



UNITED WAY OF OCEAN COUNTY

**AGENCY CERTIFICATION
MANUAL**

RATINGS

C	=	Compliance with the Standard
S	=	Substantial Compliance: Compliance within 30 days
P	=	Partial Compliance; Initial efforts made but more than 30 days required to fully comply.
F	=	Failure to comply.
NA	=	Not applicable, as agreed by Agency and Review Team.

IMPLEMENTATION OF AGENCY CERTIFICATION

SELF-EVALUATION

Agencies will initially collect documentation and assess their own performance against the standards. Governing body members, managers, supervisors and staff are encouraged to participate in the process.

AGENCY CERTIFICATION TEAM EVALUATION

The United Way Agency Certification Review Team will schedule the review with the agency Director to begin the process. When possible, each review will be preceded by a tour of the facilities, observation of activities and discussions with staff. The Agency Certification Review Team will review the documentation for each standard and a decision on the rating will be made and recorded at that time. The Agency Certification Review team will share its findings with the agency representatives at the conclusion of the visit. The Agency Certification Team, in conjunction with the agency representatives, should negotiate and reach an agreement on the specific actions required to achieve compliance with the standards. A letter will be sent to the agency summarizing the review.

AGENCY CERTIFICATION

Upon successful completion of the Agency Certification Process, an agency will be eligible to apply for funding (funding is not guaranteed) in the annual allocations process.

AGENCY CAMPAIGN

In the spirit of mutual support and giving back to the community, all United Way of Ocean County Agencies applying for funding must conduct an Agency Campaign and are encouraged to volunteer at rallies and participate at United Way of Ocean County sponsored events. If an agency chooses not to run a United Way of Ocean County Campaign, they will not be eligible to apply for funding.

ADMINISTRATION

STANDARD: A1 The agency is structured and operates in compliance with applicable State and Federal Laws.

SELF STUDY QUESTIONS

- A1.1 The agency is incorporated and is in compliance with all legal statutes and reporting requirements. _____
- A1.2 Where applicable the agency adopts by-laws consistent with its Articles of Incorporation. _____
- A1.3 Corporate minutes are kept of all general governing **body and governing body committee meetings.** _____

DOCUMENTATION: (A1.1): Articles of Incorporation, Tax Exempt 501(c)(3) Determination letter, IRS 990 and New Jersey Annual Report CO-8, Annual Report to Secretary of State for not-for profits incorporated under Title 15 of NJ Statutes or other such documents where required. (A1.2): By-laws. (A1.3): Corporate minutes of governing body.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable
ADMINISTRATION

STANDARD: A2

The agency is governed by a Board of Trustees or other appropriate governing body according to applicable New Jersey Statutes.

SELF STUDY QUESTIONS

- A2.1 Governing body members are selected according to approved by-laws. _____

- A2.2 The governing body functions by committee structure as outlined in the agency's by-laws. _____

- A2.3 The agency conducts orientation for new governing body members. _____

- A2.4 The agency assures that current members receive training at least every two years. _____

DOCUMENTATION: (A2.1): Current governing body list and copy of By-laws. (A2.2): Copy of By-laws, including organizational chart. (A2.3): Orientation package for new governing body members. (A2.4): Examples of periodic training activities for governing body members.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

ADMINISTRATION

STANDARD: A3

The governing body is responsible for developing and managing financial resources for the agency.

SELF STUDY QUESTIONS

- A3.1 The governing body assists with the development of and approves the budget. _____
- A3.2 The governing body reviews financial reports at least quarterly. _____
- A3.3 The governing body reviews an annual certified audit of a Certified Public Accountant or other qualified person as designated by the governing body, and if legally required. _____
- A3.4 The governing body directs implementation of audit recommendations. _____

DOCUMENTATION: (A3.1): Current fiscal year budget and copies of Board minutes demonstrating governing body participation and approval. (A3.2): Governing body minutes citing review of financial reports. (A3.3): Governing body minutes citing review of annual audit. (A3.4): Governing body minutes reflecting implementation of audit recommendations.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

ADMINISTRATION

STANDARD: A4

The agency employs qualified staff sufficient to carry out its activities.

SELF STUDY QUESTIONS

- A4.1 All staff are hired based on written criteria. _____
- A4.2 The agency distributes personnel policies to all paid Staff and the governing body reviews them at least every 3 years. _____
- A4.3 Employee performance is evaluated and job descriptions are reviewed at least annually. _____
- A4.4 The agency maintains a current staff organizational chart, which reflects sufficient staff to operate each program. _____

DOCUMENTATION: (A4.1): Written job descriptions, specifying qualifications. (A4.2): Personnel policies and evaluation procedures with date of last revision. (A4.3): Documentation of annual review of employee performance and job description. (A4.4): Current staff organizational chart.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

ADMINISTRATION

STANDARD: A5

The agency provides staff training to assure that the highest quality of service is provided.

SELF-STUDY QUESTIONS

A5.1 The agency allocates money for registration at conventions, workshops and seminars for all staff or provides training within the agency by qualified trainers on an ongoing basis.

DOCUMENTATION: (A5.1): Budget and/or simple listing of the training topics provided, dates conducted and staff members who attended.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

ADMINISTRATION

STANDARD: A6

The agency utilizes volunteers to enhance its delivery of service.

SELF-STUDY QUESTIONS

- A6.1 The agency has written job descriptions for volunteer positions. _____
- A6.2 The agency provides training for volunteers. _____
- A6.3 The agency keeps a record of volunteer hours and/or activities. _____
- A6.4 The agency gives volunteers special recognition. _____

DOCUMENTATION: (A6.1): Volunteer job descriptions. (A6.2): Training schedule and/or training materials. (A6.3): Forms used to keep record of hours/activities. (A6.4): Copy of certificate of appreciation and/or examples of how special recognition is given.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

ADMINISTRATION

STANDARD: A7 The agency has a community awareness program designed to inform the public of its services.

SELF-STUDY QUESTIONS

- A7.1 The agency has community awareness activities to

inform the public of its services. _____

A7.2 The agency informs the public through promotional
Activities of the availability of services offered on a sliding
fee scale. _____

DOCUMENTATION: (A7.1): Demonstrate agency's community awareness activities (i.e., brochures, listing in directories, public presentations, use of media/advertising). (A7.2) Recognition of sliding fee scale in brochures, directory listings, public presentations, and media/advertising.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

ADMINISTRATION

STANDARD: A8 The agency provides liability insurance for the governing body, professional staff and volunteers.

SELF-STUDY QUESTIONS

A8.1 The agency provides sufficient liability insurance for:
a. governing body members _____

- b. administrative/professional staff
- c. volunteers

DOCUMENTATION: (A8.1): Insurance policies.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

COMMUNITY RELATIONS

STANDARD: CR1

The agency develops and maintains cooperative relations with other human service agencies in order to facilitate community problem solving.

SELF STUDY QUESTIONS

CR1.1 The agency has developed cooperative relations with other agencies.

CR1.2 The agency routinely meets with other human service

agencies to discuss community problems. _____

CR1.3 The agency informs other agencies about its programs/
services. _____

DOCUMENTATION: (CR1.1): Letters of support; List of community agencies to which agency belongs. (CR1.2): Minutes/attendance records showing attendance at community meetings. (CR1.3): Printed materials distributed to other agencies.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

FINANCE

STANDARD: F1

The agency prepares an annual budget for allocating **and managing the agency's revenues and expenses during the fiscal year.**

SELF-STUDY QUESTIONS

F1.1 The agency prepares an annual budget. _____

F1.2 The administration utilizes the budget as a management tool through periodic comparison of budgeted revenues and expenses with actual revenues

and expenses. _____

F1.3 The agency has an established process for revising/
amending the budget. _____

DOCUMENTATION: (F1.1): Most recent budget indicating fiscal period and date of adoption by governing body. (F1.2): Periodic fiscal reports showing budgeted and actual figures. (F1.3): Process of budget revision during fiscal year.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

FINANCE

STANDARD: F2

The agency receives, disburses and accounts for its funds
according to generally acceptable accounting practices.

SELF-STUDY QUESTIONS

F2.1 The agency has established controls for receipt of funds
and disbursements. _____

F2.2 The agency maintains records including: _____
a. general ledger
b. cash receipt journal
c. cash disbursements journal
d. accounts payable journal

F2.3 The agency requires two signatures on each check. _____

F2.4 If the agency has numerous funding sources, it utilizes the fund accounting system. _____

DOCUMENTATION: (F2.1): Agency's fiscal policies and/or agency accounting manual. (F2.2): General ledger; Cash receipt journal; Cash disbursement journal; Accounts payable journal. (F2.3): Policy requiring two signatures on each check. (F2.4): Documents reflecting fund accounting system.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

FINANCE

STANDARD: F3 The agency maximizes funding where feasible and/or **allowable through investment according to a policy established and renewed annually by the governing body.**

SELF-STUDY QUESTIONS

F3.1 The agency is aware of and follows the investment policies of its funding sources. _____

F3.2 The agency's unrestricted funds are invested according to strategies approved by the governing body. _____

DOCUMENTATION: (F3.1): Funding sources' investment policies and evidence of agency compliance. (F3.2): Agency investment policy.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

FINANCE

STANDARD: F4

Where the agency charges fees for services, a fee **schedule is formally established and the basis for any sliding scale or any waiver or deferral of payment is articulated in the agency's policy.**

SELF-STUDY QUESTIONS

F4.1 The agency has an established fee schedule, which is periodically updated to reflect changes in cost for service.

F4.2 The agency has a consistent collection procedure for each service for which fees are collected.

F4.3 The agency has established eligibility criteria and procedures for utilization of sliding fee scale, waiver or deferral, which is periodically updated to reflect

changes.

- F4.4 Agencies employing a sliding fee scale must display
Such in a conspicuous place and give a copy to
each client.

DOCUMENTATION: (F4.1): Fee schedules. (F4.2): Collection procedure. (F4.3): Procedures and date for establishing sliding fee scale and eligibility criteria. (F4.4): Observation of posted schedule and procedure for advising clients of sliding fee scale.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PLANNING

The Performance Plan – Completion of the standards in this section will demonstrate that the agency has an established process for visualizing and assessing their performance in a long term or strategic sense. The Performance Plan consists of:

- Agency History – Brief, no more than one page.
- Mission Statement – Brief, no more than a short paragraph.
- Agency Goals and Objectives – The agency formally adopts and publishes its goals and objectives. The goals and objectives define the plans and strategies for overall program development. The goals may extend over more than one year.
- Performance Measurement System – The agency has a process whereby they assess progress in achieving their goals and objectives, including individual program performance.
- Assessment – An assessment is made, at least annually, of the agency's performance in achieving its goals and objectives.

PLANNING

STANDARD: P1

The agency's mission statement is clear and concise, accurately reflects the agency's purpose and services, and identifies the agency's target population.

SELF-STUDY QUESTIONS

P1.1 The mission statement reflects changing community needs and agency response.

DOCUMENTATION: (P1.1): Mission Statement

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PLANNING

STANDARD: P2

The agency's governing body periodically develops and adopts goals and objectives consistent with the mission of the agency.

SELF-STUDY QUESTIONS

P2.1 The governing body seeks input from governing body members, staff, volunteers and customers to develop goals and objectives.

P2.2 The governing body formally adopts the goals and objectives as the basis for their plan of work.

DOCUMENTATION: (P2.1): Policy establishing working group and/or list or schedule of working group meetings. (P2.2): Governing body minutes citing adoption of goals and objectives.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PLANNING

STANDARD: P3

The agency has an established process to measure the

efficiency and effectiveness of its goals, objectives, and the services provided.

SELF-STUDY QUESTIONS

- P3.1 The agency has a plan/procedure for self-evaluation. _____
- P3.2 The agency continually collects data to evaluate progress in achieving its objectives, including input from the governing body, staff, customers and the community. _____
- P3.3 The agency's evaluation report is issued to the governing body and used for program improvement. _____

DOCUMENTATION: (P3.1): Evaluation plan or procedures. (P3.2): Evidence of data used for self-evaluation. (P3.3): Annual performance report, including plan for improvement.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PROPERTY AND EQUIPMENT

STANDARD: PE1

Agency maintains an inventory of all properties, buildings and major pieces of equipment (including vehicles) owned or rented. The inventory includes a description and fair market value of all

properties, buildings and major pieces of equipment valued at over \$1000 and is updated regularly to reflect acquisition and disposal of these fixed assets.

SELF-STUDY QUESTIONS

PE1.1 Agency maintains a current inventory of all properties, buildings and major pieces of equipment owned or rented. The inventory includes a description and fair market value of all properties, buildings and major pieces of equipment valued at over \$1000. _____

DOCUMENTATION: (PE1.1): Agency's inventory, including date of revision.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PROPERTY AND EQUIPMENT

STANDARD: PE2

All properties, buildings and major pieces of equipment are insured according to their replacement value.

SELF-STUDY QUESTIONS

PE2.1 Replacement value of all properties, buildings and major pieces of equipment is determined and reflected in insurance coverage on an annual basis. _____

DOCUMENTATION: (PE2.1): Procedure to appraise replacement value of all properties, buildings and major pieces of equipment; Insurance policies.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PROPERTY AND EQUIPMENT

STANDARD: PE3

All properties, buildings and major pieces of equipment are adequately and safely maintained. Maintenance and repair records are kept for these fixed assets. The organization is in compliance with applicable federal, state and local fire and safety codes.

SELF-STUDY QUESTIONS

PE3.1 Agency has a procedure for inspecting all properties, buildings and major pieces of equipment to identify safety and/or maintenance problems. _____

PE3.2 Agency keeps appropriate inspection, maintenance And repair records. _____

PE3.3 Agency conducts periodic fire drills. _____

PE3.4 Agency documents compliance with applicable federal, State and local fire safety codes. _____

DOCUMENTATION: (PE3.1): Procedure for inspecting properties, buildings and major pieces of equipment. (PE3.2): Inspection, maintenance and repair records, including applicable inspection certificates. (PE3.3): Written record of fire drills held. (PE3.4): Demonstrate compliance with applicable fire and safety codes.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PROPERTY AND EQUIPMENT

STANDARD: PE4

Properties and buildings provide a clean environment, appropriate for customer’s use.

SELF-STUDY QUESTIONS

PE4.1 Agency’s facility is clean and appropriate for customer use. _____

DOCUMENTATION: (PE4.1): Site review of a representative sample of agency's properties and buildings.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PROPERTY AND EQUIPMENT

STANDARD: PE5

Agency has a current Certificate of Occupancy as well as any other special license, inspection or accreditation certificate required for its program(s).

SELF-STUDY QUESTIONS

PE5.1 Agency has a current Certificate of Occupancy. _____

PE5.2 Agency has copies of any special licenses, inspections or accreditation required for the agency's program(s). _____

DOCUMENTATION: (PE5.1): Certificate of Occupancy. (PE5.2): Any required licenses, inspections or accreditation's.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PROPERTY AND EQUIPMENT

STANDARD: PE6

Properties and buildings are free of architectural barriers or the agency has developed program accessibility in order to accommodate persons with disabilities.

SELF-STUDY QUESTIONS

PE6.1 Agency provides services to persons with disabilities regardless of physical/programmatic barriers. _____

PE6.2 Agency has developed and implemented a barrier-free

plan.

DOCUMENTATION: (PE6.1): Observation of, or actual experience with accommodations for program access. (PE6.2): Barrier-free renovation plans.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

PROPERTY AND EQUIPMENT

STANDARD: PE7

Agency follows written policies and procedures for procurement of supplies, equipment and services which consider such factors as free and open competition, conflict of interest, price and cost analysis, solicitation and formal bidding and utilization of small businesses and minority-owned businesses.

SELF-STUDY QUESTIONS

PE7.1 Agency has written policies and procedures for Procurement of supplies, equipment and services that reflect the above noted factors.

DOCUMENTATION: (PE7.1): Agency procurement policies and procedures.

FINDINGS/CORRECTIVE ACTION:

RATINGS: C – compliance, S – substantial compliance, P – partial compliance, F – failure to comply, NA – not applicable

RATINGS SUMMARY

MANDATORY STANDARDS FOR COMPLIANCE:

A1.1, A1.2, A1.3

A2.1, A2.2

A3.1, A3.2, A3.3, A3.4

A4.1, A4.3

A7.2

A8.1

F1.1, F1.2, F1.3

F2.1

F4.1, F4.2, F4.3, F4.4

P1.1

P2.1, P2.2

P3.1, P3.2, P3.3

PE1.1

PE3.1, PE3.2, PE3.3, PE3.4

PE4.1
PE5.1, PE5.2
PE6.1, PE6.2
PE7.1

RECOMMENDED STANDARDS:

A2.3, A2.4
A4.2, A4.4
A5.1
A6.1, A6.2, A6.3, A6.4
A7.1
CR1.1, CR1.2, CR1.3
F2.2, F2.3, F2.4
F3.1, F3.2
PE2.1

AGENCY REVIEW FORM

Date: ____/____/____

Agency:

Mailing Address:

Telephone: _____

Fax: _____

E-mail: _____

Staff Interviewed:

Executive Director/CEO _____
(Signature)

Other Staff/Names: (Please Print)

Position:

Agency Review Team:

Team Chairperson: _____
(Signature)

Name: (Please Print)

Representing:

RATING SUMMARY FORM

Ratings

Standards

ADMINISTRATION

A1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Structured, operated in compliance with State and Federal Laws.	
A2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Governed by Governing body (i.e. Board of Trustees).
A3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Governing body responsible for managing financial resources.
A4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Employs sufficient, qualified staff.
A5	<input type="checkbox"/>				Provides staff training.
A6	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Utilizes volunteers.
A7	<input type="checkbox"/>	<input type="checkbox"/>			Active community awareness program.
A8	<input type="checkbox"/>				Sufficient liability insurance.

COMMUNITY RELATIONS

CR1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Develops/maintains cooperative relations with other human service agencies.
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FINANCE

F1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Prepares annual budget.	
F2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Acceptable accounting practices.
F3	<input type="checkbox"/>	<input type="checkbox"/>			Funding maximized through investment policies.
F4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Agency's policy articulates fees, fee schedules, sliding fee waiver.

PLANNING

P1	<input type="checkbox"/>			Clear, concise, accurate mission statement.
P2	<input type="checkbox"/>	<input type="checkbox"/>		Agency goals consistent with mission statement.
P3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Agency has an established process to measure efficiency and effectiveness of services.

PROPERTY/EQUIPMENT

PE1	<input type="checkbox"/>				Agency maintains inventory of all properties, buildings and major equipment.
PE2	<input type="checkbox"/>				Property, buildings and major equipment are fully insured, according to their replacement value.
PE3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Property, buildings and major equipment are adequately and safely maintained.
PE4	<input type="checkbox"/>				Property and buildings provide a clean and appropriate environment.
PE5	<input type="checkbox"/>	<input type="checkbox"/>			Current Certificate of Occupancy/other special license, inspection, accreditation.
PE6	<input type="checkbox"/>	<input type="checkbox"/>			Properties/buildings handicapped accessible.
PE7	<input type="checkbox"/>				Follows written procedures for procurement.

Ratings Summary

Total C Ratings	_____	TOTAL NUMBER of Non-applicable Ratings	_____
Total S Ratings	_____		
Total P Ratings	_____	TOTAL NUMBER of Applicable Ratings	_____
Total F Ratings	_____		