



United Way

Community Care Network Tool Kit

TABLE OF CONTENTS

1. REFERENCE INFORMATION.....2

VISION..... 2

MISSION.....2

FUNDING PHILOSOPHY..... 2

TARGETED IMPACT.....2

UNITED WAY COMMUNITY IMPACT AREAS.....3

2. COMMUNITY CARE NETWORK GUIDELINES 4

2.1 FUNDING PARAMETERS.....4

2.2 FUNDING CRITERIA 4

2.3 CITIZENS REVIEW PANEL PROCESS 5

2.4 COMMON TERMS AND DEFINITIONS 8

3. EVALUATION CRITERIA 9

4. COMPLETING THE APPLICATION 10

4.1 Agency Information Section..... 10

4.2 PROGRAM INFORMATION SECTION 11

4.3 PROGRAM OUTCOME REPORTING SECTION..... 11

4.4 FINANCIAL INFORMATION SECTION..... 12

5. POLICIES 13

5.1 SUPPLEMENTARY FUNDRAISING POLICY 13

5.2 AGENCY RESERVE FUND(S) POLICY..... 14

5.3 CONFLICT OF INTEREST POLICY FOR CITIZENS REVIEW PANEL VOLUNTEERS..... 15

5.4 DONOR CHOICE PROCESS..... 16

5.5 APPEALS PROCESS 16

6. FREQUENTLY ASKED QUESTIONS 17

1. REFERENCE INFORMATION

VISION

“Our vision is a community with a strong social services network where individuals can develop their potential for self sufficiency and personal wellbeing.”

MISSION STATEMENT

“To support and strengthen the organized capacity of our community to care for one another.”
To this end...

- we continually raise funds, striving for annual growth to meet vital community needs
- we allocate donor dollars in response to current and changing human care needs
- we strengthen the non-profit sector by providing organizational and other support services to community organizations

FUNDING PHILOSOPHY

The United Way will consider for funding programs and services that meet the intent of our Funding Philosophy.

Funds will be allocated to support local human care needs through programs and services in the City of Kingston and the counties of Frontenac, Lennox & Addington.

Recognizing the uniqueness of the communities in the area we serve, our United Way will strategically invest in services that:

1. Will enhance the capacity of people to both care for themselves and for one another;
2. Give people the opportunity to have input into decisions that affect them;
3. Are accountable, inclusive, responsive to needs of the communities, and eliminate barriers that prevent people from accessing services;
4. Are preventive, growth-oriented and directed to strengthening communities and individuals of all ages;
5. Will help individuals live with hope, dignity and a sense of belonging.

TARGETTED IMPACT

The United Way works closely with all sectors of the community to support programs, services and initiatives that meet immediate needs and focus on long term solutions to address local issues.

The United Way Community Fund/Community Care Network provides a network of care through its member agencies.

Our United Way has, over time, evolved from its fundraising and fund distribution role to a stronger community building role. We have been working with a number of partners on community initiatives in our identified priority areas. In this process, developing broad community-based outcomes and evidence-based reporting to measure the impact of funding becomes even more important.

The logic model used for outcome measurement was developed by the United Way of America and has been successfully implemented in many communities across the States and Canada. All member agencies were provided with training on outcomes measurement and public workshops were also offered to the community.

UNITED WAY COMMUNITY IMPACT AREAS

Growing Up Great	Target: <ul style="list-style-type: none"> ○ Early Years ○ Children & Families ○ Youth
Goal: to ensure children and youth are valued and supported members of the community with opportunities and resources to help them reach their fullest potential.	
Outcomes: <ul style="list-style-type: none"> – improved knowledge and understanding about the importance of early childhood development – increased cognitive, social and emotional maturity of young children so they can get along with others and are ready to learn – increased supports and opportunities for parents/caregivers to improve their skills and provide a safe and stimulating environment for children – improved healthy behaviours, attitudes, social skills, confidence, communication and decision making skills of children and youth – improved engagement in community, school and learning for children and youth at risk 	
Turning Lives Around	Target: <ul style="list-style-type: none"> ○ Vulnerable people ○ People with barriers, mental health, in need of support ○ Seniors ○ Victims of violence & abuse
Goal: to improve opportunities for people to access programs and supports that empower them to overcome barriers, build resilience, reduce isolation and be part of a caring, inclusive community.	
Outcomes <ul style="list-style-type: none"> – Increased autonomy and independent living skills – Improved access to information and effective supports (including families and caregivers) – Increased inclusion and participation in community and daily life – Increased safety for victims of violence and abuse – Improved supports and interventions for people experiencing crisis – Improved life skills, basic academic and language skills, financial literacy and employment skills 	
Belonging to Community	Target: <ul style="list-style-type: none"> ○ Poverty ○ Homelessness ○ Neighbourhoods
Goal: to help people engage in their community by strengthening neighbourhood revitalization efforts, reducing poverty, and improving access to affordable housing	
Outcomes: <ul style="list-style-type: none"> – increased capacity of residents to take action and respond to needs in vulnerable neighbourhoods – improved opportunities for civic engagement and participation in community – increased supports to alleviate the impact of poverty – Improved nutrition and food security – Improved access to emergency shelter and affordable housing – increased supports and resources to maintain or regain permanent housing 	

2. COMMUNITY CARE NETWORK GUIDELINES

2.1 FUNDING PARAMETERS

This process provides an opportunity for the annual disbursement of funds to member agencies for programs and services.

Administration by itself cannot be funded. However, pro-rated administration including salaries and operations, as they relate to program delivery, can be included in the program budget. United Way does not fund specific employees.

To ensure stability of programs and services, the United Way strongly encourages agencies to access a diversity of funding sources for specific programs and not rely solely on United Way support.

General Eligibility Requirements:

The United Way will not fund:

- direct funds to individuals
- capital construction campaigns
- fund raising efforts by our member agencies
- deficit funding
- program operation reserves
- dollar for dollar replacement of government funding

Eligibility:

To qualify for funding, an agency:

- must be incorporated and registered as a charitable organization under the Canada Income Tax Act
- must provide programs and services to local communities in the geographic area of Kingston, Frontenac, Lennox & Addington
- must provide programs and services of a health and social service nature, not duplicating existing programs and/or services
- must effectively use volunteers in service delivery, be volunteer led and have volunteer involvement
- must provide annual audited financial statements
- must commit to sign and adhere to a United Way agreement

2.2 FUNDING CRITERIA

The United Way will fund specific programs and services that meet the intent of our funding philosophy. The United Way is accountable to its donors and the community at large. Every agency applying for funding must demonstrate:

1. need in the community
2. efficiency in management
3. accountability
4. effectiveness
5. accessibility
6. need for United Way funding
7. support of United Way

2.3 CITIZENS REVIEW PANEL PROCESS

The strength of the United Way allocations process lies in its Citizen Review Panel process. This is a process where community volunteers review agency submissions and make funding recommendations to the United Way Board of Directors.

Panels are divided into impact area. Each panel will be made up of volunteers with staff support. Each site visit will have at least 2 panel volunteers, who will change partners for the next site visit. 2 site visits per volunteer are recommended. The 2 volunteers who made the on-site visit will report back to their panel. These recommendations (by panel) will then be forwarded to the All Panel Chairs group for final recommendations to be made to the United Way Board of Directors.

REVIEWS

Frequency: United Way funded agencies are reviewed annually, with site visits to each agency.

Paper Review: Agencies submit their written applications by mid-November. United Way staff will ensure that all documentation is complete, do a thorough initial review and follow up on any outstanding or incomplete information.

Panel members are recruited in the fall with an orientation session in December/January.

When reading through agency documentation, volunteers will ensure that the agency meets United Way guidelines. Agencies are reminded that all requests for funding are assessed individually on the basis of established United Way criteria.

First Panel Meeting: Prior to site visits, each panel meets and briefly reviews all agency applications. This allows for questions to be developed, historical issues or questions clarified before the visit. If, for any reason, it is not possible for everyone to attend, volunteers are advised to meet with United Way staff and the panel chair before meeting with the agency.

Site visits: Site visits are scheduled through the United Way office. Volunteers visit agencies in pairs accompanied by a United Way staff person.

During the site visit, United Way staff will complete introductions and outline the process and timelines. Agencies are encouraged to invite panel members to tour their facilities or have a client speak about the impact of the program; agency representatives will be asked to give a 5-10 minute presentation to provide an overview of their agency and programs. Following this, panel members will ask their questions.

Site visits usually last between 45 minutes and 1.5 hours.

Volunteers reviewing the agency will submit their recommendations in writing, using the sheet provided in the package and signed by both volunteers before the final panel meeting.

Second Panel meeting: The second Panel meeting is held late February or late March after all site visits are complete. Volunteers are required to submit their written recommendations prior to this meeting to United Way staff and Panel Chairs. Panel members will make a joint brief presentation on agencies reviewed and other panel volunteers can ask questions. Panels will reach consensus on the recommendations for each panel, which will be forwarded to the "All Panel Chairs meeting".

All Panel Chairs' Meeting: This meeting will be facilitated by a United Way board member who is Chair of Fund Distribution. Each panel chair will present the recommendations of their panel. Staff will be present to address any concerns/questions/issues about policy or process. Recommendations from this meeting will go to the Board of Directors for approval at the special Board meeting in March.

RECRUITMENT: Guidelines when recruiting volunteers for reviews

It is not expected that each panel volunteer will bring *all* required skills and experience. The following guidelines will be applied when recruiting volunteers to these panels.

Volunteers:

- need to broadly represent the community
- must declare conflict of interest when recruited
- can, in some instances, be agency clients, but must not review their own agency or be on the panel that reviews the agency they are associated with
- should be representative of target funding areas, i.e. seniors, youth, health, social service, etc.

Panels will provide a mix of skills and experience and should include:

- Financial expertise and accounting background on each panel as a resource
- Donor Representation from: workplace employees & individuals; corporations; the Labour movement; professionals; public and private sector.

TRAINING & PROCESS

Recommendations for training of Panel member volunteers

All panel members must commit to attending the orientation sessions.

After the initial orientation, panels will meet once before site visits to provide an overview, history and a discussion about the targeted impact area and its goals.

ROLES

Role of Panel Volunteers

All panel members must be willing to make the time commitment to provide a thorough review. Panel members must attend training, review all the material, attend meetings, assess the agency, make a recommendation to the panel and be willing to substantiate these recommendations to the Board of Directors.

Role of United Way Board

The Board is represented by the Vice-Chair Capacity Building who chairs the process. The chair will attend the final All Panel Chairs meeting. Their role is to clarify any Board priorities and policies.

Role of United Way Staff

United Way staff will be utilized as a professional resource for panel members and the agencies to ensure an effective process.

The staff role is to provide assistance to the Fund Distribution Chair and Panel Chairs. Staff will organize and liaise with agencies and panel members for additional information and to schedule meetings.

Staff will analyze submissions and provide background and summary material for each review, as required. They will be present at all reviews and discussions in their capacity as a resource regarding United Way policies/guidelines for agencies and panel members. They will not make recommendations; only panel volunteers will do so.

CRITICAL PATH – CITIZENS REVIEW PROCESS

September	Task ❖ Meetings with agencies in groups, by impact area
Oct-Dec	❖ Application forms to agencies (early October) ❖ Recruitment of panel chairs ❖ Recruitment of volunteers ❖ Completed applications to UW (3 rd week of November)
January	❖ Orientation session for volunteers ❖ Staff to ensure completeness and accuracy of submissions & follow up where needed before panels meet
February	❖ First Panel meetings ❖ Paper reviews ❖ Site visits ❖ Written recommendations to Panel Chairs/UW ❖ Second Panel meeting
March	❖ All Panel Chairs meeting ❖ Report and recommendations to Board ❖ UW Board meeting for final approval
April	❖ Letters to agencies

2.4 COMMON TERMS AND DEFINITIONS

For the purpose of the review process, the following definitions apply:

Activities	Specific ways/actions you will use inputs to fulfill your goals.
Agency Member	A member of your organization as outlined in your agency's by-laws.
Complaints Procedures	Policy/Procedure on how your agency handles complaints.
Conflict of Interest Policy	Policy on how your agency handles conflict of interest.
Designation	Funds directed to the agency annually through donor choice and paid over and above the agency allocation amount.
Evaluation Tools	Means by which you collect information to measure your success.
Goals	A general statement(s) of what you are aiming to achieve.
Indicators of Success	Concrete things you can see or hear which provide evidence that you are achieving your outcomes - usually attached to an evaluation tool.
Inputs	Resources dedicated to the program.
Member Agency	An agency that has signed the agency agreement and receives funding as part of the community Care Network.
Mission	Your organizations unique role in working towards the desired social condition.
Outcomes	Statements that describe the difference your activities will make in the short term, intermediate and long term.
Outputs	The direct product(s) of program activities, usually measured in terms of the volume of work accomplished.
Rationale	An explanation of why you believe this will work.
Statement of Need	Statement of the issue being addressed and description of the situation you wish to change.
Strategy	The approach(es) you will use to address this need.
Vision	Desired social condition.

3. EVALUATION CRITERIA

All United Way member agencies are evaluated based on seven criteria. These are, in no specific order:

1. Accountability:
 - ◇ Audited financial statements from an independent auditor
 - ◇ Full disclosure in annual statements and report
 - ◇ Board process to approve and monitor budget and statements
 - ◇ Board of directors with nominations, audit, finance/resource committees or processes
2. Efficiency in Management:
 - ◇ Short and/or long term plans approved or developed by board
 - ◇ Realistic budget with diversity of funding sources, sustainability and risk evaluation
 - ◇ Appropriate governance structure
 - ◇ Efficient operational structure, maximizing the utilization of staff/volunteer resources, cost ratio of administration vs. program delivery
3. Need for United Way funding
 - ◇ Level of reserves
 - ◇ Percentage of budget made up by United Way requested funds
4. Identified Need
 - ◇ Process to identify need
 - ◇ Statistical tracking of clients and verification of need
5. Effectiveness
 - ◇ Partnerships
 - ◇ Outcomes and impact of programs and services
 - ◇ Ability to serve clients
 - ◇ Help clients to develop, overcome challenges rather than develop dependency
6. Accessibility
 - ◇ Physical location
 - ◇ Geographic access to clients of KFL&A (may vary with agency mission and mandate)
 - ◇ Cost of services to client, subsidies if available
 - ◇ Any identified barriers
7. Support of United Way
 - ◇ adherence to supplementary fundraising policy
 - ◇ display of United Way logo
 - ◇ adherence to membership agreement
 - ◇ participation in UW events, speakers bureau

4. COMPLETING THE APPLICATION

4.1 AGENCY INFORMATION SECTION

This section of the application form provides an overview of the agency and some of its policies and processes. All agencies are expected to be accountable, efficient, with a demonstrated need for United Way funding, providing accessible and effective services to their clients and the community. While the United Way funds programs and services, its membership agreement is with the agency.

REQUIRED INFORMATION:

All agencies are asked to submit their most recent financial statements, annual reports, bylaws and constitution, copies of their complaints procedures and privacy policy. The United Way keeps these documents in a permanent file.

INFORMATION SUMMARY:

The agency information summary provides information required for administrative purposes.

1. WHAT YOUR AGENCY DOES

This provides an overview of the agency and provides the opportunity to understand the mission statement.

2. PLANNING

Formal business plans indicate an efficient organization, so long as these plans are towards meeting the goals and mission statement of the agency.

QUESTIONS 3 – 7

These questions are based on best practices for not for profit organizations. A higher number of “yes” answers indicate an efficient organization. However, there may be valid reasons for an agency to have answered “no” to some of these questions.

8. FUNDRAISING PROJECTS AND ACTIVITIES

The United Way encourages diversity of funding sources to strengthen sustainability of its funded programs and services. To this end, the United Way will not be the sole funder of any program and encourages agencies to have a fundraising plan in place.

9. SUPPORT OF UNITED WAY

As a member agency organizations are required to enter into an agreement that reflects this partnership and demonstrates their support of United Way. The United Way logo stands for trust and accountability that donor dollars have been invested wisely to strengthen our community. Promoting and acknowledging United Way’s support wherever possible, is very important. Agencies are expected to prominently displaying a United Way member agency sign, use the United Way logo on promotional and print materials, conduct an internal United Way workplace campaign, participate in the annual speakers bureau, and adhere to United Way’s supplementary fundraising policy.

4.2 PROGRAM INFORMATION SECTION

This section of the application form provides an overview of the programs for which funding is being requested. If the agency is requesting funding for more than one program, this section needs to be filled out for each program.

QUESTIONS 1-2: These questions provide for a brief description of the program and how it fits with the agency's mission statement.

3. NEED FOR PROGRAM: All United Way funded programs and services must fulfil an identified need in the community.

4. PARTNERSHIPS: Not all funded programs require partnerships. However, partnerships indicate sustainability, which is an indicator of good planning and accountability.

5. INPUTS/RESOURCES: This highlights the necessary resources (i.e.) staff/volunteers required by the agency to deliver the program.

NEED FOR UNITED WAY FUNDING: This is an important criteria for United Way funding.

REQUEST FOR INCREASED FUNDING: Increased funding for any agency is based on demonstrated need for enhanced funding. This question provides an opportunity for the agency to demonstrate that the increased funding requested will result in an increase in clients served or services provided. Cost of living increases are not provided by the United Way but, based on guidelines from the Board of Directors, is evaluated on a case by case basis.

PROGRAM STATISTICAL INFORMATION: This provides a summary of clients and provides United Way with information about the scope and breadth of clients, their geographic location (if applicable) and the age groups served.

4.3 PROGRAM OUTCOME REPORTING SECTION

PROGRAM ACTIVITIES, OUTPUTS AND OUTCOMES:

In response to a growing request by funders for "outcomes", the United Way has implemented a simple logic model for Outcome Measurement.

Question 1: identifies the main activities of the program, and the indicators, data sources and evaluation methods used to demonstrate program outcomes and direct benefits achieved by participants.

Question 2-3: these demonstrate the overall impact the program has had on those served and provides an opportunity to highlight personal success stories of individuals.

Question 4: indicates any changes planned for the upcoming year to measure the outcomes of a program currently funded by United Way.

Question 5 - If this is the first year that funding is being requested for a program, the question will identify what outcomes are expected to be achieved and reported on next year.

4.4 FINANCIAL INFORMATION SECTION

Schedule 1:

This schedule provides the agency operational budget with comparative numbers over 3 years: past, current and proposed. The past year numbers should match the agency's audited financial statements. Often the proposed budget numbers are estimates and may not have been approved by the agency Board of Directors at the time of submission. However, the Board approved budget can be submitted before the site visit.

Schedule 1A:

Reasons for any variances are provided in this schedule, which identifies and provides explanation on significant variances (greater than 15%) in the agency's projected and actual income and/or expenditures between any 2 fiscal periods.

Schedules 2A, B and C:

These schedules provide a detailed breakdown of revenues and expenditures by program, including programs that may not be funded by United Way. These cover the previous year, current year and proposed year.

Schedule 3, 3A, B:

These schedules provide information about the agency's reserves, if any. They identify the types of reserves the agency may have, as well as information regarding the current year surplus or deficit position of the organization. The United Way has a policy on agency reserves. While the United Way encourages strong fiscal planning and risk management, it wants to ensure that United Way funds do not go towards building an agency's capital or operational reserve.

5. POLICIES

5.1 SUPPLEMENTARY FUNDRAISING POLICY

Principles

In order for the United Way to be an effective fundraiser and to protect the annual fall Campaign, the United Way's largest source of funds, member agencies agree to cooperate and support the campaign by agreeing to the obligations outlined in the Member Agency Agreement.

The supplementary fundraising policy is designed to protect the annual campaign, recognizing that member agencies conduct some fundraising activities through the course of the year.

Ethics

All fundraising activities conducted by a member agency must comply with the Income Tax Act, CRA guidelines, provincial reporting requirements and any other relevant legislation.

Policy Statement

Member agencies shall refrain from active fundraising during the exclusive campaign period. Member agencies shall not conduct or promote supplementary fundraising during this exclusive period.

Exclusive period shall mean the time of September 1 through December 1 of each year, during which time the United Way conducts its public campaign.

Solicitation within any workplace is also prohibited at any time. Employee or employee group fundraising campaigns are not permitted.

Agencies will advise the United Way of any capital or other major fundraising campaigns they will be running during the year.

Supplementary fundraising is defined as:

- special events such as, but not limited to, dinners, dinner dances, gala balls, benefits, concerts, fashion shows
- gaming activities such as, but not limited to, casinos, raffles, membership campaigns
- campaigns for capital projects
- solicitations of monetary donations or gifts-in-kind
- solicitations from registered members and past donors giving directly to the agency during the exclusive period
- solicitations of workplaces and their employees

The following are not considered supplementary fundraising:

- government grants or contracts
- unsolicited gifts from organizations, corporations or individuals
- gifts/grants from foundations or trusts
- gifts by will, in memoriam, endowment and other deferred gifts
- interest, rentals and fees for service
- bingo, nevada, break open tickets

Consequences of violation of supplementary fundraising policy

There will be no exceptions to the supplementary fundraising policy. If an agency is in doubt regarding this policy, they are advised to call the United Way office.

If found to be in violation of the Supplementary Fundraising Policy, an agency will be considered to be in violation of the Member Agency Agreement. The process outlined in the Agency Agreement will be followed.

5.2 AGENCY RESERVE FUND(S) POLICY

PRINCIPLES

The United Way funds immediate community needs annually and invests its allocations in programs and services that are responsive to urgent critical care.

The United Way recognizes each agency's option to create any one or all of the following reserve funds or accounts.

DEFINITIONS OF AGENCY RESERVE FUNDS OR ACCOUNTS:

1. Endowment Fund

This fund (or account) consists of property (often in the form of cash or investments acquired by gift or bequest), the income from which is used for general or specific purposes, according to the conditions attached to the gifts, and the principal of which must be maintained intact or applied to the purposes of the gift.

2. Restricted Reserve

These are funds that are restricted (in terms of use) by outside organizations or persons, as contrasted with funds over which the agency has complete control and discretion.

3. Designated Reserve

These are funds set aside by an agency's Board of Directors for specifically designated and clearly spelled out purposes. These would include funds set aside for Capital Reserves.

4. Undesignated (Unrestricted or General) Reserve

These are funds that have no external restriction on their use or purpose – that is, funds that can be used for any purpose designated by the governing board, as distinguished from funds restricted externally for specific purposes (e.g., for operations, facilities, endowment). Such a reserve account offers agencies considerable flexibility in terms of use and access.

It is important to note that while such an account is recognized by the United Way, revenues to such an account that are the result of program surpluses will be scrutinized by the United Way in terms of United Way guidelines.

GUIDELINES FOR AGENCY RESERVE ACCOUNTS

It is the United Way's belief that every organization should be in a position to meet any outstanding obligations to staff and clients. Therefore, the following guidelines are intended to assist agencies in the development and/or monitoring of their reserve accounts (as defined above).

- That each organization be able to maintain an unrestricted reserve to deal with a potential funding crisis.
- That each organization be able to maintain a minimal level of operation to provide an opportunity for bridge funding or achieving alternate sources of funding and/or that the organization have an opportunity to transfer all clients cases and make appropriate referrals of clients.
- That an organization not be penalized for efficient financial management allowing them to create a reserve fund.
- That an organization not have large unrestricted reserve funds.
- Funds such as capital funds or bequests that are designated for specific uses should be distinct from unrestricted reserve funds.

POLICY STATEMENT

Based on these principles and guidelines:

United Way shall not contribute to the development of a surplus or reserve fund when there are so many unmet needs in the community for which funds are not available.

United Way cannot provide funds to an organization whose unrestricted reserves exceed 10% of their operating budget or three months of their staff commitments, whichever is higher. In cases where the organization exceeds these limits, the United Way will consider whether:

- The organization can demonstrate an intended use that will bring the fund below the designated limit in the fiscal year being funded.
- The organization can demonstrate an exceptional circumstance that necessitates the maintenance of a reserve fund in excess of the 10% limit.

CONSEQUENCES OF VIOLATION OF AGENCY RESERVE POLICY

In the event that an organization cannot justify satisfactorily to the United Way the reason for reserve funds in excess of the suggested amounts, the United Way reserves the right to withhold any further funding to the agency.

5.3 CONFLICT OF INTEREST POLICY FOR CITIZENS REVIEW PANEL VOLUNTEERS

PRINCIPLES

Comprehensive conflict of interest guidelines are essential to avoid the perception of any bias or conflict of interest in the annual citizens review process of member agencies.

CONFLICT OF INTEREST GUIDELINES

The following conflict of interest guidelines are directed towards staff members and decision-making volunteers of United Way funded agencies.

- A conflict of interest declaration should be on the agenda at the beginning of each panel meeting
- A staff member of a United Way funded agency may not be a member of any review panel
- A decision-making volunteer of a funded agency may not be a member of any review panel
- While serving on any committees of United Way funded agencies, agency volunteers may not participate in the panel reviewing that particular area of service
- Volunteers on panels will have access to information circulated about agencies and they must maintain such information in complete confidence.

POLICY STATEMENT

Based on these principles and guidelines, it is the duty of each person who is in actual or perceived conflict of interest to openly declare such conflict.

Further, it is the duty of those involved in the United Way to disclose any actual or perceived conflict of interest of others in the group who might otherwise impair the integrity of the review process.

CONSEQUENCES OF VIOLATION OF CONFLICT OF INTEREST POLICY

If an actual or perceived conflict is declared, the Citizens Review Panel Chair will decide what action is appropriate.

5.4 DONOR CHOICE PROCESS

For the Annual Fundraising Campaign, the following options for donation shall be offered:

1. The United Way Community Fund/Community Care Network (*non-designated funds*).
2. Designation to a Priority Area (as defined by the United Way).
3. Designation to any Canadian registered charity
4. The exclusion of a specified agency.

Distribution shall be made as follows:

1. Donations to the United Way Fund shall be distributed through the allocation process.
2. Donations restricted by an exclusion shall be distributed separately along with other designations.
3. A surcharge of 10% shall be levied on designations to non-member agencies.
4. Designations to a member agency or to a specific area of service shall be forwarded over and above its annual allocation; such designated funds shall not be part of the allocation process.
5. Designated funds shall be distributed after the fiscal year that pledges are received

5.5 APPEALS PROCESS

APPEALS PROCEDURE

The guidelines for an appeals process include the process being fair, open, non-confrontational, based on facts, expeditious and must be a “friendly” experience.

GROUNDINGS FOR APPEAL:

- an agency can appeal a funding decision only if they have additional information or clarification that could impact on the decision.

PROCESS AND COMPOSITION OF APPEAL BOARD:

- The letter that goes out to agencies with their allocations amount must specify reasons why an agency’s funding has been cut/reduced
- An agency must file an “intent to appeal” within 15 days of this letter going out
- A written appeal must be received by the United Way within 30 days of the letter
- Resolution will be reached within 30 days of receipt of the appeal
- The appeal must be addressed to the Chair Fund Distribution/United Way Board
- The Board will assign an Appeals Chairperson who will recruit members
- Members of the Appeals committee will be recruited from panel members to ensure the same basic training and information is being used as a starting platform
- Each appeal panel will be made up of the Chair and 2 members
- The Appeals committee will have a discussion with the panel members who initially reviewed the agency
- The agency will be given the opportunity to meet face to face with the Appeals committee
- The Appeals Chair will then bring the recommendation back to the United Way Board
- The decision of the Board will be final
- The Board will communicate to the agency, in writing, its decision

Note: While we encourage funding requests for new programs, funding decisions for any programs not funded in the past by United Way may not be appealed. Only programs receiving less funding than their previous year’s allocation will be considered for appeal. An appeal will be considered only if **new information** is provided

6. FREQUENTLY ASKED QUESTIONS

ABOUT THE REVIEW PROCESS:

1. Who are the volunteers that review the applications?

Interested individuals with varied levels of expertise are recruited to participate in the annual Citizens Review Process. These volunteers will act on behalf of the community to recommend funding levels for local human care programs & services delivered through United Way member agencies.

2. What is the timeline for the application and review process?

Agencies receive their application package by early October. The Submission deadline will be set for the third week of November, allowing approximately 6 weeks for completion. There will be no opportunity for extension beyond the deadline. United Way staff are available to help if you have any questions or need assistance. Agency site visits will be scheduled through February and early March. Recommendations go to United Way Board of Directors in March and allocation period begins April 1.

3. Do we need to have an agency visit each year?

Yes, every year volunteers will visit agencies as part of their review process. This is an opportunity for the volunteers to learn about the agency and see firsthand the impact of its programs.

WHEN FILLING OUT THE FINANCIAL SCHEDULES:

1. What do I do if the agency's fiscal year-end is not March 31st?

Please report your agency's financial information according to your agency's (audited) fiscal year-end.

2. Do I have to report on financials using the schedules and categories provided?

The categories provided are a general guideline that includes frequently used revenue and expenditure items. These should match categories in your audited statements. Simply add rows to the excel spreadsheet and input the data.

3. When do I need to report Major Income and Major Expenditure Variances?

You must identify significant variances that are greater than 15% in your projected and actual income or expenditures between any 2 fiscal periods and provide an explanation regarding each variance.

4. What if the agency does not have an approved budget for the next year?

If the budget is not approved, please give us your projected budget noting that it has not been approved. We would advise that you have a formally approved budget prior to the agency visit and that it be submitted to United Way in advance of the visit, giving the volunteers an opportunity to review it.

5. Why do I report on all of the agency programs and not just for United Way funded programs?

By providing information about all agency programs, the Citizen Review Panel volunteers will be better able to understand the operations of the agency as a whole and how the United Way funded program(s) fit into the big picture. Financial information for each program needs to match your financial statements.

6. Why is it important to total the columns as well as the item lines?

All financial information will be checked for accurateness. The schedules have been produced in excel with formulas that should assist you in identifying any incorrect entries prior to submitting your application.

7. Can the responsibility of filling out the schedules be shared with other staff members (ie.) finance person or book-keeper to complete the schedules and program staff for the program information section of the application?

Yes, by all means. We recognize that many agencies have staff who are responsible for these and other areas within the agency. If you do have other staff members participate in the completion of the application, it may be appropriate to include them in the agency site visit, as well.

WHEN FILLING OUT THE AGENCY & PROGRAM INFORMATION QUESTIONNAIRES:

1. If the application is submitted on disc, do we still have to provide hard copies?

Yes, we require a hard copy of the application with signatures from the Executive Director / Senior Administrator and Board Chair.

2. Why does United Way need 5 copies of the application?

We require a permanent file copy, a working copy and 3 copies for panel volunteers.

3. How can these forms be filled out quickly?

If you are applying for funding for the same program(s) again this year, you may be able to cut and paste a great deal of information from last year's application. Please note that there may have been some changes to this year's application.

4. How does an agency receive the funding they have requested?

The agency must satisfactorily meet United Way funding guidelines, principles and criteria upon its annual review by Citizens Review Panel Volunteers. Subject to a successful campaign and the availability of funds, the community volunteers will make recommendations based on the review.

If amount requested is more than last year's approved allocation, the agency must identify the outcomes that will be achieved by this increased funding in relation to the goals of the program. The United Way Board encourages agencies to discuss any new needs they may identify in advance of the application deadline in November.

5. Why are accurate program statistics so important?

Donors frequently ask how their dollars are spent. Information is reported in many different ways including the annual campaign brochure, agency guide and through the media. In addition, this information provides a clearer picture of the demographics served by programs and services supported.

6. Is there a formula to determine F.T.E. staff?

Use the regular number of hrs/wk (typically 35 – 40) worked by full-time staff for your agency and multiply by 52 wks to determine the base number of hours per year for 1 F.T.E. staff.

(ie) 1 F.T.E. = 37.5 hrs x 52 wks = 1,950 base hours/year

7. Can I apply for funding for a staff position?

The United Way is not responsible for any specific employee or staff position. Salaries and benefits can be included as part of the overall program budget. However, the United Way does not fund any one individual position.

8. Does the agency need to demonstrate other sources of funding?

It is important, for any program's sustainability and to demonstrate support of the program, to have diversity of funding sources. The United Way will not fund any program as the sole funder. Agencies are encouraged to seek grants or to use some of the funds they raise to support programs and services for which they are seeking United Way funding.