

Agency name:

**AGENCY STANDARDS and DOCUMENTATION
2022 Alcohol Tax Fund (ATF) of Johnson County, Kansas**

_____ **Sign here** to indicate applicant is a nonprofit organization, certified by the United Way of Greater Kansas City (UWGKC). Further, by signing, applicant grants permission to UWGKC to share its certification letter with United Community Services and the Drug and Alcoholism Council.

Initial the box below that describes the applicant (A,B,C,D) and attach documentation as required per applicable category. If required to submit completed Agency Standards checklist, initial (#1-15) to indicate compliance, or mark Not Applicable (N/A), as appropriate.

*If currently receiving an ATF grant and status of United Way certification is unknown or in-process, check here and follow directions for B.

Does applicant charge fees for services? _____ (yes/no) If yes, attach fee schedule and policy (9f).

A. Nonprofit applicants receiving an ATF grant during 2021 currently **certified with or without conditions by UWGKC,*** must submit documentation identified at Standards 5, 6a, 6b, 8, 9b (if policy has been revised since last submitted to UCS in approximately June, 2017), and 9f (if agency charges fees, **attach fee schedule**).

Initial box A., sign and complete this page, complete the Agency Standards checklist (initial each item #1-15 to confirm compliance), and submit with the required documentation.

B. Nonprofit applicants **receiving an ATF grant during 2021 not receiving UWGKC funding in during 2021**, must submit the documentation identified at Standards 5, 6a, 6b, 8, 9b (if policy has been revised since last submitted to UCS), 9f (if charge fees, attach schedule).

Initial box B., sign and complete this page, completed Agency Standards checklist (initial each item #1-15 to confirm compliance), and submit with required documentation.

C. Nonprofit applicants **not receiving an ATF grant during 2021** must submit documentation for Standards 1, 2, 3, 5, 6a, 6b, 8, 9b and 9f (if charge fees, attach schedule), and a completed Agency Standards checklist (initial each item #1-15 to confirm compliance).

Initial box C., sign and complete this page, complete Agency Standards checklist, and submit with required documentation.

D. Programs of Johnson County, Kansas Government or 10th Judicial District Court must submit documentation and completed Agency Standards checklist to the extent applicable.

Initial box D., sign and complete this page, complete Agency Standards checklist, and submit with required documentation.

Agency Standards	<i>Initial</i> to Confirm Compliance	Documentation to Attach
1. The agency is incorporated as a nonprofit corporation in either the State of Missouri or Kansas (except in the case of a local chapter whose national organization is incorporated in another state) and submits an annual corporate report.		Attach articles of incorporation and current corporate annual report.

2. The agency has nonprofit, §501(c)(3) status.		Attach §501(c)(3) designation.
3. The organization has bylaws that formally state the agency's purpose and which govern the agency's operation.		Attach bylaws.
4. The agency has a volunteer board of directors, or other governing/ advisory body, which reflects the community and/or its constituents, and is responsible for policy setting, fiscal guidance, planning and ongoing governance. If the agency's governing body is national, a local advisory board or equivalent body assists the board of directors in fulfilling its oversight role, particularly as it pertains to the agency's local services and finances.		
5. The agency is in compliance with all federal, state and local rules, regulations and codes and all applicable licensing requirements governing its operation. This policy includes, but is not limited to, tax filings (including submission of the IRS Form 990), Americans with Disabilities Act, if applicable, employment law, and health and safety regulations.		Attach Form 990 or 990EZ and list of agency, program, and/or staff licenses and/or certifications, if applicable.
6. The agency is in compliance with FASB (Financial Accounting Standards Board) and generally accepted accounting principles for nonprofit organizations, including but not limited to:		
a) For agencies with annual revenues of \$250,000 or more, an independent certified audit of the agency's financial statements is completed annually no later than nine (9) months after the close of the fiscal year. For agencies with annual revenues under \$250,000, an independent review of the agency's financial statements by a Certified Public Accountant is completed no later than nine (9) months after the close of the fiscal year.		Attach certified independent audit or independent review.
b) Agency has an annual budget outlining projected revenue and expenses for programs, fund raising and administration. Budget is consistent with the major classifications and programs in the audited financial statements.		Attach Board-Approved Budget.
c) Regularly prepared financial statements present the overall financial activities and financial position of the organization and include a functional expense breakdown that shows total expenses for each program, fund raising and administration which are consistent with those reflected in the agency budget.		
7. Administrative and fundraising costs are reasonable, generally not exceeding 25% of total expenditures. In the event that such costs exceed 25%, the agency is able to explain why this excess is justified.		
8. The agency's board of directors, or other governing/advisory body, exercises responsible oversight of the organization's operations and staff, and, as such:		Attach current Board roster, including offices, terms and contact information for board of directors and/or local advisory board.
a) Meets at least four times a year, with a quorum in attendance.		
b) Has a minimum of five board members that are elected for specific terms and a rotation plan which provides for new members.		
c) Members are not compensated, except to the extent that the agency's CEO or other senior staff may serve on the board in an ex-officio, non-voting capacity. In that event, compensated board members do not represent more than one member or ten percent of all members (whichever is greater).		
d) Maintains minutes that include a record of board members in attendance and a record of action taken.		

e) Conducts a regularly scheduled written appraisal (at least every two years) of the CEO's performance.		
f) Reviews and approves the annual agency budget in advance of each fiscal year. Regularly reviews the year-to-date financial statements.		
g) Establishes and periodically reviews the organization's financial, personnel, and other management policies.		
9. Policies adopted by the board, and management practices are in place to help ensure accountable and effective operations, including but not limited to, those listed below. The agency demonstrates that it adheres to the policies and practices it has established.		
a) Conflicts of interest involving board members, other volunteers and staff.		
b) Personnel policies and procedures (for agencies with more than one employee) to ensure efficient and accountable operations.		
c) A policy promoting diversity, including compliance with all nondiscrimination policies of jurisdictions contributing to the ATF.		
d) If the agency has a religious affiliation or operates any programs with religious content, a policy that ensures there is a clear separation and distinction between religious programs and social programs and that participation in religious activities is not a requirement to receive services and affirms that programs are open on an equal basis to people of all faiths.		
e) Policies and procedures to ensure sound financial management with regard to: financial reporting, internal controls, creation and maintenance of an operating reserve, management of investments.		
f) If the agency charges fees for its services, a policy that ensures a consistent method for determining fees how fees for those clients with no ability, or limited ability, to pay the fees.		Attach fee schedule and policy.
g) A policy establishing a mechanism and procedures for client and/or constituent feedback (if applicable) and client grievances.		
h) A policy to ensure the agency makes reasonable accommodations to ensure the accessibility of its services, and, if subject to the Americans with Disabilities Act (ADA), ensures the agency's compliance with ADA requirements serves. This commitment to accessibility is demonstrated not only in the physical accessibility of its facilities, but also in how the agency addresses other barriers that program participants may face. This may impact the hours of operation and location of programs, outreach and intake methods and specific accommodations made to ensure that those in need and eligible for services are able to access them.		
i) A policy to address privacy concerns of donors that allows both new and continuing donors to inform the agency if they do not want their name and address and other personal information to be shared outside the organization. The privacy policy that is made available to the public upon request, via website, or other means of accessibility.		
j) A policy that establishes protocols for document retention and destruction.		
k) A policy that establishes a code of ethics for staff and board members.		
l) A policy that establishes whistleblower protections for the reporting of illegal actions or actions that violate the organization's code of ethics or other policies.		

<p>m) Policies and procedures to ensure the well-being and safety of clients who are in the care of agency staff and volunteers who work directly with clients. This should include, at a minimum, appropriate screening of staff and volunteers, and may include criminal and abuse/neglect background checks. This policy may also include the establishment of – and adherence to – minimum employment qualifications standards, training on client safety and identification of inappropriate behaviors for all who come in direct contact with clients of agency programs. The policy should include the process for reporting any inappropriate behaviors to administration and/or the appropriate authorities as required by law.</p>		
<p>10. The agency’s board and staff leadership engage in periodic planning and assessment of organizational performance to establish future direction with regard to the agency’s programs, finances and overall management.</p>		
<p>11. The agency carries insurance coverage to protect the public interest and safeguard the assets of the organization. Such coverage may include a blanket fidelity bond, general liability insurance, real and personal property insurance, officers and directors liability insurance (which may be extended to include the agency’s chief executive officer) and applicable professional liability insurance.</p>		
<p>12. The agency periodically affirms its programs in light of its mission and ensures that the agency has the organizational capacity (qualified staff, appropriate facilities and financial resources) to implement the program(s).</p>		
<p>13. The agency has defined outcomes for each program and has a system in place to measure and report progress and implement program improvements. Program performance is reviewed annually by the board and staff for effectiveness.</p>		
<p>14. If the agency’s governing body is national, a local advisory board or equivalent body assists the board of directors in fulfilling its oversight role, particularly as it pertains to the agency’s local services and finances.</p>		
<p>15. If the organization operates under religious auspices, it separates its budget for its social service programs from its religious activities. This separation is clearly distinguishable in the agency’s audited financial statements.</p>		