



**United Way**  
**Chatham-Kent**

**CITIZEN REVIEW MANUAL**  
for  
**2012-2013 FUNDING**  
**REQUESTS**

(revised 2011 OCT 31)

# UNITED WAY CHATHAM-KENT

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# UNITED WAY CHATHAM-KENT

## THANK YOU

Thank you for your commitment to participate in the Citizen Review Process. It is an important underlying principle of United Way Chatham-Kent that the disbursement and use of charitable funds be sanctioned and monitored by community volunteers who sit on Citizen Review Panels. Your involvement, as a fundamental component of United Way's mission of serving the human care needs of Chatham-Kent residents in a responsible way, is appreciated and it is hoped you will find the process rewarding.

This manual provides a brief overview of:

- United Way Chatham-Kent's history and operations
- The Citizen Review Process
- Funding Guidelines
- Agency Evaluation Criteria

We highly recommend that, as volunteers, you attend the Citizen Review Panel member training session, in order to be better prepared for panel meetings with your designated agencies. This manual is deliberately concise and should be reviewed in preparation for the training sessions, at which time and required elaboration on its contents can be obtained. Please contact the United Way office if you have any questions.

**Mission Statement:**

“To improve lives and build community in Chatham-Kent”

**Vision Statement:**

Well-Being for Everyone in Chatham-Kent

We Value:

- Transparency
- Accountability
- Innovation
- Collaboration
- Respect
- Integrity
- Inclusiveness
- Responsibility
- Leadership
- Results
- Learning

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**CONTACTS:**

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## UNITED WAY CHATHAM-KENT

### HISTORY:

The local United Way was formed in 1948 under the original name of **Chatham Community Chest**. It later became known as the **United Community Fund of Chatham and District**.

On April 24, 1980, the name of the organization was changed to **United Way of Chatham-Kent**. At the Annual General Meeting in 1994, the name was changed to **United Way of Kent County**. At the Annual General Meeting in 1998, the name again changed. Because of the establishment of the new Municipality of Chatham-Kent, it was decided to revert back to **United Way of Chatham-Kent**.

The first campaign, conducted in the fall of 1948, raised dollars for the following six member agencies:

AGENCIES	DATE JOINED	DATE WITHDREW
Canadian Red Cross Society	February 1948	
Chatham-Kent Family YMCA (Formerly Chatham Community Young Men's Christian Association)	February 1948	
Canadian National Institute for the Blind	June 1948	
The Salvation Army	June 1948	November, 2009
Girl Guides of Canada – Chatham Area	June 1948	2004
Boy Scouts of Canada - Chatham	August 1948	1996

Over the years that followed, other agencies joined United Way:

AGENCIES	DATE JOINED	DATE WITHDREW
Victorian Order of Nurses (and then Geranium House)	December 1948 April 1999	
Public General Hospital (Ladies Assisting Society)	December 1948	1974
Children's Aid Society	August 1949	1964
St. Joseph's Hospital (Ladies Auxiliary)	August 1949	1977
Chatham-Kent Children's Treatment Centre (formerly known as the Kent County Children's Treatment Centre and then Prism Centre)	July 1951	Became a "Friend" in 1992 (see Appendix A)
Canadian Arthritis Society	June 1956	1983
St. John Ambulance - Chatham	June 1960	2009 (closed)
John Howard Society	June 1961	Closed 1973
Multiple Sclerosis Society	June 1962	1975
Ontario March of Dimes	June 1966	April 2000

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<b>AGENCIES</b>	<b>DATE JOINED</b>	<b>DATE WITHDREW</b>
Sundale Manor	June 1967	Closed 1976
Family Service Kent (formerly Chatham-Kent Community and Family Services)	September 1970	
Canadian Mental Health Association – Kent Branch	January 1971	
Chatham-Kent Big Brothers Association	Feb. 1973	Closed September 2006 and merged with Big Sisters
Meals on Wheels Inc. - Chatham	December 1975	1993
Teleshare Distress Centre Inc.	June 1978	Closed January 1, 1994
Canadian Hearing Society	June 1978	
Learning Disabilities Association of Chatham-Kent	June 1978	
Chatham-Kent Women's Centre	November 1979	April 2004
St. John Ambulance - Tilbury	September 1981	1998
Tilbury Information and Help Centre	September 1982	Merged with United Way of Chatham-Kent in 2006
Meals on Wheels Inc. - Wallaceburg	September 1983	1993
Canadian Red Cross Society – Wallaceburg (combined with Chatham Branch in 1994)	September 1983	1994
Chatham-Kent Big Sisters Association, now Big Brothers Big Sisters of Chatham-Kent (as of 2007)	September 1984	
Operation Our Kids	September 1984	Closed December 1995
Chatham-Kent Integrated Children's Service (formerly Lester B. Pearson Centre for Children & Youth)	September 1984	
Canadian Red Cross Society – Ridgetown (combined with Chatham Branch in 1993)	September 1984	1993
St. John Ambulance – Branch 120 - Wallaceburg	September 1984	Closed November 2006
Boy Scouts of Canada - Wallaceburg	September 1985	1996
Chatham-Kent Transition House	January 1992	Closed March 4, 2006
St. John Ambulance - Blenheim	January 1994	Merged with St. John, Chatham
St. John Ambulance – Branch 620 - Dresden	January 1995	Merged with St. John, Chatham

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AIDS Support Chatham-Kent	March 1, 1999	
COR:12 – Wallaceburg Youth Outreach Centre	March 1, 1999	November 2003
Brain Injury Association of Chatham-Kent	March 1, 2000	
Buxton National Historic Site Museum	April 1, 2001	April 1, 2003
Chatham-Kent Block Parent Program Inc.	April 1, 2001	
Chatham-Kent Student Nutrition Program	April 1, 2001	
Sidestreeets Optimist Youth Centre	April 1, 2001	
Solid Rock Café Youth Centre	April 1, 2002	
Restorative Justice Chatham-Kent	April 1, 2008	
Epilepsy Support Centre	April 1, 2009	

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### **PURPOSE AND OPERATIONS:**

There are 17 members on the United Way Board of Directors. The current staff structure includes nine full-time, and one part-time permanent operations staff. United Way of Chatham-Kent is a voluntary organization. It is responsible for identification and assessment of local community needs – and undertakes this function in concert with other social and philanthropic organizations. It then, through the annual campaign, deploys financial resources to meet these needs and provides, itself, a number of community service programs. The following activities are undertaken by the local United Way organization.

### **ADMINISTRATION AND FINANCE:**

This function includes the recruitment and supervision of staff. Staff, under the direction of the Executive Director who reports to the Board of Directors, carries out policy as developed by the Board.

Financial includes payables, receivables, tracking and receipting of pledges, investments and preparation of financial reports.

### **FUND-RAISING/RESOURCE DEVELOPMENT:**

United Way conducts a high-profile campaign with the help of hundreds of community volunteers and support provided by United Way staff. Funds are solicited, year-round, through corporations, large employee campaigns, individual gifts and special events. As United Way expands its role in community capacity building, staff and volunteers are involved in identifying and mobilizing other community resources – human and material.

### **COMMUNITY INVESTMENT:**

The Community Investment Committee is composed of volunteers who are supported by United Way staff. Through a Citizen Review Process, volunteers review funding applications from the Funded Agencies and appropriate granting levels are recommended to the United Way Board for approval.

### **LABOUR PARTICIPATION:**

Information, referral services and counseling of labour members about how to access needed services are provided. Recruitment and teaching labour members and others to become community volunteers also fall within this activity. The Co-Ordinator of Labour Programs and Services, who also serves as Manager of the Wallaceburg Information and H.E.L.P. Centre, is responsible for administering the Union Counseling/Referral Agent Program of United Way Canada/Centraide Canada.

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### **DIRECT SERVICES:**

The United Way Board of Directors has determined that in order to fulfill its mission, it must provide direct services to the most vulnerable in our society, particularly where existing social service agencies do not provide relevant services. To date, United Way has developed a number of “helping hand” programs to address specific community needs.

Current direct service programs of the Good Neighbours Office include Operation Cover-Up and Back Packs for Kids.

Information Chatham-Kent is an information and referral service, which provides mediated information to a caller or visitor in response to a direct request. Information can range from a limited response (such as an organization’s name, telephone number and address) to detailed data about community service systems (such as explaining how and intake system works for a particular agency), agency policies and procedures for application.

Volunteer Chatham-Kent is dedicated to advocating for and supporting the needs of volunteers, as well as the organizations that require volunteer help. Volunteer Chatham-Kent fills a key role in providing community leadership and services.

The Tilbury Information and H.E.L.P. Centre provides food bank services, a CAP (computer access program) site, advocacy, budgeting assistance, mediated information and referral, community building and partnership development.

The Wallaceburg Information and H.E.L.P. Centre provides similar services as above, but without the food bank.

### **FUNDED AGENCIES AND THEIR FUNCTIONS:**

Funded Agencies are local organizations (or local branches of affiliates of organizations) whose policies and operations are determined by a volunteer Board of Directors. They deliver services that build a stronger, safer, more caring community and enhance the quality of life for citizens in Chatham-Kent.

The following eligibility criteria shall apply to funded agencies:

1. The agency shall support the United Way Mission: “To improve lives and build community within Chatham-Kent”.
2. The agency shall be a Registered Canadian Charitable Organization.
3. The agency shall provide services that build a stronger, safer, more caring community – socially or economically.

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4. The agency shall not exclude anyone from participation in agency affairs by virtue of colour, race, religion or ethnic background.
5. The agency shall act within the letter and spirit of United Way.
6. The agency shall maintain a responsible and representative governing body of volunteers.
7. The agency shall build and maintain a volunteer base.
8. The agency shall demonstrate a community need for the funded program or service.
9. The agency shall conduct short and long term planning and evaluation of operations and funding.
10. The agency shall demonstrate effective use of human and financial resources.
11. The agency shall demonstrate effective use of community volunteers.
12. The agency shall identify and secure other potential funding sources.
13. The agency shall demonstrate sound financial, management and accounting practices.
14. The agency shall demonstrate a need for United Way dollars and ensure that dollars will be used to support the programs and services as outlined in the Budget Submission Forms.

### **FUNDING OF AGENCIES:**

Prior to 1998, funded agencies received allocations based on the calendar year (January 1 to December 31). Beginning in 1998, with input from funded agencies, it was agreed that the funding year should be changed from January 1 to December 31 to April 1 to March 31, to more appropriately coincide with Ministry funding and agencies' fiscal periods. The amount of funds available for allocation depends on the success of the United Way fund-raising campaign conducted throughout the previous calendar year, as well as other factors.

#### **a) Budget Submissions by Agencies:**

Budget Submission Forms have been revised on various occasions throughout the past decade, in consultation with the funded agencies. Although hard copies of the Budget Submission Forms have traditionally been distributed to Funded Agencies at the August Agency Relations meeting,

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effective 2010 these are available completely online. Hard copies will be available upon request only.

### **b) Application Review:**

Applications submitted to United Way for funding are subject to review by panels of interested citizens. Such persons are recruited because of their interest in the voluntary sector, and United Way and its funded agencies, in particular. These individuals are asked to serve for three years, ideally with at least one member of the panel returning each year so that some continuity of the review process of each agency is maintained.

Panel members will be asked to review several agencies.

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### **THE CITIZEN REVIEW PROCESS:**

#### **PURPOSE:**

1. To maintain co-operative working relationships with funded agencies.
2. To receive information on agency services and programs and financial management in order to account to the public for expenditure of United Way donations.
3. To make recommendations to the United Way Board of Directors on:
  - The amount of dollars to be allocated to the agency for the particular period under review
  - The identification of items that may require further study, either by the agency or United Way.

#### **PANEL RECRUITMENT:**

It is desirable that one third of the Community Investment volunteers have a minimum of two year's experience on the committee, one third have one year's experience, and the remaining members are new to the process. It is also preferable to have at least one member of each panel well versed in accounting practices and/or familiar with the financial and governance features of a charitable, not-for-profit organization. Every attempt will be made to recruit volunteers who have a genuine interest in ensuring that donor dollars are well invested in funded agencies that provide treatment services or are attempting to address root causes of society's most pressing needs. Attention will be given to recruitment of individuals who represent the various geographic, vocational and sectoral (business, labour, government and voluntary) aspects of our community.

#### **PANEL TRAINING:**

All Citizen Review Panel volunteers must attend a half-day training session in January of each year. The session is designed to supplement this manual in familiarizing volunteers with United Way's funding policies, the reporting responsibilities of funded agencies and the evaluation criteria and methods to be used during reviews.

Volunteers should leave the training session with a good understanding of the review process and its desired outcomes, and should feel comfortable representing the community on behalf of United Way. At the end of the training session, panel members will have an opportunity to meet each other and arrange a date for their preparatory meetings for each agency. Written budget submissions from each agency, along with some historical information and panel reports from previous years, are made available at this time.

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### **PREPARATORY MEETINGS:**

Prior to meeting with assigned agencies, panels hold a preparatory meeting to review each agency's submission and schedule dates for the agency meetings. Agency meetings normally begin with agency representatives offering an overview of the agency and its services, as well as a tour of the facility. This orientation session is an opportunity for the panel members to acquaint themselves with agency operations in an informal setting. The **panel chairperson** arranges the meeting. All agency visits are to be conducted according to the Community Investment schedule.

### **AGENCY REVIEW MEETINGS:**

The agenda for the meeting with the agency will provide for the identification of any concerns arising from agency submissions and previous panel reports, and will communicate these (through the chairperson) to agency representatives. Agencies are provided with a list of evaluation criteria prior to the review meeting, and, therefore, should be prepared to answer related questions. If, however, the panel intends to address a certain issue in greater detail, or will require further information to supplement the agency's submission, which may take some time to gather, the agency must be advised of this, in advance, to allow them a reasonable period of time to prepare their response.

The panel will have a meeting with each of its assigned agencies, **preferably at the agency facility**. It should be remembered that the agency meeting is an integral part of the agency's relations with United Way, and the panel, in representing United Way, is assuming the dual role of explorer and ambassador. It is the responsibility of the chairperson to provide leadership and direction in compliance with the established agenda. A standardized agenda is appended to this document. (Panel Report – Appendix C)

At the end of each agency meeting, the panel will meet, in camera, to discuss its findings and to agree on the contents of the panel report. Should the panel determine that additional information must be provided by the agency for preparation of the report; the method to obtain such information should be agreed upon with the agency. At the panel's discretion, further meetings with the agency may be arranged before a final recommendation is formulated.

### **PANEL REPORTS:**

The next step in the Citizen Review Process continues with the submission of a panel report for each agency to United Way's Manager, Community Investments and Agency Relations. The Community Investment Committee, in the global context of combined agency requirements and available funds, assess this report. The panel chairperson normally prepares the report; however, at the panel's discretion, this responsibility may be delegated to another member. The report should be detailed and specific in its recommendations, and supporting analysis should be thorough and represent a consensus of panel members. It is these recommendations, and not the agency's funding request, that form the basis for allocation decisions. It is, therefore, helpful if all

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panel reports are similar in content and format when they are reviewed by the Community Investment Committee. A template is attached for use (Appendix C).

### **ALLOCATIONS AND APPEALS PROCESS:**

Subject to the availability of funds, the Community Investment Committee relies on the recommendations in the panel reports in making its funding recommendations to the United Way Board of Directors. Following assessment and review of all panel reports, the committee holds a general meeting (Committee of the Whole) to finalize allocations recommendations.

Should recommended allocations exceed funds available to be allocated, it is at this meeting that decisions will be made as to how the shortfall is to be shared among agencies. During 2002, and again in 2008, an adhoc committee comprised of United Way and funded agency representatives met on several occasions to formulate recommendations regarding changes to the existing community investment process. It was during this initial process that the United Way Board of Directors adopted the rating scale outlined in Appendix C – Panel Report.

Final allocation recommendations are submitted to the United Way Board of Directors for approval. Once these decisions are made, agencies are notified by phone, and followed up with written notification, of the level of funding. Agencies may choose to appeal decisions directly to the United Way Board of Directors using the Appeal Criteria and “Request for Consideration of Appeal” Form (found in the Funding Application Forms). In these circumstances, the Board may seek clarification from the specific reviewing panel as part of the appeal process.

### **FUNDING GUIDELINES:**

#### General Policy:

The United Way will generally provide funding only to support operating expenses. Funding will only be provided for capital projects, including plant alterations or improvements, or the purchase of furniture, fittings or other office equipment under special circumstances approved by the United Way Board.

Agencies are expected to ensure that every effort is made to raise funds from all sources including:

- a) Obtaining maximum funding available from all government sources in accordance with existing government policies.
- b) Establishment of adequate user fees where it is appropriate; such fees should be on a sliding scale, in accordance with the clients’ ability to pay.
- c) Investigation of other funding streams, including Trillium Grants, etc.
- d) Supplementary fundraising within United Way guidelines (see the United Way of Chatham-Kent Funding Agreement)

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Agencies have the exclusive prerogative to determine levels of expenditure, but United Way reserves the right to restrict allocation to any line item if the reviewing panel is of the opinion that the expenditure is too high and/or the cost of the service is beyond the “going rate” in comparable agencies and/or other jurisdictions.

### Annual Funding:

Current United Way policy is to provide funding for agencies (core funding), to be used in a responsible manner, to support and sustain day-to-day operations. Should the agency prefer to use United Way funds for a specific program (in the event that all other programs are funded by other sources), this is also acceptable.

Normally, increases will be restricted to what is required to maintain the same level of service. If there is any significant increase in the maintenance level cost, this must be justified.

Provision is made within the funding application for expansion of a service or the introduction of a new service. If a request for expansion of an existing program or the introduction of a new service is received following the annual Citizen Review Process, such a request must be vetted through the Community Investment Committee to the United Way Board of Directors.

If, subsequent to the approval of an agency allocation, government or other funding is approved in an amount greater than indicated on the funding application, United Way is to be notified and an adjustment may be made to the previously approved allocation.

### Reserves, Capital Funds Depreciation and Surpluses:

The accumulation of capital funds and reserves for depreciation or specific purposes may be identified in the application. No United Way funds are to be set aside for these purposes, without prior approval from the United Way Board of Directors.

It is recognized, however, that some agencies periodically have insufficient cash flow because of late or non-payment of government funding or purchase of service agreements. Agencies may accumulate a “working reserve” sufficient to overcome these problems, without having to resort to bank loans. Should there be a question about the amount of reserve permitted, the United Way Board of Directors may offer a determination of the appropriate level of reserve, taking cash flow projections into consideration.

Any surplus of funds achieved by the agency at the end of its fiscal year shall be considered as part of the agency’s income for the ensuing year, and taken into account when establishing its budget for the following period. After consultation and agreement with United Way, such monies may be held separate and apart for a specific purpose or project.

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### AGENCY EVALUATION CRITERIA:

The following is intended to serve as a guideline when reviewing the agency's request. The overall evaluation of an agency is a composite evaluation reflecting the agency's performance in the criteria outlined. Information used by the volunteers to assess each criterion comes from the agency (budget, program information, etc.) and meetings with the agency.

This checklist provides a convenient structured format for making notes and comments when reviewing agency budgets and when attending meetings. It is also intended to provide new panel volunteers with examples of the types of questions previously asked during agency reviews.

#### Criteria:

- I) Community Need
- II) Program and Service Effectiveness
- III) The Agency Demonstrates Efficient Resource Utilization
- IV) Community Support
- V) Management
- VI) Need for United Way Dollars
- VII) Compliance with United Way Obligations
- VIII) Accessibility

The Citizen Review Panel members will use the following measures as one tool, to evaluate agencies on their funding requests.

For the 2012-2013 funding year, the following rating system will be used:

- Agency does not satisfy this measure
- Agency somewhat satisfies this measure
- Agency satisfies this measure
- Agency more than satisfies this measure
- Agency excels at satisfying this measure
- Not applicable

In each of the above ratings, panel members are encouraged to qualify their ratings **with comments**. Any additional comments pertaining to the measurements and criteria may be made on the "Comments" page.

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## I) COMMUNITY NEED

THERE IS AN IDENTIFIED NEED FOR THE AGENCY'S PROGRAM AND/OR SERVICE.

### Measure 1

Is there is a need for the agency's program or service that has been specifically identified?

Indicators:

- a) Size and characteristics of population in need
- b) Client use of service indicates support (number unable to serve, waiting list)
- c) Does not create unnecessary duplication of service
- d) A community needs assessment process is in place for your agency

### Measure 2

Is the agency responding to changes in the community including community growth, demographic changes, changing trends on the provision of services to clients?

Indicators:

- a) Addition or deletion to agency programs and services
- b) Changes in design or methodology and delivery

## II) PROGRAM AND SERVICE EFFECTIVENESS

THE AGENCY DEMONSTRATES EFFECTIVENESS OF ITS PROGRAMS IN RESPONDING TO THE NEEDS OF CLIENT GROUPS

### Measure 3

Does the agency have a clearly stated purpose or mission statement?

Indicators:

- a) Agency reviews, on a regular basis, their mission, vision, goals and purpose

### Measure 4

Does the agency have clear measurable objectives for its programs, consistent with its mission statement?

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Indicators:

- a) There is a clear plan for evaluating the objectives
- b) There are specific measurable objectives for the current operating year
- c) A process is used to monitor agency programs/services - define
- d) Standards used by agency to ensure quality
- e) Statistical information is collected
- f) Outcomes are developed and measured

### **Measure 5**

Do the agency programs demonstrate positive impact on community served?

Indicators:

- a) Emphasize and support long term solutions
- b) Promote empowerment and independence for individuals/families/communities
- c) Help individuals/families/communities to develop and use informal social networks

### **III) THE AGENCY DEMONSTRATES EFFICIENT RESOURCE UTILIZATION**

#### **Measure 6**

Does the agency make optimum use of volunteer resources?

Indicators:

- a) Use of volunteers in direct service (eg. special events), policy and advisory capacities (eg. Board and committees)
- b) Methods of volunteer recruitment, training, development, evaluation and orientation

#### **Measure 7**

Does the agency use staff effectively?

Indicators:

- a) Methods of staff recruitment, training, development and evaluation
- b) Staff structure and responsibilities - personnel policies are in place
- c) Staff attendance at Board Meetings, role on committees

#### **Measure 8**

Does the agency utilize its physical facilities efficiently?

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Indicators:

- a) Utilization of physical facilities, hours of operation
- b) Use of facilities by other organizations, creative use
- c) If surplus space is available – plans are in place for its use, or ideas are being explored

### **Measure 9**

Is the agency cost effective in its administration and service deliveries?

Indicators:

- a) Trends upward or downward in the cost per unit of service are identified and adjustments are made as necessary
- b) Trends in administrative or program costs
- c) Initiatives to control costs
- d) Administrative costs are reflected appropriately in United Way programs
- e) Expenses are budgeted to give priority to programs over administration
- f) Implements innovative approaches to service delivery, where appropriate

### **Measure 10**

Does the agency incur cost savings and/or other benefits as a result of its affiliation with other organizations and service providers, where applicable?

Indicators:

- a) National/Provincial affiliations/local partnerships
- b) Costs/benefits
- c) The agency promotes co-ordinated service delivery
- d) The agency demonstrates intra-agency co-operation in the delivery of programs and services

## **IV) COMMUNITY SUPPORT**

THE ORGANIZATION DEMONSTRATES STRONG COMMUNITY SUPPORT.

### **Measure 11**

Does the agency have a varied volunteer Board of Directors?

Indicators:

- a) The Board composition reflects the community at large

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- b) Clients and former clients are represented on the Board
- c) There is a role description for Board members
- d) There is an identified Board model – eg. Carver (governance) vs. Traditional (working)

### **Measure 12**

Does the agency have community support as evidenced by a stable and expanding user/customer/client base?

Indicators:

- a) User trends, composition, role of general users/customers/clients
- b) Community support of supplementary fund-raising

### **Measure 13**

Does the organization make the public aware of its services and promote United Way?

Indicators:

- a) Public relations programs/materials
- b) Agency has promotional/educational materials and resource

## **V) MANAGEMENT**

THE ORGANIZATION DEMONSTRATES SOUND MANAGEMENT PRACTICES INCLUDING RESPONSIBLE FINANCIAL MANAGEMENT

### **Measure 14**

Is the agency's staff well qualified to carry out the functions of the agency?

Indicators:

- a) The agency conducts staff training
- b) Management carries out staff performance evaluations on a defined basis
- c) Professional development is available for staff

### **Measure 15**

Is a planning process used to direct the activities and functions of the agency?

Indicators:

- a) Annual operating plan

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- b) 3-5 year plan, based on community needs assessment and agency self-evaluation

### **Measure 16**

Is the agency aware of specific problems or deficiencies in its operations and is the agency making efforts to overcome them?

Indicators:

- a) Response to previous panel recommendations
- b) Agency's self-assessment
- c) Concrete efforts to overcome deficiencies
- d) Response to external reviews

### **Measure 17**

Are the agency's accounting procedures and fiscal controls sound?

Indicators:

- a) An annual budget is prepared for approval by the Board of Directors
- b) Some one is responsible for maintenance of the accounting system
- c) The senior management is involved in the day-to-day financial aspects of the agency
- d) Annual audited statements are available
- e) The Board supervises the internal financial controls
- f) The annual budget is balanced

## **VI) NEED FOR UNITED WAY DOLLARS**

### **Measure 18**

Does the agency demonstrate through a realistic and reasonable budget, a financial need for United Way funds?

Indicators:

- a) Revenue sources other than United Way
- b) Dependency on voluntary income sources
- c) Identified use of United Way funds
- d) Supplementary fund-raising activities
- e) End of year balance
- f) Agency's user fee policy to clients served
- g) Implementation of user fee policy and impact on access for clients

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- h) Agency has received a windfall or significant increase in revenue that is not reflected in "projected" income, but may be earmarked for other purposes
- i) In the event that "projected" income from other sources is significantly higher or lower than the previous year's "actual", the circumstances that have caused this are explainable

### VII) COMPLIANCE WITH UNITED WAY OBLIGATIONS

#### **Measure 19**

Does the agency visibly demonstrate its relationship with United Way?

Indicators:

- a) United Way logo on agency facility and/or vehicles
- b) United Way is mentioned as a funder on letterhead, annual reports, news releases, articles, advertisements (radio, print and other media), posters and promotional materials

#### **Measure 20**

Are the agency's staff and volunteers actively involved in the annual fundraising appeal?

Indicators:

- a) Agency attends or participates in the Annual Red Feather activities
- b) Agency staff and/or volunteers assist with campaign solicitation
- c) Agency attends Annual Campaign kick-off and wrap-up events**
- d) Agency attends United Way's Annual General Meeting, generally held the fourth Wednesday in April
- e) Agency personnel deliver presentations during campaign
- f) Agency conducts an employee workplace campaign to support the United Way Community Fund**
- g) Agency discourages self designations through donor choice by its staff, board members and volunteers
- h) Agency volunteers open doors for United Way in their own workplaces
- i) Agency participates in joint special events with other funded agencies

#### **Measure 21**

Does the agency staff actively collaborate with United Way on community building projects and other related initiatives?

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Indicators:

- a) **Agency representatives attend regular and special Agency Relations meetings**
- b) Agency responds promptly to periodic quick response surveys
- c) Agency initiates partnerships, in collaboration with United Way, on special projects and/or collaborative initiatives
- d) Agency provides displays for public events (fairs, workplace presentations, workshops, etc), as requested
- e) Agency provides immediate notification to United Way of any changes to programs, senior personnel (such as Executive Director, United Way funded program staff and Board President), and/or location of services
- f) Agency demonstrates an awareness of United Way policies as they pertain to funded agencies

**PLEASE NOTE** – All indicators in **bold** are mandatory. Attendance and/or participation will be monitored.

UNITED WAY CHATHAM-KENT

**APPENDIX A**

**DONOR CHOICE/"FRIEND" STATUS WITH UNITED WAY**

## UNITED WAY CHATHAM-KENT

### **DONOR CHOICE PROGRAM AND "FRIEND" STATUS WITH UNITED WAY:**

In 1991-92 United Way Chatham-Kent decided to test pilot a new category of membership called "Friend" for those organizations who do not, for one reason or another, wish to be part of the funded agency group.

As a "Friend" of United Way, the organization:

- will receive designated (cash and cheque) contributions on or about April 15th along with any payroll deduction contributions received for the first quarter of the year less an amount representing \$12.00 per donation; subsequent payments from United Way will be made on or about July 15<sup>th</sup>, October 15<sup>th</sup> and during the first quarter of the following year when all payroll deductions have been received for the previous year's campaign
- will not be required to submit a budget to United Way's Community Investment Committee
- will undertake no solicitations for its own organization during the United Way campaign period (September 1 to December 1)

In response to requests from donors, the Donor Choice Program was quietly introduced during the 1992 campaign. The following chart shows how much has been designated to non-funded agencies or "Friends" of United Way – through the United Way Donor Choice Program since its inception:

<b>Year</b>	<b>Non-Member Designations</b>	<b>Campaign Announcement</b>	<b>% of Campaign</b>
1992	\$ 11,443	\$ 927,943	1.24%
1993	\$ 19,972	\$ 1,061,362	1.89%
1994	\$ 38,703	\$ 1,203,238	3.22%
1995	\$ 51,993	\$ 1,252,770	4.15%
1996	\$ 54,086	\$ 1,238,730	4.37%
1997	\$ 59,576	\$ 1,371,238	4.35%
1998	\$ 139,336	\$ 1,622,186	8.59%
1999	\$ 147,344	\$ 1,725,494	8.54%
2000	\$ 198,069	\$ 1,778,718	11.14%
2001	\$ 192,600	\$ 1,597,085	12.06%
2002	\$ 173,017	\$ 1,818,321	9.52%
2003	\$ 250,641	\$ 1,854,900	13.52%
2004	\$ 244,510	\$ 2,002,011	12.22%
2005	\$ 347,581	\$ 2,202,978	15.78%
2006	\$ 382,615	\$ 2,405,642	15.91%
2007	\$ 389,416	\$ 2,253,518	17.28%
2008	\$ 339,860	\$ 2,008,735	16.92%
2009	\$ 299,379	\$ 2,000,022	14.97%
2010	\$ 100,071	\$ 1,951,619	5.12%

## UNITED WAY CHATHAM-KENT

The following information is included in United Way's Donor Choice Policy:

### **Allocated (Unrestricted) Funds**

Donations that are unspecified are directed into the general allocations fund (United Way's **Community Fund**) to be distributed to United Way's funded agencies for core funding, and also to allow admission of new agencies, once they have been through the Community Impact Grant Process. Under volunteer direction, the United Way's Citizen Review Process carries out the role of balancing responses to community needs.

### **Designated (Restricted) Funds**

Through the Donor Choice Program, donations are designated to any Registered Canadian Charitable Organization or qualified donee. Funds may also be designated to specific agencies and/or programs or services within these organizations. **In the case of designations made to funded agencies, United Way includes designations in "Total Funding" to agencies and distributes these designations in addition to allocations made from the United Way Community Fund.**

For example:

If member agency "A" receives designations of \$5,000 and **Total Funding** is approved at \$20,000, the difference of \$15,000 is "allocated" from the United Way Community Fund.

**APPENDIX B**  
**APPEAL CRITERIA**

## UNITED WAY CHATHAM-KENT

### APPEAL CRITERIA:

Every applicant has the right to request an appeal and the United Way Board of Directors is the final arbiter of appeals. The Board will review appeals **only**:

- if the agency presents relevant new information not available to them at the time of the citizen review process
- if there is evidence that United Way volunteers misunderstood the agency's needs and because of the misunderstanding, erred
- if intention to appeal is submitted in writing **within 15 days of verbal notification of final allocation**, from the President of the Board of Directors of the appealing agency to the President of the United Way Board of Directors.

A "Request for Consideration of Appeal" Form is then submitted by the agency to the United Way Board of Directors within 15 days of verbal notification of their new funding level. This form is attached to the Budget Submission Forms.

Depending on the information contained in the appealing agency submission, one of the following decisions may be made by the United Way Board of Directors:

- The appeal is granted in whole or in part
- The appeal is denied
- The original allocation may be further reduced
- A meeting may be scheduled with representatives of the agency, where necessary, to obtain additional information/clarification

Where possible, appeals will be resolved within 45 days of their receipt.