, or board-delegated committee, approved the currently used cost deduction rates for fundraising and management/general expenses?	yes
4. Does your United Way pay designated gifts quarterly that include reports required under this standard?	yes

**Review by United Way Governing Board**

Did/will your United Way's governing board review this certification?	yes
Please provide the date of the board's review of this certification:	06/04/20

As your organization's annual revenue is more than \$4 million, please submit the most recent audited financial statements, IRS Form 990, code of ethics and sexual harassment policy to membership@unitedway.org, or you may attach them now. Do you have any documents to attach? Yes  No (Attachment)

Optional – please provide your organization's board roster, ideally including each board member's name, professional title, employer, and email address. United Way Worldwide may share selected communications with these board members (e.g., Board Newsletter). United Way Worldwide will not share or disclose this information to outside parties. Do you have a board roster to attach? (Excel preferred, but any format will be accepted) Yes  No (Attachment)

Please provide an explanation for any "no" responses.

See attachment

Please provide contact information so that United Way Worldwide may communicate directly with your United Way's leadership. United Way Worldwide will not share or disclose this information to outside parties.

**I affirm that the information provided in this certification is accurate. I acknowledge my United Way's obligation to comply with the membership eligibility criteria contained in the United Way Worldwide bylaws, and to adhere to the rules and guidelines for use of United Way Worldwide collective and service membership marks as contained in the Member Trademark License Agreement. Failure to comply with United Way Worldwide membership eligibility criteria, including payment of membership investment, or to adhere to trademark policies, may result in termination of United Way Worldwide membership status.**

electronically signed

First Signature

Second Signature

Name

Name

Date Signed

Date Signed

United Way Title

United Way Title

Professional Title (if different from United Way Title)

Professional Title

Professional Organization (if different from United Way)

Professional Organization

E-mail

E-mail

Phone

Phone

Mailing Address

Mailing Address

## **2020 United Way Worldwide Membership Certification Explanations**

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

**1. Did your United Way file the IRS 990 in a timely manner (within ten and a half months of last fiscal year end)?** Due to COVID-19, the IRS has extended tax filing deadlines to July 15, 2020. Our IRS Form 990 will be filed prior to this time and likely by June 15, 2020.

### **Requirement B: Legal Requirements**

**10. Data Security Risk Assessment Program:** Our Governance Committee plans to review examples of Risk Assessment Programs to develop an appropriate policy for our United Way. We currently have several safeguards in place to ensure that our data is protected from outside or internal security threats: a) We have extensive anti-virus software on our shared server and individual computer workstations that are updated regularly; b) Our donor system has restricted password access at multiple levels to ensure limited and appropriate access to our donation tracking system; & c) All staff and volunteers sign a Code of Ethics/ Confidentiality Statement each year.

### **Requirement C: Governance**

**12. CEO Compensation Approval:** Our United Way has within our policies: “The (Board) President and Past President will prepare the annual salary rate and range recommendations for the position of Executive Director, subject to the approval of the Executive Committee.” Also, the Board of Directors approves the yearly budget which contains the annual compensation for the Executive Director/ CEO.