

Community Impact & Allocations Manual



United Way

Perth-Huron

Change starts here.

Revised March 2016

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**United Way
Perth-Huron**

Our Vision

To be a collaborative leader that improves lives and builds strong communities in Perth and Huron.

Our Mission

We are the catalyst that mobilizes community partners, individuals and resources to address identified community needs by:

- Providing inclusive leadership in social change,
- Facilitating innovation, partnerships and collective action,
- Respecting community wisdom and encouraging citizen involvement,
- Encouraging and promoting volunteerism and volunteer leadership,
- Demonstrating trust, integrity, transparency, inclusivity and respect, and
- Embracing diversity.

Strategic Directions

- Collaborative and co-operative community.
- Evidence-based action.
- Clearly defined priorities.
- Increased revenue and resources.

Focus Areas

- All That Kids Can Be: Helping children and youth reach their full potential.
- From Poverty to Possibility: Meeting basic human needs and moving people out of poverty.
- Strong Communities: Strengthening community services and increasing community engagement.

Purpose of the Community Impact & Allocations Manual

United Way Perth-Huron (UWPH) will consider funding programs and services within Perth and/or Huron Counties that align with the Vision and Focus Areas of UWPH. The community expects UWPH to raise money and to acquire other material and human resources for this purpose while allocating resources in an efficient and cost effective manner. UWPH's community impact and allocations process is a systematic, community-wide, volunteer-led process which rationally and ethically distributes available resources to project/programs in Perth and Huron Counties.

The purpose of this manual is to define guidelines for implementing a quality community impact and allocations process, and to explain why these guidelines have been chosen. Since UWPH is a dynamic body, this manual will require ongoing revisions.

Throughout the document the term Supported Partner is used to define any organization that receives support from UWPH, whether it is monetary, material or human resources. Also, when referring to 'programs', throughout the document this encompasses programs and services.

The guidelines and information in this manual are not intended to supersede any prevailing laws, and it is assumed that common sense will apply in their interpretation and application.

Community Impact & Allocations Committee

The Community Impact & Allocations Committee (CIAC) is a UWPH Board Committee. The committee is comprised of members of UWPH's Board as well as external community members. The CIAC's mandate is:

1. Assist the Board in doing their work in investing in and connecting with the UWPH Community,
2. Review funding and other support requests. Recommend allocation of resources to Board of Directors according best fit to policies on program eligibility and viability and on criteria for community impact and our focus area frameworks.
3. To act as a liaison between UWPH's Supported Partners and the Board of Directors.
4. To recommend investment structure to the Board of Directors.
5. To regularly engage with community and utilize focus framework outcomes to inform priority setting.

CIAC volunteers will respect the special privilege of access to information considered to be of a confidential nature. Volunteers will not disclose confidential information. Recommendations to the Board of Directors will be kept confidential until a final decision has been made and applicants have been duly informed.

United Way Staff Role

Staff members are non-voting members of CIAC and, as such, they research, provide information and point out issues and options to encourage informed decision-making. Staff will prepare the reports for CIAC which summarize discussion, recommendations and rationale.

Community Impact Plan & Focus Area Framework

UWPH has long worked to improve lives by mobilizing resources of businesses, employees, other individuals, and foundations in support of direct service programs at agencies that measurably improve people's lives. While we remain committed to this incredibly important work, more can and must be done. Despite all of the money raised and all of the programs and services we and others have helped provide, many problems in our community continue to impact our friends and neighbours.

To address issues in our community, there is a need to deal with the conditions that created them in the first place and are causing them to worsen. Doing so calls for a more sophisticated approach for UWPH in addition to the traditional funding and direct service approach. This model mobilizes diverse people and resources through unique approaches and partnerships that go beyond the dollars pledged through the annual campaign and the programs those dollars' support. Collaboration is key.

Our Community Impact Plan is our commitment to establishing long-term community goals, determining how we'll measure success, developing and implementing the right multi-dimensional strategies, and measuring results over time. It is a comprehensive, high level action plan, developed with representation from community and agency partners, for changing the most pressing social issues in Perth and Huron Counties.

The below Focus Area Framework has a total of set of 6 community-level outcomes in each of the 3 Focus Areas. The community-level outcomes are high-level, complex changes UWPH can expect to impact, collectively, through their work with a variety of community partners. The framework also contains a set of more refined program-level outcomes for each of the community-level outcomes identified. The program-level outcomes are those that programs funded by UWCC can be expected to impact directly through their work in the community. It is the program-level outcomes that Supported Partners will monitor and measure to demonstrate how their work has created change for the individuals and families they work with.

It is important to remember that the outcomes chosen in UWPH's Community Impact Plan are not a comprehensive list of all of the changes that are needed in our community. They are a list of areas in which

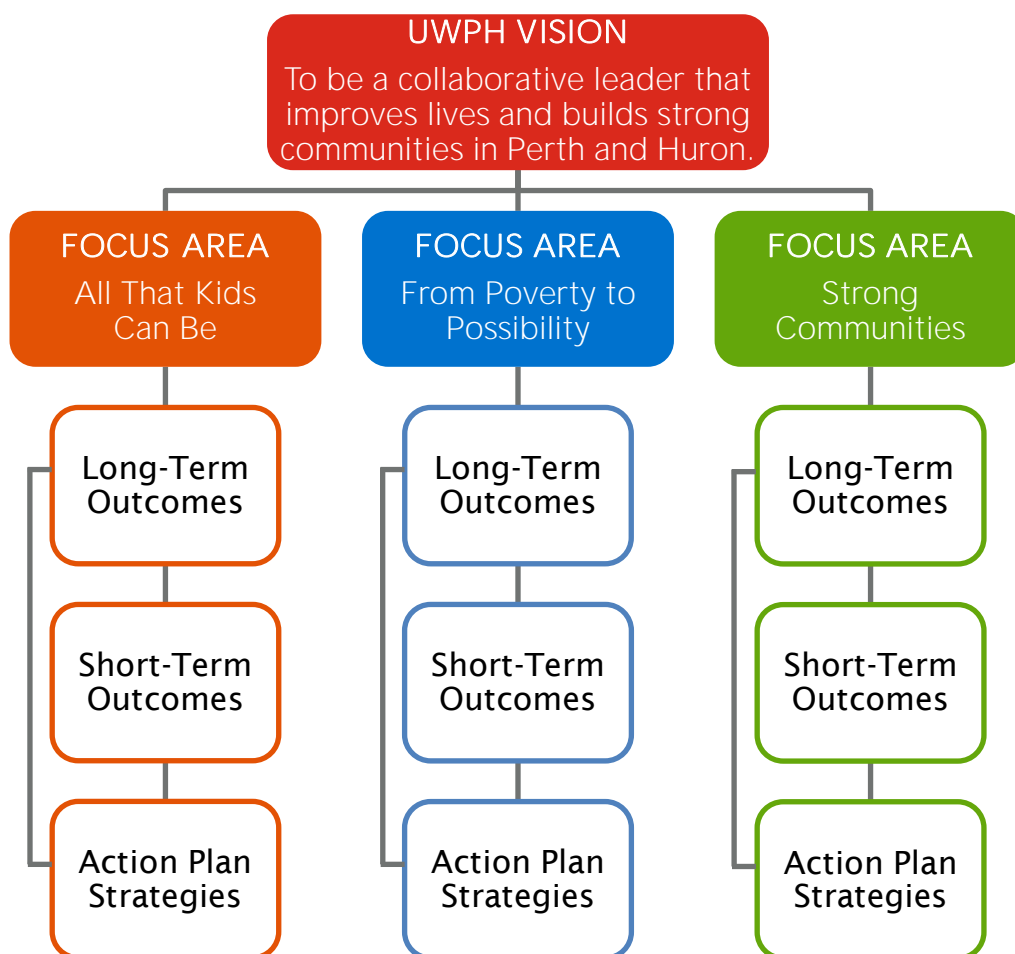
we have made a commitment to make a meaningful and measurable contribution to community change. It is also important to remember that the outcomes in a Community Impact Plan are collective or community level outcomes. They are changes that require different kinds of effort by different groups, and so they are outcomes that no single organization or community service program can achieve alone. They require the collective commitment, capacity, and efforts of our partners.

In selecting outcomes for our Community Impact Plan, UWPH has considered important gaps or issues requiring attention in our community, balanced with practical consideration of the assets and capacity that we and our partners have to make meaningful, measurable change. There may be some outcomes that other organizations and community collaborations may be better positioned to address.

The Community Impact Plan will guide the work of our organization as we seek to effect change related to our three Focus Areas. Below are UWPH's 3 Focus Areas, as well as the respective:

- Long-term and short-term outcomes – specific types of change that are intended to be achieved through community impact work
- Action plan strategies – explanation of the actions UWPH is taking to make a measurable difference in the identified outcomes

As community needs and priorities emerge UWPH will evaluate and revise action plans strategies in order to best serve the community.



ALL THAT KIDS CAN BE
Long-Term Outcome: Helping children and youth reach their full potential

Short-Term Outcome: Children and youth experience positive mental health and wellbeing

The Impact

Individually, children and youth experience:

- **Improved readiness to learn** (e.g., commitment to learning, achievement motivation, skills to support learning in different environments)
- **Improved mental health and personal wellbeing** (e.g., reduced levels of stress, positive identity, self-esteem, psychological wellbeing)
- **Improved coping and decision-making skills** (e.g., self-regulation of emotion and behaviour, personal goal setting, making healthy decisions, avoidance of risky behaviour)
- **A healthy transition into adulthood** (e.g., successful transition to post-secondary education, training, or employment)

Short-Term Outcome: Children and youth are involved and feel they belong in their communities

The Impact

In our community, children and youth experience:

- **Increased involvement in positive community and social activities** (e.g., constructive use of time, meaningful participation in activities)
- **Increased sense of belonging and connectedness** (e.g., supportive relationships, interpersonal skills, feeling part of a community or group)
- **Increased leadership and responsibility** (e.g., planning and decision-making, leadership, self-regulation of behaviour)

UWPH Action Plan Strategies

Invest in...

- Parenting programs and programs that link parents to information, resources, and supports
- Individual and family counselling programs focused on coping skills, building self-efficacy and building self-esteem
- Programs that help to develop motivation and increase commitment to learning
- Programs that promote school success for high-risk youth (i.e. Poverty, mental health, abuse) and that supports them as they transition out of school to employment or further education
- Programs that address the unique needs of youth in rural environments
- Programs focused on enriching and building family cohesion and resiliency
- Programs focused on improving social skills and relationship building with peers
- Programs focused on improving social skills, employment readiness, and leadership skills for the transition to work
- Programs that promote school completion for youth at risk of dropping out of school
- Exposure to social interaction and opportunities for learning for preschool children

UWPH Action Plan Strategies

Invest in...

- Programs focused on building strong peer relationships and fostering community involvement (i.e. recreation)
- Programs focused on building strong relationships with positive adult role models (i.e. Mentoring)
- Programs that increase access to and participation in extracurricular activities and leisure time (i.e. Music, art)
- Leadership development program
- Programs and social opportunities that help connect rural youth to their peers and encourages community involvement

Mobilize Community...

- To engage youth through the promotion of youth councils, volunteerism, and youth self-advocacy

Advocate For / By...

- Research and understand factors that affect mental health and wellbeing in children and youth and how our local community and environment may influence them
- Influencing policy and public attitudes through campaigns focused on child and youth mental health
- For accessible, reliable, and inclusive support services for all community residents
- For increased collaboration, public awareness and coordination of local service providers
- For a system of government, service providers and community residents that is equipped to support individuals and families during difficult times
- Influencing policy and system change through advocacy around youth under-employment such as increased post-secondary educational and employment opportunities for youth
- Engaging youth through outreach and education focused on risk taking and harm reduction
- Educate residents with knowledge and referral information to support their family members, friends, or coworkers who may be struggling with challenging personal circumstances
- Influencing policy changes through advocacy around access to child care and early learning supports
- Influencing system change through mobilizing community service providers to improve access to early childhood services in vulnerable neighbourhoods

Mobilize Community by...

- Mobilize Community educational support services by encouraging collaboration and accessible information on available services

FROM POVERTY TO POSSIBILITY

Long-Term Outcome: Meeting basic human needs and moving people out of poverty

Short-Term Outcome: People are financially secure

The Impact

Individually, people experience:

- **Increased access to sustainable programs and supports needed for financial stability** (e.g., affordable and accessible child care and transportation; access to low-cost health care, insurance, banking; access to entitlements, benefits, other income supports)
- **Increased financial literacy** (e.g., knowledge of basic financial and economic concepts, skills for applying financial knowledge to manage finances/resources effectively)
- **Increased employment readiness** (e.g., skills and knowledge for gaining employment – job search, interview skills, resume writing; appropriate job skills training; knowledge of job market)
- **Sustaining and meaningful employment** (e.g., access to adequate employment opportunities; gaining and maintaining employment in appropriate field of training/interest)

Short-Term Outcome: People have their basic needs met

The Impact

In our community, people experience:

- **Increased access to emergency shelter** (e.g., increased access to safe shelter, appropriate to needs, when in crisis)
- **Increased access to safe, affordable, stable housing** (e.g., increased access to appropriate housing; increased access to safe and affordable transitional housing; increased capacity to keep home adequately heated, ability to repair/replace broken or worn out utilities or furniture, reduced risk of eviction or homelessness, increased tenure or housing stability)
- **Increased access to safe, affordable, nutritious food, appropriate to their needs, culture, and preferences** (e.g., increased affordability and availability of healthy and culturally appropriate food; food is increasingly shared and distributed; increased consumption of sufficient amounts of nutritious foods)
- **Increased knowledge and skills required to prepare healthy, nutritious food** (e.g., increased skills for meal planning, cooking and preparing meals, acquiring affordable and healthy foods, growing foods, safe food storage)

UWPH Action Plan Strategies

Invest in...

- Programs that offer low-cost or no-cost transportation (e.g., volunteer driving services) for vulnerable individuals and families especially in rural areas
- Programs that connect low-income, vulnerable community members to services and supports to help avoid financial crisis (e.g., affordable child care, elder care, health care, etc.) such as low cost transportation
- Programs that help to build financial literacy skills for low-income individuals and families
- Pro-active financial programs that support the development of knowledge, skills and systems to help low-income individuals and families create and maintain savings
- Programs that help to train and strengthen employable skills that will increase an individual's ability to obtain meaningful employment

UWPH Action Plan Strategies

Invest in...

- Programs that increase the availability and access of nutritious food to ensure food security
- Programs that build knowledge and skills regarding food literacy, nutrition, preparation and use (e.g., community kitchens, education programs, etc.)
- Programs that address housing security and access to emergency shelter
- Programs that address the unique needs of community members in rural environments

Advocate...

- By supporting the development of services and systems to help low-income individuals and families maintain safe and stable housing

- Programs that help to improve employment networks and opportunities (e.g., relevant skill-building volunteer opportunities, placement supports, etc.) and address the unique needs of community members in rural environments.

Advocate for...

- Income and income support policies (i.e., social assistance, living wage) that ensure adequate, sustainable income to meet one's basic needs
- The expansion of accessible and affordable services (e.g., child care, elder care, post-secondary education and training) to support financial security, employment and ensure basic needs are met
- Policy change and adequate government funding to increase affordable access to adult education, literacy training, and job skills development
- The business community to encourage continuing education to build capacity for meaningful employment
- For and support the expansion of accessible and affordable services (e.g., child care, elder care, post-secondary education and training) to support financial security, employment and ensure basic needs are met
- Responsive child care policies, government funding and accessible programs that enable low-income parents to work and go to school
- Adequate income policies (i.e. Social assistance, living wage, taxation) that ensure adequate, sustainable income to meet one's basic needs
- Increased awareness of local living costs and what a reasonable Living Wage for employees is

Mobilize Community by...

- Engaging employers to engage low-income, vulnerable populations (e.g., seniors, immigrants, persons with disabilities) in meaningful employment and volunteer roles
- Increasing understanding of poverty and issues associated with poverty
- Participating at local community discussion tables to raise awareness of local community needs and building connections

- Engaging with food security stakeholders to increase local advocacy efforts and influencing food security policy development (e.g., local food charter)
- For affordable housing supports that are not funded by government

Mobilize Community by...

- Strengthening emergency shelters and transitional housing capacity and increasing community dialogue about homelessness issues, especially in communities where access is limited or non-existent
- Strengthening emergency food provision services
- Strengthening development of affordable options for adequate access to nutritious foods (e.g., school breakfast and snack programs)
- Understanding local food security, housing stability issues and service gaps / overlap through research and development
- Engaging stakeholders (government, private sector, NGOs, farmers) to raise awareness about local food security issues
- Increasing opportunities for service providers to network and create collaborative partnerships.

STRONG COMMUNITIES

Long-Term Outcome: Strengthening community services and increasing community engagement

Short-Term Outcome: People are fully engaged in creating strong, inclusive communities

The Impact

Individually, people experience:

- **Improved mental health and personal wellbeing** (e.g., improved self-esteem, sense of purpose, life satisfaction; improved coping or problem solving skills, improved management of emotions)
- **Improved skills for independent living** (e.g., people are able to live independently and are empowered to make choices that reduce risk/harm and prevent crisis)
- **Increased social ties and support amongst community members** (e.g., increased sense of social support, strengthened relationships, sense of belonging, reduced social isolation)
- **Increased participation in volunteer activities** (e.g., increased number of volunteers in community services; community members taking on leadership roles; people coming together to positively influence the community in various ways)

Short-Term Outcome: People are connected to a strong network of community services, and to the social supports they need

The Impact

In our community, people experience:

- **Community services working together, making it easier to navigate the system** (e.g., by redesigning and decentralizing service delivery mechanisms and integrating services)
- **Better access to community services and supports** (e.g., by removing obstacles to access, by referring and connecting people to services they need but were not aware of or able to reach previously)

UWPH Action Plan Strategies

Invest in...

- Programs for counselling individuals and families dealing with addiction, mental health issues, or trauma.
- Programs that build life skills for independent living
- Programs for individuals that may be experiencing barriers to community inclusion and participation
- Programs that increase volunteer attraction, participation, and retention
- Programs that support newcomers in becoming connected, contributing community members

Advocate...

- Influence policy to better support victims of abuse and domestic violence
- Awareness of mental health issues and resources availability

UWPH Action Plan Strategies

Invest in...

- Programs that address barriers to accessing community services and the transportation challenges of rural communities
- Programs that demonstrate a collaborative community approach in service implementation
- Programs that provide information to improve accessibility and navigation of local community services

Mobilize Community by...

- Engaging service providers to improve navigation of community services for residents and system mapping
- Engaging social service agencies, businesses, and governments to help form new partnerships

Mobilize Community by...

- Increasing understanding of the local community by identifying support needs and service gaps through research
- Engaging community to work collaboratively to increase awareness of personal trauma and its effect on community members
- Increasing visibility and community awareness of local 211 services to help community members make better connections to available community services
- Working collaboratively with community members to promote volunteerism, increase visibility of volunteering opportunities, and the development of volunteer leadership through the Volunteerism Working Group.

- Understanding effective practices and impacts of service hubs for residents in rural communities or special populations through research
- Strengthen programming and improve access through case-coordination and service resolution for people with complex needs
- Facilitating connections and encouraging collaborative efforts of community service providers

Investment Streams

UWPH offers the following investment streams:

1. Youth In Action Grant (1 Year)

Youth In Action Grants are a one-time grant opportunity of up to \$1,000 focused on youth-led projects that offer creative ideas to address community issues in Perth and Huron Counties. Youth and/or groups of youth between the ages of 14 and 24 are invited to submit an application in partnership with an adult trustee (25+). These funds support youth-led projects that positively benefit the participants' communities and support youth development.

Priorities for Youth In Action Grant Funding

Priority will be given to projects that:

- Present a unique idea that has not been done before
- Focus on the promotion of community involvement and wellbeing among youth
- Show a high degree of collaboration
- Raise awareness about youth issues and concerns

Criteria for Youth In Action Grant Funding

The following criteria are required for successful Youth In Action Grant applicants:

- There is both a Lead Youth Applicant (ages 14-25) and an Adult Trustee (age 25+) supporting the project.
- The project is planned and implemented by youth and clearly engages the youth community within Perth-Huron.
- The program is consistent with the Mission, Vision and Values of UWPH.
- The program objectives are specific and measurable.
- The program is legal and safe.
- Funds will go only to programs that are open, unbiased, and accessible to ALL youth of the community.
- The program will deliver no benefits to individual persons, families or organizations to the exclusion of others.
- The Lead Youth Applicant will produce a Final Report by the specified date on the grant contract.

Youth In Action Grant Project Ideas

Eligible projects include but are not limited to:

- Events, workshops, or organizations that focus on youth activities, issues, and interests that may include guest speakers, multi-media presentations, musical acts, skill development, collective brainstorming, or the discussion of tough topics
- Community art projects like murals, exhibits, and installations that address youth issues
- Non-competitive sporting events that encourage an active and healthy lifestyle, youth engagement, and fun
- Projects that focuses on environmental issues and takes steps to make communities within Perth-Huron more sustainable
- Any other youth-led project, event, workshop, or organization that promotes positive change for the youth of Perth-Huron

Eligible Youth Grant Expenses

- Direct programming (resources, guest speakers, thank you gifts, non-cash prizes)
- Project materials (printing, photocopying, food, promotional)
- Equipment (short term rental) and facility rentals

Non-Eligible Youth Grant Expenses/Projects

- Cash Prizes
- Staff salaries, benefits, administrative costs
- Office space rental
- Fundraising projects
- Funding for individual or team travel
- Projects that are not run primarily by youth
- Incomplete applications

2. New Initiative Grant (1 Year)

UWPH recognizes that encouraging new approaches and innovations in community services and programs are important. The New Initiative Grant funding stream was created to respond to:

- emerging needs
- test and evaluate new models of service
- support collaborative partnerships or smaller-scale projects
- assist in the pilot of new projects

Funding for New Initiative Grants is for one year. Normally, 1 year grants will only be considered on a 1-time basis for any given program. However, in special circumstances the CIAC may use their discretion in considering an additional 1 year grant application. Well-established registered Canadian charities with good governance and financial structures (including financial statements), and that deliver social and community services in Perth and Huron County, are welcome to apply. Each year, the UWPH Board of Directors, in conjunction with CIAC, will examine the total dollars available for allocation to community programming and will determine an amount available for New Initiative Grants.

Applicants that are successful in obtaining the New Initiative Funding Grant must abide by the terms of the Supported Partner Funding Agreement.

3. Impact Funding Grant (3 Year)

The intent of offering multi-year funding is to provide increased financial stability for applicants and a greater capacity to measure outcomes achieved. The multi-year funding model promotes sustainability of services for the community by allowing agencies to concentrate more on program design, delivery and evaluation. Additionally, multi-year funding encourages longer-term planning, evaluation of impact and efficiency for both agencies and UWPH. It may also enable agencies to better leverage their positions for additional funding elsewhere. Multi-year funding facilitates efficient and effective use of staff/volunteer/agency time during the allocation process and enables both agencies and UWPH to engage in longer-term planning and outcomes measurement.

This funding stream is intended for ongoing programs that are part of the organization's overarching structure and mission. Well-established registered Canadian charities with good governance and financial structures (including financial statements), and that deliver social services in Perth and Huron County, are welcome to apply. Agencies must be fulfilling community needs as identified by the UWPH Framework, and must demonstrate excellence in terms of programming, community collaboration and operational management.

Relationships that develop between UWPH and community agencies are necessary to create the long-term lasting change UWPH strives to accomplish in the community. There are many agencies in the community that UWPH had funded for many years. As a result, some long-standing relationships were developed. History must not, therefore, be entirely discarded. However, under the Community Impact model, UWPH is committed to funding effective programs and services within the three priority areas, not specific agencies. UWPH does not fund based on historical funding, and funding amounts will not be based on past years' funding levels. However, the historical perspective is often useful as UWPH assesses

the impact programs and services in the community over time, and how effectively and efficiently an agency has utilized previous funding.

Organizations that are not currently funded by UWPH will be eligible to apply for an Impact Funding Grant. However, as the relationship between UWPH and the organization is new, caution will be taken in the amount being allocated. If deemed necessary, the CIAC may recommend that an application for 3-year Impact Funding be considered on a 1-year New Initiative Grant term.

CIAC members will ensure the rationale for recommending single or multi-year funding is clear; and if funding is reduced from the request, a clear rationale for the reduction is prepared by CIAC. Any issues an applicant needs to address to access multi-year funding will be clearly articulated in the final assessment.

Additionally, once a Supported Partner receives multi-year funding, the amount of funding received will not automatically be regarded as the starting point in determining future funding.

Funding Applications Schedule

Schedule is currently under review and may be subject to revision.

Below is a 3-year application schedule for the 3 investment streams (in relation to UWPH's fiscal year):

Year	Quarter*	Full Application Open		
		Youth Grants	New Initiative Grants	Impact Funding Grants
3 (of the previous 3-Year Funding Cycle)	1 st			
	2 nd			
	3 rd			
	4 th			
1 (of a 3-Year Funding Cycle)	1 st			
	2 nd			
	3 rd			
	4 th			
2 (of a 3-Year Funding Cycle)	1 st			
	2 nd			
	3 rd			
	4 th			
3 (of a 3-Year Funding Cycle)	1 st			
	2 nd			
	3 rd			
	4 th			

* Quarters are based on UWPH's fiscal year of April 1 – March 31:
 1st Quarter – April 1 to June 30
 2nd Quarter – July 1 to September 30
 3rd Quarter – October 1 to December 31
 4th Quarter – January 1 to March 31

Funding Criteria & Eligibility Requirements (New Initiative & Impact Funding)

UWPH funds local not-for-profit agencies providing valuable program(s) in Perth and Huron communities. UWPH does not fund individuals or for-profit operations.

Applicants requesting Impact Funding or New Initiative Grants must meet the below requirements.

Eligibility Requirements

1. Applicants must provide services to residents of Huron and/or Perth County.
2. Applicants must be registered with Canada Revenue Agency as a current registered charity or incorporated not-for-profit organization. If the applicant is not a registered charity or incorporated not-for-profit organization, applicants must enter into a formal sponsorship agreement with a registered charity (with its own Registered Charity Number) that meets the eligibility requirements.
3. Applicants must have a Board of Directors that:
 - a. Governs the agency
 - b. Receives no financial remuneration
 - c. Meets regularly
 - d. Hosts an Annual General Meeting
- Applicants must submit a financial review (audited or unaudited) which shows that its operations are in conformity with generally accepted accounting principles (Refer to [Financial Reporting and Accountability to Donors section on page 23](#)).
4. The agency complies with a Board approved annual operating budget wherever possible and any variances to the budget are noted and approved by the Board.
5. Applicants must carry sufficient Directors Liability Insurance as well as liability insurance to cover the program/project seeking UWPH funding. All insurance coverage indemnifies UWPH.
6. Applicants must have a Canadian bank account.
7. Applicants must be non-partisan and must not be affiliated with a political party nor has a direct political mandate.
8. The applicant is not acting in the capacity of a funding body, and thus is not reallocating UWPH funding to another agency.

Other Criteria

1. Funding requests must clearly support the identified priority areas of UWPH's Focus Area Framework (All That Kids Can Be, Poverty to Possibility and Strong Communities).
2. Collaborative initiatives must identify the role of all community partners.
3. Late or incomplete funding applications will not be accepted.

Cost Ineligible for Funding

- Retirement of debts of deficit funding
- Costs for capital expenses or equipment related to construction, or development of facilities
- Alcohol or drugs
- Gifts or honorariums
- International Travel
- Fraudulent Activities

Ineligible Requests

The following types of programs are not eligible for funding from UWPH:

- Primarily cultural programs
Many educational, recreational, and social programs include cultural events. This is not only acceptable, but also desirable. Programs excluded from UWPH allocations are those that are primarily cultural such as theatre, music, museum, or art programs.
- Religious programs

The exception is that funding of programs sponsored by religiously affiliated organizations may be considered provided that a written guarantee accompanies UWPH allocation request stating that the organization's programming is open, unbiased and accessible to all members of the community and that no religious education, no proselytizing, and no attempt at moral suasion will be undertaken as part of the program.

- Medical research
- Medical procedures
- Some categories of health services:
In general, UWPH will only fund health programs that help maintain the ability of individuals to live independently and with dignity in the community, or programs that are aimed at improving overall community health. Such programs may involve educational, rehabilitation, or preventive programs that are not funded by the Canada Health Act. Programs dealing with acute medical problems are usually not funded.
- Program(s)/service(s) for Professional Associations
- Exclusionary programs
UWPH will not fund programs that exclude individuals because of race, ethnic origin, religion, or sexual orientation. Programs specifically aimed at helping groups belonging to a specific race, ethnic origin, religion, or having a specific sexual orientation, will not be automatically excluded. Broadly based programs that are legitimately restrictive such as programs for seniors, youth, poverty, refugees, men's aggression control, and survivors of woman abuse are not excluded from funding.
- Fundraising events or organizations, service clubs and foundations that act primarily to raise funds for distribution to other organizations
- Duplicate program(s)/service(s) in the same geographical area
- Programs that can be fully funded by sources other than UWPH
UWPH does not generally fund programs that are eligible for full funding from alternative sources. Consideration for funding may be available when alternative funding is inadequate, reduced, or being requested.

Please note that UWPH will work with applicants that cannot meet all criteria and may make exceptions where appropriate.

Allocation Processes (New Initiative & Impact Funding)

During the allocation process for Impact Funding and New Initiative Grants, a team of CIAC volunteers complete thorough and comprehensive reviews of all not-for-profit applicants requesting funding from UWPH. The process involves many hours of meetings, discussions, reading, analyzing and review of applications requesting support from UWPH. In the end, the thoughtful funding decisions ensure UWPH supports agencies that are accountable, transparent and both fiscally and socially responsible.

Even though an applicant might meet or exceed expectations on every criterion, UWPH is not always in the position to meet all recognized needs. Once an agency is approved for and accepts funding from UWPH, it is subject to all UWPH policies and allocations procedures and must abide by the UWPH Supported Partner Agreement.

As part of the Community Impact Funding model, UWPH gives everyone in our community an equal opportunity to submit funding requests.

External Application Process

UWPH seeks to invest in programs that are in alignment with the Community Impact Framework and will create positive change in the lives of community members. The Priority areas identified in the Community Impact Framework include 3 Focus Areas that are entitled All That Kids Can Be, Poverty to Possibility, and Strong Communities. UWPH will direct resources to where they are needed most and where they will have the greatest impact on our community.

The outcomes identified in the Community Impact Framework are designed to:

- Address root causes or systemic issues
- Enable evidence-based advancement on identified community needs
- Capitalize on community energy

To advance these priority goals, UWPH invests in programs in terms of people served within our Priority Focus Areas, program outcomes and lives / community that are being changed for the better. Applications submitted must demonstrate how the proposed program will help UWPH to achieve these Community Impact outcomes.

The following steps will be taken in reviewing applications:

1. Receipt by the UWPH

A UWPH staff member will:

- Checks to see that the applicant meets the basic eligibility requirements
- Checks to make sure the application is to the following standard:
 - has been properly completed, all fields have been filled out
 - all the necessary attachments are included in the application
- Incomplete applications or those not eligible will not be reviewed
- Flag applications identified as regional priorities by Regional Community Committee(s).
- Note on internal applications a summary of other current UWPH supports provided.
- Flag applications identified as regional priorities by Regional Community Committee(s).
- Flag applications identified for major gift advancement.

2. Review by CIAC Volunteers

CIAC members review every funding application. Their tasks include:

- Site Visits or Citizen Reviews, when required (refer to [Site Visits & Citizen Reviews Section on page 22](#) for detailed descriptions).
- Considering funding available.
- Considering the funding request to determine:
 - If the request still fits in relation to the UWPH's Community Impact Priority Areas and funding criteria, as identified during EOI review?
 - Upon more detailed review of financial statements, are the organization, collaborative and / or program financially viable and sustainable?
 - Will there be a loss of service in the community if the program is not funded?
- Did the applicant fulfill the condition of submitting a collaborative application)? If not, why? Will the individual application be considered for funding?
- Determining funding recommendations for presentation to the Board of Directors.
- Develop feedback for applicants that were denied funding.
- Determine the following for approved applications:
 - Are there any special conditions on the funding (i.e. additional reporting requirements)?
 - For Impact Funding applicants, is the application approved for full 3-year funding? If not, identify reasons and any necessary requirements to be met to secure additional years' funding.

3. Decision by the Board of Directors

The Board of Directors reviews recommendations made by CIAC for denial and approval of funding.

4. Communication of Decision to Applicant

Following approval by the Board of Directors, all applicants receive electronic and/or written notification of the funding decision.

Internal Application Process

UWPH has many internal Supported Partners that receive funding and in-kind support from UWPH. For consistency within the Community Impact funding model, internal Supported Partners will also be required to submit an application. Internal applications will be for 3-year funding agreements.

Tenant Exception: Since the United Center (UC) building is an asset of the UWPH, the UC Operations will need to submit an Internal application(?). Tenants of the United Center will not be required to submit an application for their in-kind support; however at the end of their lease agreement a review will be done. From that tenant review an in-kind contribution report will be brought forward for review by CIAC on an as needed basis.

Major Gift Advancement Process

Some major gift donors wish to give to a specific program or root cause and /or wish to pledge a major gift over a 3-year cycle. These major gift donors want to see clear results in relation to the gift they provide. In order to accommodate this shift in the expectations of such major donors, UWPH has created a process for advancing some applications which may interest major gift donors.

A major gift donation will be more than sponsoring a community program; it will also be helping to achieve an identified UWPH outcome. The benefit of securing major gift donors will be in making additional funds available for allocation and increased security and fund availability for supported partners. In addition, it will create an opportunity for UWPH to build long-term relationships with the donor.

The result for applicants is that they may be contacted at any time within the application review time period to participate in the major gift advancement process. Notification of successful applications and amount of allocation will be given prior to the start of the annual campaign, after approval from CIAC and the Board of Directors. Any approved advanced application may be used to secure a major gift when there is an appropriate match.

Securing Major Gifts

The number of applications to be considered for pre-approval will be set annually by the Board of Directors, in conjunction with CIAC.

The Board will also determine the minimum donation amount to be considered for the major gift advancement process. This is to ensure that UWPH has an appropriate cost-benefit to securing major gifts for this purpose.

No funds will be sought out or accepted unless they are a match to a Focus Area, Outcome or part of the Community Impact Action Plan Strategies. Decisions on allocation of funds will be approved by the donor within the parameters of UWPH allocations procedures and as recommended by CIAC (with Board approval). The funds donated must be obtained through "ethical" means.

In general, the major gift donor will be listed as a donor to UWPH. However, there may be circumstances when it will be advantageous to co-brand the donation with the major gift donor by stating who the major gift donor is.

The UWPH will act as a liaison between the major gift donor and the organization receiving the funds, and a communication restriction between the two parties will be placed in the terms of Supported Partners Agreement. Additionally, there will be a restriction placed on the major gift donor in regard to the amount of ownership they will be allowed to hold in relation to the project or program they are funding. However, in some cases, the visibility of the donor may be made known which will be done at the discretion of the UWPH.

Co-Funding & Co-Sponsoring Programs

Other Major Gift possibilities will include partial funding of programs (i.e. \$15,000 given by major donor plus an additional \$35,000 from UWPH to fully fund the program). Co-sponsoring may also be considered where multiple major donors make a contribution to fund a program.

Unfulfilled Major Gift Donations

In the event that a major donor does not fulfill the full donation amount that was pledged, the UWPH will take on the liability of covering the costs and fulfilling the funding agreement terms. However, it will be stated in the Supported Partners Agreement that the funding amounts may be reduced if there is a significant reduction in the amount of total donations received.

Regional Community Committee Procedure

Based on community need and UWPH priorities Regional Community Committees will be set up to advise the UWPH Community Impact & Allocations process by ensuring local information and local needs are represented for their respective community.

The Regional Community Committees will perform the following tasks prior to (and in preparation for) the application process:

1. Research current local social issues.
2. Determine fit of identified social issues within the UWPH Framework.
3. Hold community conversations with local residents/organizations to:
 - a. Determine the priority social issues.
 - b. Identify strategies to solve or move the issue forward.
 - c. Invite feedback from service providers to validate priorities.
 - d. Identify potential partners that could address the issues forward with UWPH support.
4. Communicate results to key stakeholders.
5. Contact identified potential partners to encourage their application to the EOI process.
6. Provide supporting information (as identified in the above steps) to potential partners applying in the EOI process.
7. Potential partners would then apply to the regular EOI process.

After full applications are received and approved, the Regional Community Committee will use the advanced application to secure major gifts or donations to match.

Should the committee not reach the fundraising goals, the selected applications may not be funded.

General Timeline	
Month	Task
Prior to July (Application Opens)	Regional Committee will have identified top priorities as well as potential partners to apply.

July	Potential partners complete full application in consultation with the Regional Community Committee.
August	CIAC reviews and recommends approval of full applications to the Board.
September – February	Regional Community Committee and UWPH use the approved full applications to secure required funding.
March	Final approval of funding, if required funding is secured.

Annual Reviews

Programs funded by the UWPH will be reviewed annually at the end of each year of funding. Supported Partners are required to report on the progress of their program/project, the outcomes achieved, testimonial stories for campaign use, and will submit a financial statement for the year. CIAC may request a site visit or citizen review be completed for a Supported Partner to continue receiving funds. This will be completed by a team of CIAC members. Upon review and acceptance of an Annual Review Report, funds will be released for the next fiscal year.

Reduction or Suspension of Funding

Circumstances may require the reduction or suspension of funding for a project/program. UWPH will discuss with Supported Partners the nature of the situation and determine a mutually agreeable method of resolving the issue before reduction or suspension is considered. To invoke the reduction or suspension of funding, a comprehensive Citizen Review of the issue(s) shall be conducted. The purpose of the review shall be to determine the effectiveness and efficiency of the Supported Partner in meeting the needs of the community.

UWPHs Board reserves the right to reduce or suspend funding immediately when:

- major issues are identified in annual review submissions;
- wrongdoing is suspected;
- there is a significant campaign shortfall, or
- there is a clear breach of a UWPH policy.

Site Visits and Citizen Reviews

CIAC teams will be used for both the site visits and citizen reviews. However, the reason and scope for the visits/reviews will vary based on the details below. Each CIAC team will include at least one longer-term member of the CIAC team, to add knowledge and history to the conversations. The longer-term member will be the group leader.

CIAC teams will schedule site visits directly with Supported Partners, and inform UWPH staff of the visit details. CIAC panels will request that the Supported Partners ideally have both a staff person and volunteer present for site visits and citizen reviews, whenever possible.

Site Visits

- The intention of these meetings will be to touch base with Supported Partners to see agency operations, meet agency staff, etc. These visits will allow CIAC volunteers to build relationships and rapport with UWPH Supported Partners.
- Site visits may be held with Supported Partners meeting the following criteria:

- that have not received a site visit within the last 3 years (if the Supported Partner is funded for more than 1 funding cycle)
- that have not previously received funding from UWPH
- that have a new Executive Director
- that have a new strategic plan

Citizen Reviews

- Citizen Reviews will be held with selected agencies each year.
- Citizen Reviews will be held with Supported Partners after funding applications have been submitted. This will allow for the CIAC panel to ask questions specifically regarding the funding application.
- Citizen Reviews may be held with Supported Partners meeting one or more of the following criteria or for any other reason that warrants:
 - that receive 50% or more of their overall budget in funding from UWPH
 - that CIAC has concerns about potential risk areas, financial status, agency direction, etc.
 - that no longer meet funding requirements and/or priorities of UWPH

**Supported Partner Business Practices and General Requirements
(Including human resources, financial, legal and administrative requirements)**

Human Resources Practices

All UWPH Supported Partners receiving UWPH funding are expected to employ good human resources and business practices, including:

- qualifications of workers
- system for assessing the performance of workers
- system for assessing and assuring worker morale
- system for dealing with inadequate workers
- specific measures to improve efficiency
- an appropriately functioning Board of Directors
- an effective working relationship between agency workers and Board of Directors

Financial Reporting and Accountability to Donors

As part of its accountability to donors, UWPH must ensure that the funds it distributes are used solely for purposes defined in the original allocation request and that these funds are used in a cost effective manner. To this end, the UWPH expects an annual statement accounting for all dollars received from UWPH.

A Supported Partner may apply in writing to United Way Perth-Huron to request exemption from the requirement for submission of an audited financial statement if:

- a) the Supported Partner is requesting under \$10,000 in annual allocations from United Way Perth-Huron
- or
- b) the Supported Partner has an annual operating budget of less than \$100,000

If the exemption is approved, the Supported Partner shall be allowed to submit unaudited financial statements, including a Balance Sheet and a Statement of Operating Income and Expenditure. Such unaudited financial statements must have been approved by the Board of Directors of the Supported Partner, prior to submission.

Legal and Administrative Practices

All UWPH Supported Partners will utilize UWPH funds in accordance with current legislation and government regulations (ex. Charities Accounting Act, Advocacy Policy, Governance, etc.)

Where services are provided to vulnerable populations, UWPH Supported Partners must obtain a Police Vulnerable Sector Check (PVSC) for all employees, board members, volunteers and students.

Commitment to UWPH

UWPH Supported Partners must:

- Demonstrate a commitment to the policies outlined in this Community Impact & Allocations Manual.
- Sign and adhere to the UWPH Supported Partner Agreement.
- File all reports as requested by UWPH, strictly adhering to all timeframes and deadlines.
- Supported Partners are required to provide written notification to UWPH whenever the program changes listed below occur:
 - UWPH must be advised immediately of organizational changes which affect a UWPH funded program. UWPH must be advised of the rationale for such changes, implications for current and ensuing years' budgets and implications for other programs.
 - Management level and/or major staffing changes.
 - Fee-for-service changes.
 - Changes to availability of services.
- Return any unused funds to UWPH (as stipulated in the Supported Partners Agreement).

Outcome Measurement (Evaluation of Projects/Programs)

What Is Outcome Measurement?

Outcomes are desired changes in individuals, institutions, community conditions, services, policies, processes, or products as a result of a particular project/program. Achieving desired outcomes contributes to community impact. In its simplest form, measuring and monitoring outcomes is intended to answer one question – Are we really making a difference?

UWPH and its Supported Partners measure the outcomes of strategies to:

- Continuously improve – rethink, change, and adjust strategies, actions and investments
- Provide evidence that change is occurring
- Demonstrate and communicate the impacts of changes on individuals and communities

Measurement Definitions

When setting out to understand and build capacity to measure outcomes, it is important to keep the following definitions and characteristics in mind:

1. The difference between evaluation and measurement:

- Evaluation: Is the process of collecting and synthesizing evidence in order to draw conclusions about the merit of a program, product, policy or plan.
- Measurement: Is the systematic tracking of the extent to which a target group experiences the intended benefits or outcomes that a project/program intends to deliver.

2. The difference between activities and outcomes:

- Activities: What a project/program does with its resources to fulfill its purpose. Activities are actions that are performed to achieve intended outcomes.
- Outcomes: Are the benefits or changes for participants or communities during or after their involvement with a project/program. Outcomes usually relate to changes in awareness, knowledge, attitudes, skills, behaviour or conditions.

3. The difference between project/program, community and organizational outcomes:

- Project/Program Outcomes: Benefits for project/program clients that result from project/program activities. These outcomes may reflect the outcomes of UWPH projects/programs, or they may reflect outcomes of partnerships between UWPH and others. An example of an outcome at this level might include improved education results for students in an afternoon tutoring program.

- Community Outcomes: Are results for groups of people in the community that come about through changes in the community itself – changes in organizations, systems, attitudes, behaviours and policies, neighbourhoods and networks. These outcomes are at a high level and are not owned by any one organization or level of government. An example might include higher graduation rates in a community or a reduction in rates of domestic violence.
- UWPH Organizational Outcomes: Are focused on organizational performance linked to community impact. These might include matters related to organizational alignment, partnership or stakeholder relations. An example might include strong relationships in place with all key government leaders and other stakeholders involved in a key social issues.

4. The difference between good metrics and bad metrics.

A metric is a general unit of measurement or a piece of data.

Good metrics are:

- Practical: Is it possible to collect this data given existing resources?
- Actionable: Will you be able to inform decisions with the data?
- Relevant: Does it answer the “so what” question?
- Controllable: Is it within your sphere of influence?

Development of Measurement Plan and Evaluation Framework

Workshops for developing a refined measurement plan and evaluation framework, which includes tools for measuring indicators, has been developed for Supported Partners. Supported Partners Executive Director and / or Program Manager will be required to attend workshops.

Building a Measurement Plan

Workshop #1

- Step 1. Establish an Evaluation Work Group
- Step 2. Develop a Program Profile
- Step 3. Develop a Theory of Change Model
- Step 4. Identify Key Evaluation Questions

Workshop #2

- Step 5. Identify Indicators
- Step 6. Identify Sources of Data
- Step 7. Select Data Collection Tools
- Step 8. Decide Who Will Collect the Data
- Step 9. Determine When to Collect the Data

Workshop #3

- Step 10. Develop Analysis and Communications Strategy

UWPH is committed to working with Supported Partners throughout development and implementation of the plan. Example indicators for measuring program outcomes will be discussed with Supported Partners upon funding approval and a completed Measurement plan will be required by the end of Year 1 funding.

Programs currently measuring the outcome of their program for another funder may submit their measurement tool for review by UWPH. If outcomes currently being measured fit within UWPH Outcome framework, supported partners may be given an exemption on attending the Measurement Plan workshops. In lieu of a completed measurement plan being submitted at the end of Year 1, approved support partners already measuring outcomes will be required to submit a measurement report.

Payment Schedules

Approved allocations shall be dispensed in instalments. The approved allocation will be paid in full, except when there have been significant changes in the circumstances of the UWPH or the Supported Partner. If the Supported Partner is not using the funds as stated in their approved application for funding, UWPH reserves the right to withhold instalments until UWPH is satisfied that the funds are being used appropriately.

In the event the campaign falls short of its goal in any year and previous commitments cannot be met, appropriate adjustments to Supported Partner allocations will be made regardless of participation in Multi-year Funding Agreements. When any changes are made, the impact on subsequent year(s) will be specified. UWPH will review various options to deal with the shortfall fairly. CIAC will be involved in the process and will present recommendations to the Board of Directors for final decision.

Youth In Action Grants			
Payment Type	Payment Amount	Payment Date	Payment Requirements*
First payment	90%	November	<u>Youth In Action Grant recipients must submit:</u> 1) Signed UWPH Funding Agreement.
Holdback	10%	April 30 th	Payment will be released upon submission of a final project report detailing the intended and actual outcomes, participant numbers, outcome measurement, and the project budget.
New Initiative Grants			
Payment Type	Payment Amount	Payment Date	Payment Requirements*
1 st Quarter	25%	April	<u>New Initiative Grant recipients must submit:</u> 1) Signed UWPH Supported Partners Agreement. 2) Copy or excerpt from the Supported Partner's Board meeting minutes indicating the motion to accept the UWPH Supported Partners Agreement and its terms and conditions. 3) Information requested for marketing purposes.
2 nd Quarter	25%	July	
3 rd Quarter	25%	October	New Initiative Grant recipients submit a completed Total Program(s)/Service(s) Revenues and Expenditures form (normally as part of the application process) to identify up-to-date use of UWPH funding.
4 th Quarter	25% minus holdback	January	
Holdback	10%	July	Payment will be released upon submission of a year-end report detailing the activities and outcomes of the project.

Impact Funding Grants

Payment Type	Payment Amount	Payment Date	Payment Requirements*
Year 1 1 st Quarter	25% Year 1 Allocation	April	<u>Agencies must submit:</u> 1) Signed UWPH Supported Partners Agreement. 2) Copy or excerpt from the Supported Partner's Board meeting minutes indicating the motion to accept the Signed UWPH Supported Partners Agreement and its terms and conditions. 1) Information requested for marketing purposes.
Year 1 2 nd Quarter	25% Year 1 Allocation	July	1. Must have attended Workshop #1
Year 1 3 rd Quarter	25% Year 1 Allocation	October	
Year 1 4 th Quarter	25% Year 1 Allocation	January	Payment will be released upon submission of a Year 1 - Annual Review Report.
Designated Donations**	As specified by donor	March	Payment will be released upon submission of a Year 1 - Completed Measurement plan. UWPH will issue payment once all designated donation amounts have been collected.
Year 2 1 st Quarter	25% Year 2 Allocation	April	Second Year of funding released after CIAC and Board approval of Year 1 - Annual Review Report and Measurement Plan
Year 2 2 nd Quarter	25% Year 2 Allocation	July	
Year 2 3 rd Quarter	25% Year 2 Allocation	October	
Year 2 4 th Quarter	25% Year 2 Allocation	January	Payment will be released upon submission of a Year 2 - Annual Review Report - Outcome measurement report.
Designated Donations**	As specified by donor	March	UWPH will issue payment once all designated donation amounts have been collected.
Year 3 1 st Quarter	25% Year 3 Allocation	April	Third Year of funding released after CIAC and Board approval of Year 2 - Annual Review Report. - Outcome measurement report.
Year 3 2 nd Quarter	25% Year 3 Allocation	July	
Year 3 3 rd Quarter	25% Year 3 Allocation	October	
Year 3 4 th Quarter	15% Year 3 Allocation	January	Payment will be released upon submission of a Year 3 - Annual Review Report - Outcome measurement report.

Designated Donations**	As specified by donor	March	
Year 3 Holdback	10% Year 3 Allocation	April 30 th	The 10% holdback of 3 rd Year funding will be released after CIAC and Board approval of the Final Impact Funding Report. This must include outcomes measurements.

* Or as specifically outlined in the Funding Letter and/or Funding Agreement.

** Designated donations are an option given to contributors who wish to designate their gift to a specific Supported Partner or other Canadian United Ways. Every United Way across the country has different policies and procedures regarding the allocation of designations. UWPH has taken these differences into consideration and has applied the following policies and procedures.

UWPH will accept designated donations to other United Ways and to its Supported Partners. A maximum of two designations per donor will be permitted. While accepting designated donations, the UWPH will encourage donors to contribute directly to their agency of choice. Direct contributions allow contributors and agencies to form a relationship that has the potential to develop over time.

UWPH will issue tax receipts and forward the amount of the designated donation to the appropriate designee. An administrative fee may be deducted to cover UWPH's processing costs.

UWPH will not accept negative donations (e.g. donations that stipulate that the contribution may not be used to support a specific UWPH Supported Partner or program).

Appendix A Transitional Funding Process

UWPH has already begun the transitional funding process for former Member Agencies in anticipation of the transition to a 3-year funding cycle. The CIAC will have the ability to adjust transitional funding amounts for individual agencies based on the need and specific circumstances of an agency.

Former Member Agencies were informed prior to their 2015-2016 funding application that the implementation of the Community Impact Plan may affect the level of funding agencies would receive from UWPH in the next couple years. Therefore, this provided notice to former Member Agencies of the first phase of transitional funding. The 2015-2016 funding year was the second phase of transitional funding. The final phase of transitional funding will be in the 2016-2017 funding year and subsequently will cease to exist which will be 25% of the previous years' allocation amount.

Appendix B

Policy: APPEALS

Policy Type:
EXTERNAL – Community Impact & Allocations

Document Number: All1

Adopted: July 5, 1993
Last Reviewed: August 11, 2015
Approved: August 11, 2015
Next Review: August 2016

Principles

After reviewing funding allocation submissions, there may be times when CIAC determines that an applicant agency would not receive approval for further application and/or funding or that a Supported Partner would be denied or reduced funding from the original funding request/ decision. Funding allocation submissions include:

- Full funding applications
- Required annual review reports (for 3-year Impact Funding Grants)
- Required status reports (specified by CIAC in Supported Partner Agreements)

Every effort will be made by United Way of Perth-Huron (UWPH) to provide the applicant agencies and Supported Partners with the rationale for the allocation decision. However, the applicant agency or Supported Partner will have the right to appeal the decision and be given the opportunity to present all pertinent information to the UWPH Board of Directors and to make known its particular circumstances.

Purpose of Policy

To outline the procedure to be followed:

- (i) by an applicant agency or Supported Partner wishing to appeal their allocation*
- (i) by the staff in responding to such an appeal*
- (ii) by CIAC in responding to such an appeal*
- (iii) by the UWPH Board in responding to such an appeal*

Appeal Procedure

1. Within 30 days of the allocation submission notification, a letter from the Executive Director (ED) or designate of the applicant agency, requesting a review of the allocation decision will be addressed to staff of UWPH. At this time the applicant agency will be asked to address why, in light of the reason behind the CAIC decision, they feel a revisit of their allocation decision is warranted.
2. After acknowledging receipt of the letter, staff will contact the agency within 10 business days and will review decision with the agency ED or designate and clarify decision.
3. If a resolution has not been agreed to, the information will be referred for review to the Community Impact & Allocations Committee (CIAC) Chair within an additional 10 business days, with a request of a detailed report outlining the specific reasons behind the allocation recommendation.
4. After its next scheduled or appropriate meeting, CIAC will advise the Board of its findings.
5. Upon receipt of this CIAC report, the Board President will share this information with the Board President of the applicant agency and extend an offer to meet with the agency.
6. A report will be given to the Board at its next scheduled or appropriate meeting.
7. Should the Board agree with the applicant agency's rationale, CIAC will be directed to adjust the initial allocation recommendation. Funding will come from operational reserves.
8. The applicant agency will be informed of the Board's final decision.

Appendix C

Policy: SUPPORTED PARTNER
SURPLUSES

Policy Type:
EXTERNAL – Community Impact & Allocations

Document Number: All3

Adopted: January 12, 1994
Last Reviewed: August 11, 2015
Approved: August 11, 2015
Next Review: August 2016

Principles

United Way of Perth-Huron (UWPH) shall not contribute to the development or increase of reserve funds when there are so many unmet needs in the community for which funds are not available. The intent of this policy is not to penalize Supported Partners for good fiscal management, rather to ensure that funds are allocated where there is the greatest need.

In theory, a non-profit organization should not budget or operate with a surplus. However, in practice, surpluses and deficits are difficult to perfectly control. A reasonable surplus will not be considered as a factor in the review process of UWPH.

UWPH recognizes each Supported Partner's autonomy to create any one or all of the following restricted or unrestricted funds.

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 Supported Partner has complete control and discretion.

3. Designated Reserve

These are funds set aside by a Supported Partner'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 UWPH as a legitimate practice, revenues to such an account that are the result of program surpluses will be more closely scrutinized by the UWPH.

A Supported Partner's Surplus is Considered Reasonable if:

1. It is an inaccessible Endowment Fund, Restricted Reserve or Designated Reserve.
2. It is part of a capital replacement fund for equipment required as part of UWPH funded programs. UWPH reserves the right to review the need and structure of such a fund. Once UWPH accepts the funds, its review will be limited to ensuring its parameters remain unchanged.
3. It is a budgeted contingency against short-fall in revenues from supplementary fundraising or fee for service. A surplus or contingency in this case will be considered reasonable if it does not exceed an accumulated total of 25%, based on budgeted revenue from these sources only. The value of this

surplus cannot be based on direct funding (i.e. UWPH, any level of government, endowment or reserve funds).

4. It is unplanned as the result of unexpected revenues from supplementary fundraising or fees for service. This surplus will be considered reasonable if it totals less than 25% of the Supported Partner's budget for that year.
5. It is an unrestricted reserve that is less than three months of overall operating costs. In cases where the organization exceeds these limits, UWPH 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 limit.
 - The amount over three months' overall expenses is equal to or exceeding the funding amount requested from UWPH.

Variances to this Definition

UWPH may accept a larger surplus as reasonable under the following conditions:

1. Where one-time fundraising from special expenditures occur in the fiscal year preceding the expense.
2. Where the actual dollar value of the percentages indicated above are below 10% of UWPH's contribution.
3. In new fee-for-service ventures.

Guidelines For Dealing With Surpluses Not Falling Within This Definition

In the event that a Supported Partner cannot justify satisfactorily to UWPH the reason for reserve funds in excess of the suggested amounts, the UWPH reserves the right to withhold any further funding to the Supported Partner.

The UWPH's Community Impact and Allocation Committee (CIAC) will use the following procedure when dealing with surpluses. The audited statement or equivalent and the proposed budget will be the basis of the review. However, CIAC may use past submissions of the Supported Partner or the statements of similar agencies for comparison.

1. Review the accumulated surplus at least one month before the Supported Partner approval dates and determine whether it is 'reasonable'. Approvals include: Expression of Interest (EOI) applications, full funding applications and annual reviews.
2. If it is not considered reasonable, immediately inform the Supported Partner.
3. Consider any special circumstance that would explain or reduce this surplus.
4. If the surplus still cannot be justified, the committee will consider the surplus as a factor in deciding the allocation. The Committee may then discount the base allocation by part or the entire surplus to determine the current year's actual allocation. A written explanation of the formula used and the committee's rationale will accompany the recommendation.
5. Money not allocated as a result of surpluses shall be used to support other community initiatives as approved by the Board of Governors.

Appendix D

Policy: CASH ADVANCES TO SUPPORTED PARTNERS	Policy Type: EXTERNAL - Community Impact & Allocations
Document Number: All4	Adopted: April 1992 Last Reviewed: August 11, 2015 Approved: August 11, 2015 Next Review: August 2016

Principles

Monies allocated to each Supported Partner from the amount received during the United Way of Perth-Huron (UWPH) campaign are paid in four equal, quarterly payments (minus holdbacks) yearly. This system treats all Supported Partners fairly, gives UWPH an opportunity to manage the cash flow of payroll donations and allows all Supported Partners to establish a reasonable timetable of expected income and expenditures.

Advances on these quarterly payments could allow one Supported Partner to receive an advantage over the others. However, the Community Impact & Allocations Committee (CIAC) should be allowed to recommend assistance when an unexpected financial emergency occurs that does not change the original parameters of the program for which funding was granted.

Purpose of Policy

When will CIAC consider requests for advances?

1. During a 3-year Impact Funding Grant, within the current fiscal year of funding.
2. During a 1-year New Initiative Grant.
3. When there are short-term delays in other sources of funding for UWPH funded programs.
4. When abnormal community needs require a Supported Partner to adjust its schedule of expenditures (e.g. tornado or other emergency).
5. If a special situation arises where goods and services budgeted within the current fiscal year can be acquired at a lower price if purchased earlier.

Request Procedure

1. A written request from the Executive Director and their Board President/Chair for an advance will be reviewed by staff within 10 days of receipt.
2. The letter of request should indicate the reasons for the request with supporting documents as appropriate.
3. Where other funding has been delayed, the request should be accompanied by confirmation from those funding groups as to when those funds will be available.
4. A brief projected cash flow for the rest of the year reflecting impact of the requested advance.
5. UWPH staff will review the request to ensure compliance with the conditions of this policy. Upon compliance staff will inform CIAC, including confirmation that funds are available for the requested advance.
6. CIAC must forward their recommendation for final approval to the Board Treasurer and a majority of the Executive of UWPH who will stipulate the rate of interest to be levied.

Conditions of an Advance

1. Normally, no advance may be made on the last quarterly payment (the total of all payments including advances should never exceed 75% of the total Campaign allocation before the final payment is due). Last quarter advances must be approved by the CIAC committee and the Board.

Rationale: The last payment should be withheld to avoid overpayment in the event that actual donations fall short of pledges. The last payment should be withheld to ensure annual reviews are approved prior to advancement into the second or third year of Impact Funding Grants.

2. No advance should exceed a regular quarterly payment.
3. The next regular payment will automatically be adjusted to reflect the advance.

4. An interest rate not less than that received by UWPH from our savings account will be levied against all advances.

Situations That Are Not Addressed By This Policy

1. Funds requested to increase program size or scope.
2. Funds for unexpected expenditures.
3. Loss of other sources of funding.
4. Assistance for recurrent cash flow problems related to normal expenditures.

Rationale: Situations such as these reflect program problems beyond the mandate of the Supported Partner's agreement with UWPH and cannot be dealt with by CIAC. Supported Partners may request additional emergency funding or short-term loans under a separate policy from the Emergency Fund of the Board.

5. Any situation not identified above will be reviewed by CIAC