United Way of Burlington & Greater Hamilton
Governance Review
Information Package

2012 – 2013

United Way
Burlington &
Greater Hamilton
Change starts here.

Our Mission

“To improve lives and build community by engaging individuals and mobilizing collective action”.

This effort will be facilitated through:

- Demonstrating trust, integrity, respect, inclusivity and transparency
- Energizing and inspiring volunteerism and volunteer leadership
- Endorsing innovation, partnerships and collective action
- Providing non-partisan leadership
- Embracing diversity

What's Inside …

This package provides information about United Way of Burlington & Greater Hamilton's funding focuses, criteria and process.

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Introduction

United Way of Burlington & Greater Hamilton (UWB&GH) funds health and social support programs through a network of health and social service agencies that serve the Burlington and Greater Hamilton communities. Through this network, UWB&GH invests in programs that assist in moving people out of poverty, meeting basic human needs, (e.g. food, shelter and jobs), improving access to social and health-related support services, supporting resident and community engagements and community integration and settlement. Along with improving access to early childhood learning and development programs, helping kids do well at school and completing high school, and making the healthy transition into adulthood and post-secondary education

UWB&GH currently invests in over 133 programs provided by 73 agencies.

Funding Focuses

As part of our stewardship of donor dollars, UWB&GH has a rigorous process in place to ensure the best investment of its funds. An experienced committee of volunteers, assisted by staff, makes funding recommendations and decisions based on identified funding focuses, specific criteria, and the latest research and community knowledge.

United We Brand

United Ways – Centraides across Canada are about to become more united than ever, in look and feel, tone and manner, and messaging. Today we begin to unveil a new, comprehensive brand experience that will allow United Ways – Centraides to speak with one voice – consistent, contemporary, and collaborative. And make it clear to all that we stand for lasting measurable change:

Change starts here

- From poverty to possibility
- Healthy people, strong communities
- All that kids can be

Within each focus, UWB&GH has identified specific themes that will direct investment. Proposals for investment must explicitly address one of the themes described. Submissions need to consider how the unique challenges faced by children and families, women, visible minorities, new immigrants and aboriginal people can be addressed. However, proposals must demonstrate that they are inclusive of all populations.

From Poverty to Possibility

Economically challenged families live in a chronic state of anxiety, often unsure if they will be able to meet their basic needs of food, shelter and clothing. They have no flexibility to deal with any extra or unexpected costs, and must make daily sacrifices that have long-term effects on quality of life. For children, this can mean poor nutrition or lack of access to recreational or other important social activities that build character, resiliency and the foundational skills required for healthy development and academic success.

Proposals targeting this focus will emphasize poverty prevention and will impact children, youth and families. In addition, proposals will demonstrate that they address one of the following themes:

- Moving people out of poverty
- Meeting basic human needs - food, shelter and jobs
- Child, youth and family support - credit counselling, accessing income security benefits etc.
- Skill development through education, activity and recreation

Programs should encourage and support initiatives that identify strategies for enhancing supports for:

- At risk families, individuals and seniors

Healthy People, Strong Communities

The quality of life in a neighbourhood is influenced by three significant factors:

- The community services and activities offered within the community
- The social relations among residents and other participants in the community
- And the physical environment

Children do well when families do well. Families do well when neighbourhoods do well.

It has been recognized that no single group or individual can address all the needs of any one individual, family or child and it is critical to explore ways to support neighbourhoods that ensure access to needed programs and services and avoid duplication of effort.

Also, it is important to provide seniors with the programs and supports that enhance their well-being and ability to remain independent, self-sufficient, and integrated in the life of the community.

Proposals targeting this focus must demonstrate that they address one or more of the following themes:

- Improving access to social and health-related support services
- Supporting resident and community engagement
- Increase capacity of agencies and neighbourhoods to recognize and respond to their changing community needs
- Supporting community integration and settlement
- Build strong neighbourhoods that promote and enhance social inclusion and cohesion

- Promote partnerships
- Promote coordinated activities and services
- Improve inclusion and integration in the community
- Create supportive neighbourhoods that enable seniors to participate in the life of the community
- Provide supports that allow seniors to maintain their independence and dignity
- Provide effective supports to families and/or caregivers

Programs should encourage and support initiatives that:

- Identify strategies to pilot new approaches to service delivery and community capacity building, especially for children, families, seniors and vulnerable populations
- Identify strategies, enhance and support the capacity of existing services to better meet the needs of <u>all</u> people
- Build healthier communities that enable new immigrants to reach their potential and play a valuable part in all aspects of the community
- Identify strategies that support senior-to-senior organized social and recreational activities
- Identify strategies that encourage senior involvement in the life of the community
- Identify effective supports to families and/or caregivers
- Build healthier communities that enable new immigrants to reach their potential and play a valuable part in all aspects of the community

All that Kids Can Be

Proposals targeting this focus must demonstrate that they address one or more of the following themes:

- Improving access to early childhood learning and development programs
- Help children/youth to do well at school and complete high school
- Making the healthy transition into adulthood and post-secondary education
- Quality early learning and parenting

Programs should encourage and support initiatives that identify strategies that:

- Improve access to early childhood learning and development
- Identify strategies that help youth do well at school and complete high school
- At risk children and youth that increase self-worth, social skills, and school achievement through creative community based initiatives

Eligibility Criteria

To be eligible for United Way of Burlington & Greater Hamilton (UWB&GH) funding, all applicant agencies must meet the following eligibility criteria:

1. Be incorporated and registered as a charitable agency with the Canada Revenue Agency and operating for a minimum of two years before applying.

2. Have a clearly stated purpose and function within the voluntary human and social services sector in Burlington and Greater Hamilton.

3. Demonstrate that there is a need for a separate UWB&GH funded program(s) which can effectively meet identified needs not currently being met by other programs.

4. Be governed by an active volunteer Board of Directors whose membership reflects the community it serves and is responsible for the agency's strategic plan and ensuring effective and efficient management of the agency's program and budgets. The Board will have specified plans for both recruitment and rotation of its membership. Membership of the Board of Directors will not include staff of UWB&GH, nor persons appointed by or selected as official representatives from UWB&GH.

5. Have a local volunteer advisory committee that oversees the agency, if the agency is part of a national, provincial or regional agency.

6. Have a voting membership which reflects the community it serves. Individual voting members must be at least 18 years of age as required by the Corporations Act.

7. Effectively utilize volunteers in the delivery of services, where appropriate.

8. Appropriately manage risk related to the use of volunteers at the agency, including carrying the appropriate level of insurance.

9. Have a realistic budget and produce annual audited financial statements.*

* *An agency incorporated in Ontario with an annual income of less than $100,000 is exempt from providing annual audited financial statements.* ***It must however****, produce annual financial statements that have been subjected to a Review Engagement.*

10. Conform to the Ontario Human Rights Code and not exclude anyone from service, accommodation or employment by reason of race, ancestry, place of origin, colour, ethnic origin, citizenship, creed, gender, sexual orientation, age, marital status, family status or disability.

11. Be supportive of UWB&GH's mission and policies.

12. Use outcome measurement/evaluation as part of its program planning and evaluation.

13. Provide program(s) that work within one of the funding focuses of UWB&GH. The agency must demonstrate how it fits with the criteria area(s) and contributes to the result within the funding focus most closely aligned to its program(s).

Funding Agreement & Expectations

In addition to meeting UWB&GH's eligibility criteria, all agencies must comply with the Funding Agreement and Investment Operating Policy. Highlights are noted below:

1. Invest all UWB&GH dollars paid to the agency in support of approved program(s) operating budget only.

2. Participate in an evaluation of its governance, management, program and financial requirements on a regular basis as established by UWB&GH.

3. Make available program, service, statistical and financial reports as required by UWB&GH.

4. Advise UWB&GH immediately of any significant organizational and program changes that affect programs supported by the UWB&GH.

5. Prominently display an identifying plaque or sign at or near the entrance of its premises with the United Way logo and/or the words "United Way Agency", unless detrimental to the well-being of the agency's clients.

6. Use the United Way logo and/or the words "United Way Agency" on all printed and web-based materials (including letterhead, agency newsletters, promotional folders, brochures and flyers, direct mail solicitation and promotional efforts, news releases, annual reports, income tax receipts, home page of the agency's website, and all print or broadcast media) publicity.

7. Adhere to UWB&GH policies discouraging self-designations and the promotion of donor designations to the agency.

8. Participate actively in promoting the success of UWB&GH's fundraising activities and encourage and enlist the participation of its constituency and members in such activities.

9. Refrain from fundraising during the UWB&GH's Campaign period of September 1 to November 30 in accordance with its Investment Operating Policy.

10. Abide by the funding conditions set by UWB&GH, if applicable, and to work towards the fulfilment of listed funding conditions.

Outcome Evaluation/Measurement

What Is Outcome Evaluation/Measurement?
Outcome Measurement (OEM) is an integral component of UWB&GH funding and a beneficial management tool to help agencies demonstrate the impact on the clients they serve as a result of their work.

Why Outcome Evaluation/Measurement?
An OEM system will demonstrate the results of the program(s). The process identifies areas needing improvement and gaps in service. This ensures maximum effectiveness in serving the community.

What Does Outcome/Evaluation/Measurement Involve?
An OEM model highlights short, intermediate and long term impacts by identifying the following pieces of information:

- Outcomes – The benefits or changes on clients that the agency expects as a result of a program(s).
- Indicators – Measurable information that tracks the achievement or success of an outcome.
- Data Collection Methods – The tools used to track information and gather evaluation information necessary to achieve the desired indicator(s).
- Outcome Findings – Compiled information demonstrating the benefits or changes as a result of a program.

Examples of Outcome Findings

- 71% of clients reported improved quality of life
- 92% of clients report they are able to make healthier choices
- 100% of children made improvements in social skills
- 71% of clients reported a significant reduction in their drug use

Application Process & Timelines

September
Governance Review Form

Agencies are provided with a Governance Review Form and are invited to complete.

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November
Submission of Governance Review Form

Governance Review Form
Due November 4, 2011

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November - January
Citizens' Review

↓

Outcome Measurement Review

Third-Party Review
Financial Review

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February-March
Burlington Investment & Linkages Committee
Hamilton Investment & Linkages Committee

The B/HI&LC's are comprised of senior investment volunteers who review the individual Citizens Review Panel recommendations and report to the Community Impact Committee

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March
Community Impact Committee
Recommendations

↓

Board of Directors Approval & Agency Notification

1. AGENCY INFORMATION – COMPLETE THIS SECTION ONCE FOR THE AGENCY

Agency Name:
Address:
Phone Number:
Fax Number:
Contact Person for Agency e.g. Executive Director:
Position:
E-mail:
Website:
Satellite locations(for United Way funded programs):
Charitable Registration Number:
Contact Information for this application: • Name: • Title: • Phone: • Mobile: • E-mail:
Name of CEO/ Executive Director and contact information (if different from the above)
Contact Information for the Board Chair • Name: • Phone: • E-mail:

Please ensure all sections are completed.

1.2 Has there been any change(s) to the agency/organization and/or contact information since you last applied for United Way funding?

☐ Yes ☐ No

If yes, please identify the change(s) :

Check all that apply and fill in the new/updated information below

☐ Agency Address/Phone/Website ☐ CEO/Executive Director ☐ Contact Person

☐ Charitable Registration Number ☐ Other

Updated Information:

Significant changes include but are not limited to:

- **Senior staff changes**
- **Changes to board governance**
- **Contact information – address and /or telephone numbers**
- **Website**

2. REGISTERED CHARITABLE STATUS – COMPLETE THIS SECTION ONCE FOR THE AGENCY

2.1 Agency is legally constituted* and incorporated as a charitable organization.
☐ Yes ☐ No

***Agency has been set up or established according to law or provision through the Ontario Corporations Act.**

2.2 Agency issues income tax receipts in accordance with CRA guidelines.
☐ Yes ☐ No

2.3 Agency submits the T3010 annual information return to CRA within 6 months after the end of its fiscal period/year end.
☐ Yes ☐ No

2.4 Agency maintains its books and records as required by CRA and the Income Tax Act.
☐ Yes ☐ No

2.5 Has the agency ever had its charitable status revoked by the CRA?
☐ Yes ☐ No

If yes please explain:

3. LEGAL REQUIREMENTS – COMPLETE THIS SECTION ONCE FOR THE AGENCY

3.1 Agency complies with the operating and reporting requirements of all relevant federal, provincial and municipal legislation.
☐ Yes ☐ No

Legislation includes – Ontario Corporations Act, Income Tax Act, Charities Accounting Act, Charitable Gifts Act, Ontario Human Rights Act, Canadian Human Rights Act, Occupational Health and Safety, Employment Equity Acts and PIPEDA.

3.2 Agency adheres to privacy policies that meet the requirements of the relevant federal and provincial privacy legislation.
☐ Yes ☐ No

3.3 Agency and its policies comply with provincial legislation related to employment, health and safety, and human rights, including Bill 168.

☐ Yes ☐ No

3.4 Does the agency have any current legal or human rights issues?

☐ Yes ☐ No

If yes, please indicate the nature of the issue and the expected outcome. Also please specify the limit of the exposure to the agency.

3.5 The board annually reviews the performance of its CEO/Executive Director.

☐ Yes ☐ No

3.6 Agency has and follows human resources policies and procedures.

☐ Yes ☐ No

3.7 Agency has and follows volunteer policies and procedures.

☐ Yes ☐ No

3.8 Employees are made fully aware of established Human Resources policies and procedures.

☐ Yes ☐ No

4. GOVERNANCE – COMPLETE THIS SECTION ONCE FOR THE AGENCY

4.1 Please describe the following elements of the Board structure and development:
Board type (policy, operational, etc.):

Recruitment policy/strategies:

Orientation/Training:

Evaluation:

Succession Planning:

4.2 Agency has an active, responsible, voluntary board which ensures effective governance over the organization.

☐ Yes ☐ No

4.3 The board sets limitations on terms of office for board members and ensures that those limitations are honoured.

☐ Yes ☐ No

4.4 The board uses committees and establishes terms of references.

☐ Yes ☐ No

4.5 The board establishes and periodically reviews its organizational mission, vision and/or value statements.

☐ Yes ☐ No

4.6 The board periodically reviews bylaws.

☐ Yes ☐ No

4.7 The board operates according to a Conflict of Interest Policy.

☐ Yes ☐ No

4.8 The board uses a formal program evaluation tool.

☐ Yes ☐ No

4.9 Agency currently has the following insurance coverage:

1) Directors and Officers Insurance ☐ Yes ☐ No

2) General Liability Insurance ☐ Yes ☐ No

4.10 The board regularly reviews organizational insurance coverage with the board and broker.

☐ Yes ☐ No

4.11 Agency has a prevention of abuse policy.

☐ Yes ☐ No

4.12 The board reviews financial statements on at least a quarterly basis.

☐ Yes ☐ No

5. STRATEGIC PLAN – COMPLETE THIS SECTION ONCE FOR THE AGENCY

5.1 Does the agency have a strategic plan?

☐ Yes ☐ No

If yes, please provide an executive summary.

6. FINANCIAL ACCOUNTABILITY – COMPLETE THIS SECTION ONCE FOR THE AGENCY

6.1 Are dual signatures required for issuing cheques?

☐ Yes ☐ No

6.2 What positions in the agency have cheque signing authority i.e. Executive Director/CEO, Board Chair, etc?

6.3 What is the maximum cheque amount for the staff/position (indicated in question #6.2), who has cheque signing authority?

$ ☐ Not Applicable

6.4 Describe (in point from) the process the agency follows when issuing cheques.

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-

6.5 Does the agency perform monthly bank reconciliations?

☐ Yes ☐ No

6.6 Agency has an investment policy.

☐ Yes ☐ No

6.7 Financial statements are presented to the Board (check one):

☐ Monthly ☐ Quarterly

☐ Semi-Annually ☐ Other

6.8 The agency separates United Way funding on the financial statements.
☐ Yes ☐ No

6.9 Who prepares the agency's annual budget?

6.10 How is the annual budget monitored?

6.11 Does the agency project an operating surplus or deficit larger than 5% of the agency's operating budget at the end of the current fiscal year?
☐ Yes ☐ No

If yes, please explain how the deficit/surplus will be managed:

6.12 Are United Way funded programs provided on a fee for service basis?
☐ Yes ☐ No

If yes, how does the agency deal with clients who cannot afford the fee?

6.13 Agency contracts with 3rd party fundraisers.
☐ Yes ☐ No

If yes, what % of the gross fundraising dollars received are expensed to the 3rd party.

7. PROGRAM OUTCOMES AND MEASUREMENT – COMPLETE THIS SECTION FOR EACH PROGRAM – Provide only one outcome and two indicators

Please describe the expected **client** outcome, indicators, data collection and **findings** of the program by completing the following short, intermediate and long term outcome charts. Definitions and examples (*in italics*), have been provided for assistance.

Each chart should contain:

- **The outcome:** The changes (benefits) for program participants during or after their involvement with the program – **one per program**
- **The indicators:** The specific items of information that track the success of client outcomes. Indicators describe observable, measurable characteristics that represent achievement of an outcome – **two per program**
- **The findings/results:** Information about how well the program did achieve client outcomes
- **Data collection:** Describe how the agency measure its results

The charts should NOT contain operational or organizational goals and objectives.

Please complete this section for each funded program. Each program should have its own short, intermediate, long term outcome chart.

Activities/clients are the concrete tasks the agency will carry out using UW funded resources. Your planned activities need not be completely new. Activities that have proven effective in the past can be included as part of this year's plan.

Outcomes are the benefits or changes the agency's clients are intended to experience or display as a result of the program activities. Outcome objectives are needed to explain the "so what" of the program.

Indicator is a measure that helps quantify the achievement of a result. Indicators answer the question.

Program: ____

Short Term Outcome	Indicator(s)	Findings/Results	Data Collection
Describe the first benefit(s) or change(s) the participants' experience. Often changes in; **knowledge, attitudes and skills.** Include time frame	What is the observable, measurable characteristic that represents the achievement of the outcome? Include percentage of participants you hope will achieve these results. (Target %)	What were the results? If you did not meet your target, please explain what changes you made or will make to address the shortfall. (Actual %)	What tool/method did/will you use? What data will it collect - from whom, where, when?
Clients will be knowledgeable about the subject by the end of the workshop	*90% of workshop participants will pass the written test*	*98% of participants obtained a passing grade on the written test*	*Written test completed by 100% of workshop participants to determine subject knowledge. Tested upon completion of each workshop*

Program: ____

Intermediate Term Outcome	Indicator(s)	Findings/Results	Data Collection
Describe the change(s) in **behaviour** that result from the initial change in; knowledge, attitudes or skills. Include time frame	What is the observable, measurable characteristic that represents the achievement of the outcome? Include percentage of participants you hope will achieve these results. (Target %)	What were the results? If you did not meet your target, please explain what changes you made or will make to address the shortfall. (Actual %)	What tool/method did/will you use? What data will it collect - from whom, where, when?
Clients will change their behaviour based on the knowledge gained in the workshop within 3 months of completing the workshop	*80% of workshop participants will report a change in behaviour within 3 months of completing the workshop*	*80%reported their behaviour changed*	*Participant survey: 30 minute telephone interview conducted by trained interviewers with 75% of workshop participants 4 months after workshop completion to determine the % of participants who have changed their behaviour within 3 months of completing the workshop*

Program: ____

Long Term Outcome	Indicator(s)	Findings/Results	Data Collection
Describe the ultimate change(s) benefit(s) desired for the participants. Meaningful changes, often in **condition** or **status.** Include time frame	What is the observable, measurable characteristic that represents the achievement of the outcome? Include percentage of participants you hope will achieve these results. (Target %)	What were the results? If you did not meet your target, please explain what changes you made or will make to address the shortfall. (Actual %)	What tool/method did/will you use? What data will it collect - from whom, where, when?
Clients will be maintaining the behavioural change one year after workshop completion	*50% of workshop participants will report they have maintained the behavioural change one year after workshop completion*	*40% reported maintaining the behavioural change.* ***Shortfall*** *will be addressed by reviewing and altering the workshop content on long term strategies for maintaining the behavioural change*	*Participant Survey: 20 minute telephone interview conducted by trained interviewers with 75% of workshop participants within 14 months of completing the workshop to determine the % of participants who have maintained the behavioural change for one year after completing the workshop*

8. CAMPAIGN INPUT

8.1 AGENCY IMPACT SURVEY - COMPLETE THIS SECTION ONCE FOR THE AGENCY

The information provided may be used in the 20XX United Way campaign material to highlight the positive impact the program(s) has/have on the quality of life in our community.

How donor dollars have helped in 20XX and reasons to give in 20XX…
Examples

- 200 new Canadians accessed language training and integration programs
- 480 children, youth and adults with intellectual disabilities received help
- 27 women and 92 children gained access to life saving shelter services
- 96% of seniors report that they can live longer in their own homes as a result of one phone call

Reason(s) to give:

What does $10 a week… $12 a week… $15 a week… $20 a week… etc. provide for the agency's clients.

Example

- $5 a week provides a healthy nutritious lunch for a senior

Please give an example of how UW dollars impact the agency and client(s).

8.2 SUCCESS STORIES – COMPLETE THIS SECTION FOR EACH PROGRAM Please feel free to submit the stories through different formats if available e.g. videos, DVD's

Program: ____

8.3 SPEAKERS BUREAU – COMPLETE THIS SECTION FOR EACH PROGRAM

Speakers Bureau Representative – Please complete the chart below with the name and contact information of a client, staff member or volunteer who has a powerful personal story to share and is willing to participate in United Way's Speakers' Bureau.

NAME	CLIENT, STAFF OR VOLUNTEER	CONTACT INFORMATION	
		PHONE #	EMAIL

Names will be used for our Success Stories so please ensure the person(s) are prepared to be interviewed and or written about (names can be changed if required).

9.1 ANNUAL REPORTING REQUIREMENTS – FUNDRAISING EVENTS IF APPLICABLE

Please complete the chart below for the agency's non-United Way fundraising events if applicable:

Event/Activity	Date (s)	Projected Net Revenue
e.g. Direct Mail, Raffle, Gala		

Please list all fundraising conducted by agency (outside of the UW fundraising), ensuring all activities comply with the UW Investment Operating Policy.

9.2 If the agency is not conducting non-United Way fundraising events what steps or activities does the agency undertake to help raise/increase revenue in order to meet needs in the community?

9.3 ANNUAL REPORTING REQUIREMENTS – INCLUDE ONLY ONE COPY OF EACH OF THE REQUIREMENTS

Agencies must provide all of the information listed.

- ☐ Current board and committee organizational charts
- ☐ Current staff organizational chart
- ☐ Most recent audited financial statements; including management letter, if applicable

  An agency incorporated in the province of Ontario with an annual income of less than $100,000 is exempt from providing annual audited financial statements. It must however, produce annual financial statements that have been subject to a Review Engagement.

- ☐ Year-to-date internal financial statements up to the period ending September 30th
- ☐ Agency's budget for the current year
- ☐ Agency's local operating budget for the current year, if applicable
- ☐ Agency Directory update – review the agency description by checking United Way's website.

  Please ensure all agency information is up-to-date and all contact information is current.

Have you included everything requested?

10. BOARD/EXECUTIVE APPROVAL – COMPLETE THIS SECTION ONCE FOR THE AGENCY

I certify that to the best of my knowledge, the information provided in this application is accurate, complete and is supported by the agency I represent.

I also certify that if funding is approved, the agency I represent will provide the required reports of finances and activities.

I acknowledge that if this application is approved, the agency will be required to enter into a funding agreement with United Way that will outline the terms and conditions of the grant. The agency will not conduct any fundraising during the United Way blackout period of September 1 – November 30.

The Board of Directors is aware of its responsibilities as dictated by the Ontario Corporations Act; the Income Tax Act; the Ontario Human Rights Code, if applicable; the Charities Accounting Act, PIPEDA and Charitable Gifts Act. Further, the Board of Directors agrees to operate in accordance with United Way guidelines and policies.

Two Signatures are required, one of which must be a board member. Signing officials must be authorized to legally bind the agency.

______________________________	______________________________
Signature of CEO/Executive Director	Name (please print)
______________________________	
Date	
______________________________	______________________________
Signature of Chair, Board of Directors	Name (please print)
______________________________	
Date	

Please ensure this is signed.