

**COUNCIL ACTION FORM**

**SUBJECT: APPROVAL OF ASSET POLICIES AND PROCEDURES**

**BACKGROUND:**

Each year the ASSET Administrative Team and volunteers review the ASSET Policies and Procedures. Changes to the Policies and Procedures are adopted once a majority of the Funders approves the revisions. This year, revisions are recommended to address several issues.

One of the most significant changes is the addition of a new section addressing Non-Participating Agencies found on page 7 of the Policies and Procedures document. **ASSET agencies who are not actively participating in the process by not submitting a budget request, reporting outcome data through Clear Impact Scorecard, participating in agency hearings and liaison visits for two consecutive budget years will be notified before the next budget cycle that they will be removed from the process.** Agencies can always reapply to be an ASSET agency by following the New ASSET Agency Application Process.

Another change (page 9) is the addition of new language addressing services that may need to be modified during the course of the fiscal year while under contract. Even though this isn't a common occurrence, **a policy is being proposed requiring agencies to provide written notification to Funders 30 days prior to implementing the service change(s). Each Funder will determine if modifications are acceptable to continue funding or if funding will discontinue.**

Other proposed changes include:

- Clarification on the number of volunteers appointed by ISU Student Government (page 3)
- Clarification that volunteers and staff need to sign both the Conflict of Interest form and the Confidentiality statement on an annual basis (page 4)
- Clarification that the ASSET Administrative Assistant is not a voting member of the ASSET Administrative Team (page 5)
- Clarification that annual financial reporting must include comparative reports/audits (page 7)

- ASSET will no longer send out funding letters to agencies. Funding information will be communicated by each ASSET Funder through the contracting process (page 8)
- Clarification that an agency applying to be an ASSET agency must be incorporated as a 501 (c) (3) non-profit organization and actively providing services for at least one year at the time of application (page 9)

**ALTERNATIVES:**

1. Approve the recommended revisions to the ASSET Policies and Procedures.
2. Do not approve the recommended revisions to the ASSET Policies and Procedures.
3. Approve other revisions to the ASSET Policies and Procedures that the City Council deems appropriate.

**CITY MANAGER'S RECOMMENDED ACTIONS:**

The annual review of the ASSET Policies and Procedures is an important step to ensure policies are kept up to date and address any changes in the process. Therefore, it is the recommendation of the City Manager that the City Council adopt Alternative No. 1 to approve the recommended revisions to the ASSET Policies and Procedures, as described above.

# ASSET

## POLICIES & PROCEDURES

July 20~~22~~<sup>24</sup>

[www.storycountyasset.org](http://www.storycountyasset.org)

**Sponsoring Organizations:**

City of Ames  
Story County  
United Way of Story County  
ISU Student Government

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## POLICIES AND PROCEDURES FOR ASSET

By agreement among sponsoring organizations (Funders), a team shall be authorized by all sponsors but separate from any sponsor. The name of this process is "Analysis of Social Services Evaluation Team" or "ASSET."

### I. PURPOSE

- A. To promote coordination of human services planning and funding among the sponsoring organizations.
- B. To assess the human services needs in Story County and evaluate the capabilities of agencies to provide the programs that meet those needs.
- C. To provide funding recommendations to the governing bodies of the sponsoring organizations.

### II. SPONSORING ORGANIZATIONS

- A. Ames City Council (City)
- B. Story County Board of Supervisors (County)
- C. United Way of Story County (UWSC)
- D. ISU Student Government

### III. TEAM STRUCTURE

- A. The City, County, ~~and UWSC, and ISU Student Government~~ shall each appoint six (6) volunteers ~~and ISU Student Government will appoint four (4) volunteers~~, as voting members of the ~~board team~~ (Volunteers). ~~and ISU Student Government will appoint four (4) volunteers~~
- B. The City, County, UWSC, and ISU Student Government shall each appoint one staff person. The staff appointees shall be non-voting board members for the purpose of ASSET business (Staff).
- C. The Administrative Assistant shall be a contract position paid jointly by the Funders through a 28E Agreement and shall be a non-voting participant.

### IV. TERMINATION

A Sponsoring Organization may withdraw its participation in the Intergovernmental/ Agency Agreement to Fund Administrative Services for the ASSET Process on written notice to the other Sponsoring Organizations. Written notice shall be given no later than July 1 of any given year and termination will be effective June 30 of the following year. A shorter notice period may be granted upon agreement of the other Sponsoring Organizations ~~though the date~~ ~~though date~~ of termination shall remain June 30 of the given fiscal year. Each Sponsoring Organization shall remain liable for its pro rata share of expenses until withdrawal takes effect.

Upon withdrawal of a Sponsoring Organization, the remaining Sponsoring Organizations shall be responsible for equally contributing to the contract to fund the yearly expense for administrative services. A new or amended intergovernmental/agency funding agreement shall be filed with the Iowa Secretary of State as soon as is practical upon the withdrawal of any Sponsoring Organization.

### V. TENURE OF MEMBERS

- A. The terms of Volunteers shall be three (3) years. ASSET recognizes that ISU Student Government appointees may not be able to serve three-year terms.
- B. The terms of Staff shall be continuous until terminated by the appointing Funder.
- C. An ~~unexpired~~~~un-expired~~ term of a Volunteer shall be filled by the Funder that appointed that Volunteer.
- D. No Volunteer may serve more than two (2) consecutive full terms, except the Past Chair, Chair or Chair Elect may serve longer in order to fulfill the duties of their offices.
- E. If a Volunteer is appointed to fill the remainder of an unexpired term, the newly appointed Volunteer is eligible to serve a maximum of seven consecutive years unless conditions delineated in paragraph D above apply.
- F. If a Volunteer accumulates three consecutive unexcused absences in any one ASSET year (April through March), or otherwise fails to fulfill their responsibilities, the Volunteers may, by a simple majority vote of quorum, request that a Funder appoint a replacement Volunteer. An unexcused absence is defined as when a Volunteer does not notify an Administrative Team member, or the Administrative Assistant about being absent. Notifying the Administrative Assistant is the preferred method.
- G. All Volunteers and Staff are required to sign a Conflict-of-Interest and Confidentiality forms annually, ~~as described on the form~~ (Appendix B).

#### VI. OFFICERS

- A. Officers shall be Chair, Chair-Elect, Past Chair, and Treasurer, each of whom shall be elected for a one-year term by a quorum of the Volunteers.
- B. Staff members are ineligible to hold an office.
- C. A Chair may not hold that office for more than two consecutive one-year terms.
- D. A vacancy in any office shall be filled by a majority vote of a quorum of the Volunteers for the unexpired portion of the term, except for the position of past chair, which would remain vacant should that volunteer leave the ASSET process.
- E. The ASSET Chair is authorized to sign contracts and agreements on behalf of ASSET with respect to operations of the ASSET board. The Chair-Elect may sign if the Chair is unavailable.

#### VII. ASSET OPERATIONS

- A. Regular meetings of ASSET shall be held in accordance with Iowa's Open Meetings law. If circumstances warrant it, a meeting of ASSET may be ~~cancel~~~~cancelled~~ by the Administrative Team. An announcement of meeting cancellation will be posted, and notice sent to members and participating agencies as soon as possible under the circumstances.
- B. Unless otherwise specified, meetings shall be conducted according to Robert's Rules of Order. However, technical or non-substantive departures from these rules shall not invalidate any action taken at a meeting.
- C. Agendas will be posted at Ames City Hall and the ASSET website (<http://www.storycountyasset.org>)~~s~~, at least three days prior to the meeting, and notification sent electronically to each ASSET member and

participating Agency.

- D. A quorum shall consist of one-half plus one of the currently appointed volunteers. A majority vote of the quorum present shall constitute a decision of ASSET. In the event a quorum is not present, ASSET business may be conducted by a simple majority vote of those present, if at least one voting member from each Funder is represented. Exceptions to this include decisions for funding recommendations or changes to the Policies and Procedures, or anything that requires Funder approval.
- E. The Chair may vote on all business that comes before ASSET and shall be included as part of the quorum.
- F. Special meetings may be called by the Chair or by petition of one-fourth of the Volunteers with not less than five days written notice to the Volunteers and Staff by email or regular mail.
- G. Minutes of ASSET meetings shall be recorded and distributed to Staff, Volunteers, and Agencies, by posting on the ASSET website (<http://www.storycountyasset.org>). Minutes shall be made public in accordance with the Iowa Open Records law.
- H. ASSET records will be retained for five years. This includes but is not limited to budget books, Administrative Team meeting agendas and minutes, ASSET Board meeting agendas and minutes, agency audits and form 990s, agency applications, agency requests for new/expanded services, and other agency correspondence.

#### **VIII. ADMINISTRATIVE TEAM OPERATIONS**

- A. Staff members, the Chair, the immediate past Chair, the Chair-Elect, and the Treasurer, shall serve as an Administrative Team.
- B. The Administrative Team will meet prior to regular ASSET meetings. If there are no significant pending actions, an Administrative Team meeting may be ~~cancelled~~ by the Chair or Chair Elect.
- C. All members of the Administrative Team shall be voting members on Administrative Team business, including staff members. The ASSET Administrative Assistant shall not be a voting member.
- D. A quorum shall consist of more than half of the existing Administrative Team members. A quorum shall include at least one Volunteer. A majority vote of the quorum present shall constitute a decision of the Administrative Team.
- E. Minutes of the Administrative Team and ASSET shall be recorded and distributed to all Staff, Volunteers, and Agencies, by posting on the ASSET website (<http://www.storycountyasset.org>). Minutes shall be made public in accordance with the Iowa Open Records law.

#### **IX. COMMITTEES**

- A. Staff and committees shall have substantial responsibility for the operation of ASSET and for assisting the Volunteers. Committees may be established as follows:
  - 1. The Administrative Team may form committees to identify issues, perform studies, and bring recommendations to ASSET.
  - 2. ASSET may request committees to identify issues, perform studies, and bring recommendations to ASSET. Committee members may be appointed by the ASSET Chair.

3. A Funder may request formation of a committee and make recommendations to ASSET with respect to membership on such committee. The ASSET Chair may appoint the committee members.

#### **X. DUTIES AND RESPONSIBILITIES OF ASSET**

- A. To make annual allocation recommendations to the Funders for services provided by participating agencies. The recommendations shall be consistent with instructions and priorities received from the Funders;
- B. To set a timetable each year for the funding recommendation process;
- C. To organize hearings for agency presentations regarding their proposed budgets and program plans;
- D. To review services and code definitions as assigned to agencies for use in the budget and billing process;
- E. To meet with the Funders at least twice yearly. At these meetings each Funder has one vote. A majority of Funders constitutes quorum;
- F. To give timely reports on funding recommendation decisions to the Funders and to the agencies;
- G. To develop and maintain an index of services offered in Story County (This index will be located in the ASSET Reference Manual for Volunteers and Agencies.);
- H. To perform any specific task that the Funders might request of ASSET.

#### **XI. AGENCY PARTICIPATION**

##### **New Agency Application Process**

- A.      Agencies seeking funding eligibility must be serving clients within the geographic area of Story County and shall meet the criteria outlined in the Application for ASSET Agency Participation (Appendix A). The application form can be found under the "Forms and Resources" tab on the ASSET website located at [www.storycountyasset.org](http://www.storycountyasset.org).
- B. Agencies shall complete required forms, and present verification of the stated criteria. All application documents shall be submitted to the ASSET Administrative Assistant to distribute to the ASSET Administrative Team.
- C. The ASSET Administrative Team shall ~~ensure~~~~insure~~ that the forms are complete and make recommendations to the Volunteers. The Volunteers will then approve or disapprove the recommendation.
- D. A written notification shall be sent to the Agency, stating its acceptance or the reason why it was not accepted.
- E. Approval of an applicant Agency does not guarantee a subsequent ~~funding dollar~~ allocation.

##### **All Agency Requirements**

- F. Agencies and services will be reviewed annually by ASSET, through the agency visit and budget process.



- G. Agencies shall annually provide [comparative](#) financial reports in accordance with Generally Accepted Accounting Practices (GAAP). These reports shall be submitted within six months after the close of the Agency's fiscal year. Reports will meet the following guidelines:
1. Agencies with an annual budget below \$250,000 must, at least, submit an electronic copy of IRS Form 990 and a balance sheet prepared externally and independently to the ASSET Administrative Assistant.
  2. Agencies with an annual budget of \$250,000 or more must submit an electronic copy of their full comparative audit and an electronic copy of their IRS Form 990 to the ASSET Administrative Assistant.
- H. Any Agency may request to be placed on the ASSET or Administrative Team agenda by contacting the Administrative Assistant.

#### [Non-Participating Agencies](#)

[I. Approved ASSET agencies not actively participating in the ASSET process \(submitting a budget request, reporting outcome data through Clear Impact Scorecard, participating in Liaison visits and agency hearings\) for two consecutive budget years will be notified by July 1 in writing by the ASSET Chair or designee that they will be removed from the process effective the next available budget cycle.](#)

[Agencies falling within this status can re-apply to be an ASSET agency by following the New ASSET Agency Application Process as described above.](#)

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## XII. FUNDING PROCESS

- A. Each Agency [program](#) requesting funding shall be assigned to one or more of the three focus areas (Education, Financial Stability, or Health). [An agency may have programs assigned to more than one focus area.](#)
- B. Each Volunteer shall be assigned to only one focus area and shall review the services within that area.
- C. The Administrative Team shall prepare the appropriate budget and reporting forms for the agencies to complete and make the forms available via the ASSET website.
- D. Agencies must submit completed budget and reporting forms for all approved services to ASSET by the date stated in the yearly ASSET calendar. [Budgets must be completed as instructed. Failure to submit a completed ~~full~~ budget may result in not being considered.](#)
- E. Agencies must timely post Board of Directors meeting minutes to the virtual platform used by ASSET. [As part of the review process ASSET Volunteers will be asked to attend a board meeting as outlined in the ASSET Reference Manual.](#)
- F. The Administrative Team shall conduct an Agency training session on the date stated in the yearly ASSET calendar. Agency attendance at this meeting is required.
- G. Volunteers shall conduct Liaison visits to individual agencies as scheduled on the ASSET calendar. [As part of the review process ASSET Volunteers will be asked to attend a board meeting as outlined in the](#)

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[ASSET Reference Manual.](#)

- H. Hearings for agencies shall be conducted each year as scheduled on the ASSET calendar.
- I. Recommendations for allocations shall be made by ASSET to the Funders after the hearings and work sessions are completed and approved by the ASSET Board.
- J. Funding recommendations will be posted on the website by the date stated on the ASSET calendar.
- ~~K. Letters will be sent to the agencies and their governing bodies sharing Funders' approval of funding, by the date stated on the ASSET calendar.~~
- K. If any Agency does not provide the required information, or provides information that is inadequate, incorrect, or not timely, ASSET shall make a report to the Funders that procedures were not followed and may recommend that funding be reduced, sequestered, or not allocated.
- L. ASSET agencies will collaborate and partner to provide services. The ASSET Administrative Team shall make a report to Funders if an agency does not make adequate efforts to coordinate services or respond to requests for information.

### **XIII. PLANNING PROCESS**

ASSET shall provide a community forum to work constructively and cooperatively in addressing human services concerns. This may be achieved by, but is not limited to:

- A. Participating in studies and developing strategies that enhance the delivery of \_\_\_\_\_ human services within the county;
- B. Collecting and evaluating facts that provide valid data for decisions on program \_\_\_\_\_ needs, and effectiveness of current delivery;
- C. Evaluate the need for new or modified services and/or duplication of services;
- D. Promote and encourage collaboration among agencies for efficiencies;
- E. Review agency updates and reports on services as documented through Clear Impact Scorecard and other reporting documents.

### **XIV. CHANGES IN SERVICES**

- A. Any ASSET Agency, providing services to Story County clients, that wishes to add new or expanded services, will report this information to the ASSET Administrative Team by completing and submitting the "Notification of New or Expanded Service" form by the date stated in the ASSET calendar. The Notification of New or Expanded Service form can be found under the "Forms and Resources" tab on the ASSET website located at [www.storycountyasset.org](http://www.storycountyasset.org).
- B. The need for new or expanded services shall be identified and aligned with the Funder's priorities and the priority areas from the most recent Story County Community Needs Assessment. Service changes should include increases in service beyond the normal expected growth, new or different services that impact staffing, or services that result in new clientele.

- C. The Administrative Team will review the information and determine if the service(s) meets criteria to be included in the ASSET funding process. The Administrative Team will inform the ASSET Board of the new/expanded service(s). This review and informing ASSET is not a commitment to funding. If ASSET requests additional information, a committee of Volunteers may be appointed to gather more information and report its finding to ASSET for further review.
- D. If an Agency is reducing or dropping a service, a letter should be submitted to the ASSET Administrative Team within thirty days of the Agency Board of Directors' vote to reduce or drop a service.
- E. If an Agency modifies a service during the Funding year, written notification must needs to be given to Funders under contract 30 days prior to implementing changes. Each Funder will determine if the modifications are acceptable and continue to fund, or if funding will discontinue.

#### XV. FUNDING APPEAL PROCESS

An Agency wishing to make an appeal may do so by following the individual Funders' appeal process. [Contact the individual ASSET Funder staff representative for further information and forms. The Funder appeal processes are on the ASSET website under the Forms and Resources tab.](#)

#### XVI. AMENDMENTS TO POLICIES AND PROCEDURES

- A. These Policies and Procedures shall be reviewed annually prior to the May ASSET Board meeting.
- B. Amendments to the Policies and Procedures may be proposed by a Volunteer, a Staff member, or a Funder.
- C. A proposed amendment shall require a majority vote of quorum of the ASSET Board to recommend such amendment to the Funders.

### APPENDIX A

## ASSET (Analysis ~~for~~ of Social Service Evaluation Team)

#### CRITERIA FOR FUNDING ELIGIBILITY

Financial support through ASSET can be applied for by **human service agencies** that are serving clients within the geographic area of Story County and who meet the basic eligibility criteria. **Approval of an applicant agency does not guarantee a subsequent dollar allocation.** The allocation recommendation will be made on a service-by-service basis during the annual allocation process.

To be considered for financial support, agencies must comply with the following requirements and provide supporting documents to demonstrate compliance:

- A. The agency must be a non-profit corporation or chartered as a local unit of a non-profit corporation that has an IRS section 501(c) (3) status or local, state, or federal government agency (i.e., formed by a 28E Agreement) that has a presence within and serves the people of the State of Iowa.
- B. The agency must have articles of incorporation, bylaws, or other documents, which clearly define its purposes and function.
- C. The agency must have an Equal Opportunity Policy that has been approved by its Board of Directors.
- D. The agency must have been incorporated and actively [providing services conducting business](#) for at least one year at the

time of the application.

- E. The agency must maintain in its budget and services a demarcation between any religious and other programs so that ASSET does not financially support religious purposes.
- F. The agency must demonstrate need and community support for the proposed service through letters of support, needs assessments, or other documentation.
- G. The agency shall be governed by a Board of Directors or Advisory Board who serve without compensation and who approve and oversee the implementation of the budget and policies of the agency.
- H. Agencies that offer the following services shall not be eligible for funding from ASSET Funders:
  1. Agencies that are primarily political in nature.
  2. Agencies that provide services limited to the members of a particular religious group.
  3. Agencies that exist solely for the presentation of cultural, artistic, or recreational programs.
  4. Basic educational program services to be considered the mandated responsibility of the public education system.

The ASSET Reference manual includes the list of Ss services currently considered for funding. Each service includes a Service Code Number, Service Code Name, Service Definition, Unit of Service and Category (Education, Financial Stability, and Health). Agencies applying to be included in the process must identify what services they would be requesting funds to support.

To apply as an ASSET Agency Participant, complete the **Application for ASSET Agency Participation** and send the request, including the documentation outlined in the application to: [storiycountyasset@gmail.com](mailto:storiycountyasset@gmail.com). The application form can be found under the "Forms and Resources" tab on the ASSET website [www.storiycountyasset.org](http://www.storiycountyasset.org) Please direct any questions to the ASSET Administrative Assistant.

**APPENDIX B – FORMS**

Organization: Story County Analysis of Social Services Evaluation Team (ASSET)  
Policy: Conflict of Interest Policy  
Date Adopted: 4/10/03  
Date Revised:

Story County ASSET and its voting members/staff persons, hereinafter referred to as “board” and “board members(s)”, agree to the following conflict of interest policy hereinafter referred to as “policy”, as adopted and revised as indicated above:

1. The policy will be adopted yearly at the first regularly scheduled board meeting following the start of the fiscal year. Each board member is to review and sign the policy at the first board meeting prior to voting on any matters before the board (if applicable).
2. A new voting board member/staff person will be required to review and sign the policy prior to voting as a board member (if applicable) at the beginning of their term and/or the first meeting of the fiscal year.
3. It is the duty of a voting board member/staff person to disclose a conflict of interest to the full board when a conflict arises. Disclosure may be made at any time to the ASSET Administrative Team; hereinafter referred to as “the Team”, who shall then notify the full Board. A record of the conflict of interest shall be made at the first regularly scheduled board meeting following disclosure.
4. A conflict of interest is defined in chapter 68B, Iowa Code. The Iowa Code defines conflict of interest as that which evidences an advantage or pecuniary benefit for the member and/or their immediate family not available to others similarly situated. A violation for a conflict of interest is punishable by both civil and criminal penalties in the State of Iowa.
5. A “potential” conflict of interest is defined herein. A potential conflict of interest is when a voting board member/staff person has reason to believe there may be a conflict of interest. This potential conflict shall be disclosed in the same manner as a conflict. If, in the opinion of the Team, the circumstances meet the definition of a conflict of interest the matter shall then be disclosed to the full board and a record shall be made at the next regular meeting.
6. A voting board member/staff person with a conflict of interest shall not vote or use their personal influence with any board member on the matter in conflict.

I agree by my signature below that I have read the above Story County ASSET Conflict of Interest Policy and understand it and will abide by the terms and conditions as stated herein.

Date: \_\_\_\_\_ Print Name: \_\_\_\_\_

Signature: \_\_\_\_\_

[Organization: Story County Analysis of Social Services Evaluation Team \(ASSET\)](#)

Organization: Story County Analysis of Social Services Evaluation Team (ASSET)  
Policy: Confidentiality Agreement  
Date Adopted: 8/4/2021  
Date Revised:

[Story County ASSET](#)

[Volunteer-Confidentiality Agreement](#)

[Individuals who serve with Story County ASSET in the following areas are required to sign the ~~Volunteers~~](#)

Confidentiality Agreement annually. Story County ASSET and its voting members/staff persons, hereinafter referred to as "board" and "board member(s)", agree to the following outlined below:

~~Volunteers-Individuals to~~ sign include:

1. Board Member
2. Funder Staff
3. ASSET Administrative Assistant

Any individuals ~~volunteer~~ who has signed the ~~Volunteer~~-Confidentiality Agreement and does not follow the terms of the Agreement may be removed from their ~~volunteer~~ position by the ASSET Administrative Team.

#### Agreement

I understand that through my ~~volunteer~~ involvement with Story County ASSET, I may receive or have access to confidential information. I agree that I will maintain in strict confidence any confidential information about which I become aware, whether written, oral, or visual. I also agree that I will not disclose, use, duplicate or otherwise divulge any confidential information directly or indirectly to any other person or entity except when appropriate in my ~~volunteer~~ work with Story County ASSET. I understand that any information shared during my involvement with Story County ASSET shall not be disclosed at any time beyond my involvement.

I agree that I will not knowingly alter, destroy or mutilate documents (online or hard-copy) with the intent to impede, obstruct or influence the accuracy and completeness of retained records.

Confidential Information includes, but is not limited to:

1. Information relevant to funders that is not open to the public;
2. Individual ASSET funded agency data (ClearImpact Scorecard);
3. Non-public information concerning Story County ASSET's affairs;
4. Information relating to ASSET Agency program participants, including names, contact information, and any personal information.

#### Non-Confidential Information

This agreement shall not apply to any information that:

1. Is determined to be public records under Chapter 22 of the Iowa Code, the Iowa Open Records Law;
2. Is received by the board member from a third party not privy to this Agreement as a matter of right and the third party is under no obligation to keep the information confidential;
3. Was independently developed by the ~~signee volunteer~~ without reference to or use of the Confidential

Information;  
4. Is disclosed by Story County ASSET in any publicly available regulatory filing; or  
5. Is otherwise approved for release by written authorization of the Story County ASSET Administrative Team.

Date: \_\_\_\_\_

Print Name: \_\_\_\_\_

