

**United Way**  
**of Sarnia-Lambton**  
**Policy and Procedure**  
**Manual**



**United Way**  
**Sarnia-Lambton**  
theunitedway.on.ca

**January 2019**

# United Way of Sarnia-Lambton Policy Manual

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## GENERAL PHILOSOPHY

## **PURPOSE OF THE MANUAL**

To consolidate the Policies, as set by the Board of Directors of the United Way of Sarnia-Lambton ("The Corporation" or "The United Way") regarding the fulfillment of the United Way in achieving its mandate.

## **AMENDMENT**

Any change by way of addition or deletion to the policies and procedures outlined in this manual have been made by way of motion to the Board of Directors and approved in accordance with the by-laws of the United Way of Sarnia-Lambton. This Policy and Procedure Manual will be updated on a regular basis.

## **THE UNITED WAY GOAL**

The goal of the United Way is to provide the means by which a cross section of citizens and agencies, governmental and voluntary, may join in a community-wide effort to deliver efficient human service programs effectively related to existing and emerging community needs. (Standards of Excellence.)

## **UNITED WAY OF SARNIA-LAMBTON CORE BUSINESS STRATEGIES**

The United Way of Sarnia-Lambton has focused its efforts on its two core businesses; Resource Development, (amended April 2004), and the Community Investment Process. The United Way will not provide any direct service other than those contained within its core business strategy; ie: Outcomes Training, Day of Caring, etc.

The United Way philosophy is that if a need for service exists in Sarnia-Lambton, the United Way of Sarnia-Lambton may fund the service, but not provide or administer it. The United Way may tender the community to locate a service provider. A recent example would include the Youth Tendered Program for the youth programs at both Our House and Friendship House.

**THE UNITED WAY OF SARNIA-LAMBTON MANDATE** (as revised April 2004)

*To generate resources enabling the  
Community to respond to Human Care  
Priorities in Sarnia-Lambton and to measure and improve the effectiveness of  
these invested resources*

**UNITED WAY OF SARNIA-LAMBTON OBJECTIVES**

**FUNDRAISING**

To be the leader; the pacesetter in the community

**COMMUNITY INVESTMENTS (ALLOCATIONS)**

To reflect the Customer and Community Needs

**BOARD/ADMINISTRATION**

To generate the most money for community services as possible in an effective and low cost manner

**RESOURCE ISSUES**

To provide direct and indirect services to our community reflective of the mandate stated above

Please note the goals for each of the Impact Areas (Approved fall 2017):

■ **Healthy, Resilient, Successful Kids**

Key Elements: Primary School Readiness/Low Absenteeism  
Nutrition  
High School Readiness  
Criminal Involvement

Community Indicators: Secondary School Graduation Rates  
Youth Crime Rates

■ **Healthy, Safe and Independent Seniors**

Key Elements: Home Safety & Fall Prevention  
Nutrition  
Health  
Economic and Social Wellbeing

Community Indicators: Seniors aged 90+ living at home  
Hospital visits for fall injuries

Seniors Living at home are able to meet their basic living needs

■ **Empowering and Strengthening Self Sustaining Families**

Key Elements:       Physical Health  
                              Financial Health  
                              Mental Health

Community Indicators:   Reduced time on Social Assistance  
                                      Low Income Instances amongst Families

**United Way of Sarnia-Lambton Value statement**

Revised, and approved by email resolution dated: February 14, 2019  
(11 for, 0 against – Motion Carried)

The United Way of Sarnia-Lambton has adopted the current values of the United Way Centraide Movement and are to:

- Demonstrate trust, integrity, respect, inclusivity, and transparency
- Energize and inspire volunteerism and volunteer leadership
- Endorse innovation, partnerships, and collective action
- Provide non-partisan leadership
- Embrace diversity

## **SECTION 1**

### **BASIC ORGANIZATION**

"The United Way believes that volunteer creativity and ingenuity multiply the value of the dollars available to the voluntary sector"

### **STANDARDS OF EXCELLENCE**

#### **A MEMBERS OF UNITED WAY OF SARNIA-LAMBTON**

1. Any individual over the age of twenty-one years or any corporation or unincorporated association paying the minimum sum of one dollar, receipt of which is issued by the Corporation, shall become a Member of the Corporation until the end of the calendar year following the date of the receipt.
2. Any corporation or unincorporated association which is a Member of the Corporation may, by written designation filed with the secretary of the Corporation, nominate a representative to attend Member meetings of the Corporation and to vote on behalf of the Corporation or unincorporated association, for so long as they are Members. No one person may represent more than one Corporation or unincorporated association.
3. In addition, the Directors of the Corporation may by resolution admit others to membership effective the date specified in the resolution and for the period fixed by the resolution.
4. The interest of a Member in the Corporation shall not be transferable and shall cease on death or when the period of membership expires or by resignation or otherwise in accordance with the bylaws of the Corporation. Any Member may resign from membership on notice in writing to the Corporation.

#### **B. BOARD OF DIRECTORS**

##### **1 COMPOSITION**

To be made up of 12 elected members and 3 appointed members from the community representing Lambton County.

The three appointed members are Campaign Chair, Community Investment Chair, and the Labour Relations Chair.

## **2 TERMS OF OFFICE**

Unless serving on the Executive Committee at the end of a total consecutive term of six years, a Board Member would have to retire from the Board for at least one year. If a Member of the Executive Committee, the Member may continue to serve but may not exceed a consecutive Board term of more than 10 years.

Each January, every Board Member will be asked to submit their intentions regarding whether or not they wish to remain on the Board and commit to another one year term.

## **3 ELECTION AND VACANCIES**

The election of the Board of Directors may be by a show of hands unless any Member demands a ballot. The members of the Corporation may be by resolution passed by at least two thirds of the votes cast at a general meeting of which notice specifying the intention to pass such resolution has been given, remove any Director before the expiration of his/her term of office and may by a majority of the votes cast at that meeting elect any person in their stead for the remainder of the term.

Vacancies on the Board of Directors, however caused, may, so long as a quorum of Directors remain in office, be filled by the Directors from among the qualified members of the Corporation if they shall see fit to do so (any Director so appointed to hold office for the remainder of the term of the Director vacating office). Otherwise such vacancy shall be filled at the next annual meeting of the members at which Directors are elected but if there is not a quorum of Directors, the remaining Directors shall forthwith call a meeting of the members to fill the vacancies. If the number of Directors is increased between the terms, a vacancy or vacancies to the number of the authorized increase shall thereby be deemed to have occurred which may be filled in the manner above provided.

## **4 CONFLICT OF INTEREST**

### **INTRODUCTION**

The policy on conflict of interest applies legally to employees, directors and other volunteers of the United Way of Sarnia-Lambton.

### **DEFINITION**

Conflict of interest is a broad term used to describe situations where the actions, choices, or personal circumstances of directors, other volunteers, or employees, actually or potentially place their private, personal or other interests, in competition with or in opposition, to those of the United Way of Sarnia-Lambton.

## **UNCLEAR SITUATIONS**

Individuals, who are uncertain about whether or not their personal circumstances create a conflict, are urged to obtain clarification as appropriate from the President, or the Executive Director of the United Way. Either the President or Executive Director may consult with the Executive Committee or any others on the Board if he/she deems it necessary.

## **RECOMMENDED PRECAUTIONS**

As a United Way of Sarnia-Lambton Board Member, other volunteer, or employee, you are required to:

- a) Refrain from using his/her position or knowledge for personal gain, for the gain of his/her family or friends, or for the gain of another organization he/she may be involved with.
- b) Avoid being interested, directly or indirectly, in any manner whatsoever, in any contract, lease, concession or other agreement to or in which the United Way of Sarnia-Lambton is a party or has an interest.
- c) Refrain from doing business with, or soliciting business from, the United Way of Sarnia-Lambton.
- d) Consider whether or not his/her position in another organization (including both commercial and non-profit organizations) conflicts or competes with his/her role in the United Way of Sarnia-Lambton and/or whether or not the aims and objectives of the other organizations are in conflict or competition with those of the United Way of Sarnia-Lambton.
- e) Report any actual or potential conflict as appropriate to the President or Executive Director. This pertains to any conflict, however marginal from which personal or family benefit might be or might be seen to be derived. This also applies to any situation in which conflict or competition with outside affiliation might occur or be seen to occur. Any conflict or potential conflict should be brought to the attention of the Board. The individual must refrain from voting on any issue in which the conflict arises.



## **DISIPLINARY ACTION**

An employee, Board Member or volunteer may be dismissed for failure to:

- \* Disclose a conflict, or
- \* Take appropriate remedial action as directed by the President or Executive Committee.

### **Some cases may warrant civil or criminal proceedings.**

Only the Board of Directors has the authority to determine the course of action to resolve any conflict of interest.

## **5 QUORUM**

Five Directors shall constitute a quorum for the transaction of business. (Meetings of the Board of Directors and of the Executive Committee outside of Ontario.) No formal notice of any such meeting shall be necessary if all the Directors are present or if those absent have signified their consent to the meeting being held in their absence. The President or a Vice-President or any two Directors may convene a meeting of the Directors at any time and the Secretary, by direction of the President or a Vice-President or any two Directors shall convene a meeting of Directors. Notice of any such meeting shall be delivered, telephoned or telegraphed to each Director not less than one day before the meeting is to take place. The statement of the Secretary or President that notice has been given pursuant to this by-law shall be sufficient and conclusive evidence of the giving of such notice. The Board may appoint a day or days in any month or months for regular meetings at an hour to be named and of such regular meeting, no notice need be sent. A Directors' meeting may also be held without notice immediately following the Annual General Meeting of the Corporation. The Directors may consider or transact any business either special or general at any meeting of the Board.

## **6 VOTING**

A majority shall decide questions arising at any meeting of Directors. In case of an equality of votes the President, in addition to the original vote, may cast a second vote. The First Vice-President or such other Director as the Board may from time to time appoint for that purpose may perform the President's duties.

## **7 POWERS OF THE BOARD OF DIRECTORS**

The Directors of the Corporation may appoint an Executive Committee from among their number and may delegate to such Executive Committee all powers of the Board of Directors between meetings of the Board of Directors.

The Directors of the Corporation may from time to time appoint such other committees from amongst their number or from the members of the Corporation and may prescribe their duties.

The Executive Committee and any other committee, so appointed by the Board of Directors, may meet for the transaction of business, adjourn and otherwise regulate their meetings, as they think fit. Until otherwise determined by the Board of Directors, three members of a committee shall be a quorum. Questions arising at any, meeting of a committee shall be decided by a majority of votes and in case of an equality of votes the chair shall have a second or casting vote.

For a more detailed description of the Roles and Responsibilities of Board Members, please refer to Appendix A

## **8. PROTECTION OF DIRECTORS**

Every Director or Officer of the Corporation or other person who has acted on behalf of the Corporation, and their heirs, executors and administrators, and estate are, indemnified and saved harmless, out of the funds of the Corporation, from and against;

- a) All costs, charges and expenses, sustained or incurred in or about any action, suit or proceeding which is brought, commenced or prosecuted against them for or in respect of any act, deed, matter or thing whatsoever made, done or permitted by him in or about the execution of the duties of his office or in respect of any such Liability; except such costs, charges or expenses occasioned.
- b) All other costs, charges and expenses which he sustains or incurs in or about or in relation to the affairs thereof, except such costs, charges or expenses as are occasioned by his own willful neglect or default.

## **9      FINANCIAL**

No Director or Officer of the Corporation shall be liable for the acts, receipts, neglects or defaults of any other Director or Officer or employee or for joining in any receipt or act for conformity or for any loss, damage or expense happening to the Corporation through the insufficiency or deficiency of title to any property acquired by order of the Board of Directors for or on behalf of the Corporation or for the insufficiency or deficiency of any security in or upon which any of the moneys of or belonging to the Corporation shall be placed out or invested or for any loss or damage arising from the bankruptcy, insolvency or tortuous act of any person, firm or Corporation with whom or which any moneys, securities or effects shall, be lodged or deposited or for any other loss, damage or misfortune whatever which may happen in the execution or supposed execution of the duties of his respective office or trust or in relation thereto unless the same shall happen by or through his own, willful act or his own will find default.

**C. OFFICERS OF THE CORPORATION**

As per Letters Patent Dated October  
11, 1957

For a more detailed description of the Roles and Responsibilities of Board Members, including the Officers of the Corporation, please refer to Appendix A.

1. The Officers of the Corporation shall consist of a President, a First Vice-President, one or more other Vice-Presidents, an Honorary Secretary, an Honorary Treasurer, a Secretary and a Treasurer to be elected or appointed annually by the Directors. The Board of Directors appoints the Treasurer. None of the Officers except the President and the Vice-Presidents need be a Member of the Board of Directors. The same people, who may act as the Secretary-Treasurer may at the discretion of the Directors, hold the offices of Secretary and Treasurer. The Directors may appoint Officers and agents as necessary to perform such duties as prescribed by the Directors.

For a more detailed description of the Roles and responsibilities of Board Members, including those of the Executive Committee, please refer to Appendix A.

2. All officers shall be subject to removal by resolution of the Board of Directors at any time with or without cause.
3. In the case of the absence or inability to act of the President, the first Vice-President or any other Officer of the Corporation, the Directors may delegate all or any of the powers of such officer to any other Officer or to any Director for the time being, provided that a majority of the board of Directors concurs therein.
4. The President shall preside at all meetings of the members of the Corporation and of the Board of Directors. The President shall also be charged with the general management and supervision of the affairs and operations of the Corporation. The President shall sign all instruments which require the President's signature and shall perform all duties incident to the office and shall have such other powers and duties as may from time to time be assigned to him/her by the Directors.

**The President is responsible for organizing the following meetings:**

- (a) Orientation and Training for Board members.
- (b) Policy and Planning Session, to set Direction and action for the Board and to review the Boards past year's performance.
- (c) Executive Committee meets as required.
- (d) Evaluation of the Executive Director' Job Performance on an annual basis.

5. The First Vice-President shall be vested with all the powers and shall perform all the duties of the President in the absence or disability, or the refusal to act of the President. The Second Vice President, if any, shall have such powers and duties as may, from time to time, be assigned by the Directors and shall have a vote at all Board meetings.
6. The Secretary shall supervise the recording secretary of all Board meetings, shall have charge of the minute books of the Corporation and the documents and registers required by the OBCA and shall perform such other duties, as the Board of Directors require.
7. The Treasurer shall have the care and custody of the funds and securities of the Corporation and shall deposit the same in the name of the Corporation in such banks or with such depositories as the Board of Directors may direct and shall perform such other duties as the Directors require. The Board may bond the Treasurer for the faithful performance of duties.
8. If any one or more of the offices of the President, Vice-Presidents, Secretary or Treasurer shall become vacant, the Directors by resolution may elect or appoint an Officer to fill the vacancy.

**D     POWERS OF THE EXECUTIVE DIRECTOR**

The Executive Director of the Corporation may administer the affairs of the Corporation in all things including contracts which the Corporation may lawfully enter into and may exercise all such other powers, acts, and things as the Corporation is authorized to exercise and do so in accordance within the policy set by the Board of Directors, and the annual budget as set by the Board of Directors.

The Executive Director is expressly empowered to purchase, lease or otherwise acquire, sell, exchange, or otherwise dispose of assets/equipment used in the daily operations of the United Way of Sarnia-Lambton. The Executive Director manages the day to day operation of the United Way of Sarnia-Lambton consistent to the Direction, Policies and Donor Bill of Rights as approved by the Board of Directors.

The Board of Directors may delegate a specific task to the Executive Director.

For a more detailed description of the Roles and Responsibilities of the Executive Director, and other Senior Staff, please refer to Appendix A.

**POWERS OF THE BOARD OF DIRECTORS**

The Board of Directors is empowered to purchase, lease, or otherwise dispose of shares, stocks, warrants, options and other securities, lands, buildings and/or other property, movable or immovable, real or personal, or any right or interest owned by the Corporation for such consideration and on such terms and conditions as they may deem advisable in accordance within the policy set by the Board of Directors, and the annual budget set by the Board of Directors.

**UNITED WAY OF SARNIA-LAMBTON LIAISON DIRECTOR POLICY**

**Liaison Director Policy**

**Updated!**

**As a result of the United Way of Sarnia-Lambton Impact Model of Funding, The United Way Board of Directors eliminated the need for Liaison Directors and as a result, the Liaison Director Policy as abolished.**

**Board of Directors Meeting, June 22, 2009**

## Personnel

### Application for Employment

Applications for employment for all positions, other than Executive Director, shall be made in writing to the Executive Director, who shall have the responsibility for hiring. Applications for the position of Executive Director shall be made in writing to the Chair of an appointed Selection Committee. The Executive Director shall be hired by the Board of Directors. Employment for all positions shall be confirmed by a letter or contract stating the conditions of employment.

### Probationary Period

Unless otherwise stated in a contract, the first six months of employment shall be considered a probationary period for all employed. During this period, employment may be terminated at will by either the employee or the Executive Director. After this period, termination of the employment shall be subject to the conditions of this policy (see Termination of Employment), and the employee shall be deemed to be a regular employee from the date of employment.

### Employees other than Full-time

1. Occasional Employment; Occasional or temporary staff may be employed by the hour, day, or week. Such employees will not qualify to receive employee benefits beyond statutory requirements.
2. Part-time Regular Employment: When such employment is for 24 hours or less per week, the employee shall not be eligible for other than statutory benefits. When such employment is more than 24 hours per week on the yearly average, the employee's benefits shall be governed by the collective agreement.
3. Other Employees: Other employees who may be employed by the United Way of Sarnia-Lambton include grant employees, project personnel, and students whose salary and benefits shall be determined by contract with the individual or by agreement with the Grant Provider.

### Hours of work

Hours of work and overtime shall be determined in accordance with a contract or agreement with the Executive Director under which the employee is engaged for services. Generally, the Hours of Operations for the United Way of Sarnia-Lambton are 8:30 AM – 4:30 PM.

### General working conditions

The current Employee Manual shall provide direction of conditions of work including statutory Holidays, Vacations, expense allowance, etc, unless covered by personal contracts as maybe the case with management staff at the United Way of Sarnia-Lambton.



## **Termination of Employment**

**Resignation:** An employee resigning from the Corporation shall so advise the Executive Director in writing. Notice periods shall be governed by the employees' contract or agreements.

**Dismissal:** All termination notice requirements shall be defined by the Employment Standards Act or the dismissed employee's contract or agreement. All terminations shall be made by the Executive Director. The Executive Director may consult with the Executive Committee or Outside legal counsel.

**Retirement:** The normal retirement age shall be 65 years and this shall be implemented at the discretion of the Board.

## **Annual Performance Appraisals, Goal Setting, Career Counseling**

Appendix A covers the Performance Management processes and tools of Performance Appraisals and Performance Reviews and the career Counseling process of Developmental Dialogues.

This policy was approved by the United Way of Sarnia-Lambton Board of Directors on June 8, 2000.

## **PERFORMANCE MANAGEMENT PROCESSES**

The staff HR Management processes will initially be between the President with the Executive Director; and then between the Executive Director with the Community Investment and Finance Director and the Resource Development Manager.

The basis for the Performance Management processes is the Board approved annual Business Plan and current Long Range Plan.

Key, mutually agreed upon, longer term Program Outcome Goals and annual Program Outcome Objectives, would be developed annually, in the 1st Quarter, for employees, with Program Outcome Objective Measures/Indicators for the Campaign & the Community Investment Programs.

Job performance is subsequently measured one year later, on the basis of the actual Program Outcome Measures/Indicators for the agreed to Program Outcome Goals & Objectives.

## **PERFORMANCE APPRAISALS**

Performance Appraisals are brief statements of an individual's results achieved in the last 12 months, measured against the Program Outcome Objective Measures/Indicators mutually agreed upon one year previously.

Results should summarize the overall quality of performance, which individual Program Outcome Objectives were achieved, and which were not achieved. The circumstances under which an Objective was not achieved should be noted.

## **PERFORMANCE REVIEWS**

Performance Reviews are really short progress reviews. They provide an opportunity to monitor progress, & make changes, additions, or deletions in the Program Outcome Objectives, if appropriate. Performance Reviews should be done at least once a year during the 12 months, or as required. Any important items covered in the Performance Review should be noted.

## **CAREER COUNSELLING**

Staff Career Counseling Developmental Dialogues are done annually with all full time staff. The President does the Career Counseling with the Executive Director, followed by the Executive Director with the other full time staff.

## **DEVELOPMENTAL DIALOGUES**

The annual 1st Quarter Developmental Dialogue is an opportunity for the Executive Director & full time staff members to mutually identify those parts of the job where more training, instruction, or information would make the job easier to do. More effective job performance should be the benefit.

## **SALARY ADMINISTRATION AND RANGES**

The Human Resource Management issues indicated above will be used to determine salary adjustments for Management Staff at the United Way of Sarnia-Lambton. The current salary range, by way of motion shall be updated annually based on both the Consumer Price Index, and the United Way of Canada Salary Survey, (completed every two years). In addition, the existing ranges shall be adjusted once the United Way of Sarnia-Lambton becomes a Metro III United Way when its total campaign exceeds the \$2,000,000 mark as defined by United Way of Canada.

Note: This process is to be reviewed in the fall of 2011 by way of Board Motion as indicated at the June 13, 2011 Board Meeting. Update: Ranges were re-developed as indicated.
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## UNITED WAY OF SARNIA- LAMBTON

### DONOR BILL OF RIGHTS

**On April 18, 2018, the United Way of Sarnia-Lambton Board approved the Donor Bill of Rights as developed by the Association of Fundraising Professionals as outlined below.**

- I To be informed of the organization's mission, of the way the organization intends to use donated resources, and of its capacity to use donations effectively for their intended purposes.
- II To be informed of the identity of those serving on the organization's governing board, and to expect the board to exercise prudent judgment in its stewardship responsibilities.
- III To have access to the organization's most recent financial statements.
- IV To be assured their gifts will be used for the purposes for which they were given.
- V To receive appropriate acknowledgement and recognition.
- VI To be assured that information about their donations is handled with respect and with confidentiality to the extent provided by law.
- VII To expect that all relationships with individuals representing organizations of interest to the donor will be professional in nature.
- VIII To be informed whether those seeking donations are volunteers, employees of the organization or hired solicitors.
- IX To have the opportunity for their names to be deleted from mailing lists that an organization may intend to share.
- X To feel free to ask questions when making a donation and to receive prompt, truthful and forthright answers.

## PRIVACY POLICY

Approved, April 16, 2018

This policy outlines UNITED WAY OF SARNIA-LAMBTON'S commitment to respecting the privacy of personal information of individual persons and explains how we collect, use, protect and disclose personal information. This includes the personal information of donors, prospective donors, board members, volunteers, individuals who engage with us on community initiatives, and our staff.

This policy governs the activities of UNITED WAY OF SARNIA-LAMBTON. UNITED WAY OF SARNIA-LAMBTON is an autonomous organization, legally separate from United Way of Canada and other United Ways. While all United Ways share a commitment and respect for personal information privacy, details on how each United Way does so can be obtained by contacting the United Ways individually.

### Our Commitment to Protecting Your Privacy

UNITED WAY OF SARNIA-LAMBTON recognizes that we rely on the support of hundreds of thousands of individuals who engage with us in support of their community. We recognize that information is precious, and our supporters trust us to treat their information with respect for their privacy and a commitment to protecting the confidentiality of data. It is essential that we protect the privacy of the personal information individuals may choose to share with us or that we may gather by other lawful means.

### What is Personal Information?

Personal information refers to information about an identifiable individual, but excludes certain business contact information, specifically name, title, business address or telephone number of an employee of an organization. From time to time, UNITED WAY OF SARNIA-LAMBTON may, acting reasonably, collect information about identifiable individuals from published or public sources for the purposes of developing relationships with individuals.

The areas in which UNITED WAY OF SARNIA-LAMBTON collects and uses personal information in accordance with this policy are principally, but not limited to:

**Community:** UNITED WAY OF SARNIA-LAMBTON's work to improve social conditions involves working with individuals acting on their own initiative or as representatives of community agencies, governments and other partner organizations that share common social objectives. UNITED WAY OF SARNIA-LAMBTON gathers and uses personal information to keep individuals informed about relevant UNITED WAY OF SARNIA-LAMBTON activities and work, and with permission may share personal information with others who share similar social objectives and a desire for networking. UNITED WAY OF SARNIA-LAMBTON also gathers and uses personal information to provide professional development programs in the sector and with permission, shares personal information with previously identified program partners or vendors for the purposes of conducting program activities.

**Donations:** UNITED WAY OF SARNIA-LAMBTON will collect and use personal information necessary to process donations and payments, redirect a donation or any part of a donation to another charity as instructed by the donor, issue tax receipts, confirm renewal of giving and maintain a donation history, keep donors informed about giving opportunities and the work of UNITED WAY OF SARNIA-LAMBTON, acknowledge and recognize donations, and comply with federal and provincial regulatory guidelines and reporting requirements.

**Workplace Campaign Participation:** UNITED WAY OF SARNIA-LAMBTON supports workplace organizations who wish to run internal employee giving campaigns. UNITED WAY OF SARNIA-LAMBTON may be provided with employee names, business contact

information and other employee-related information in order to provide personalized campaign pledge tools, whether using paper pledge forms or secure online links, to carry out a workplace campaign. UNITED WAY OF SARNIA-LAMBTON will work with organizations delivering workplace campaigns to determine data needs that ensure an optimal experience for employees and which also meets the organization's personal data management policies. The data provided to UNITED WAY OF SARNIA-LAMBTON is used only for the purposes of setting up the pledge tools. If the employee chooses to make a donation, UNITED WAY OF SARNIA-LAMBTON will retain personal information provided directly by the donor and any associated workplace employment information required to manage the donation. If the employee chooses not to make a donation or request further information, UNITED WAY OF SARNIA-LAMBTON does not retain any information provided by the workplace. In some situations, the workplaces run campaigns that reach beyond employees to include other related individuals such as retirees or contractors. UNITED WAY OF SARNIA-LAMBTON follows the same practices in working with organizations in these situations as with employees.

**Volunteering:** UNITED WAY OF SARNIA-LAMBTON will collect and use personal information to establish and maintain the volunteer relationship, assist volunteers in performing their volunteering roles and responsibilities, and keep them informed about relevant UNITED WAY OF SARNIA-LAMBTON activities and the work of UNITED WAY OF SARNIA-LAMBTON.

**Event Participation:** UNITED WAY OF SARNIA-LAMBTON will collect and use personal information necessary to communicate with individuals about events, contests and promotions that they participate in, issues concerning related transactions, information about other events that they may be interested in and the work of UNITED WAY OF SARNIA-LAMBTON, to recognize participation and award prizes, and to comply with federal and provincial regulatory guidelines and reporting requirements.

**UNITED WAY OF SARNIA-LAMBTON Employees:** UNITED WAY OF SARNIA-LAMBTON collects and uses personal information to establish, maintain, administer and terminate the employment relationship including ongoing obligations regarding benefits, medical history and pension as may be required by the UNITED WAY OF SARNIA-LAMBTON employee benefits provider.

## **OUR PRIVACY PRINCIPLES**

The following principles reflect our pledge to protect the privacy of your personal information:

### **Accountability**

We are responsible for all personal information in our possession, including any personal information transferred to third parties for handling or administrative purposes.

We keep your personal information in strict confidence. All employees, agents (including authorized volunteers) and authorized service providers of UNITED WAY OF SARNIA-LAMBTON are required to protect the confidentiality of your personal information.

Where we choose to have certain services, such as data processing, provided by third party service providers, we select the service providers carefully. We take all reasonable precautions to ensure that the service providers protect your personal information. These service providers enter into agreements with UNITED WAY OF SARNIA-LAMBTON that confirm they have privacy and security standards comparable to our own.

### **Identifying Purposes**

We collect, use and disclose personal information only for certain purposes that we identify to you. The purposes for which personal information is collected will be identified at the time the information is collected.

With your consent, we collect information about you for various purposes, including the following:

- Establish your identity.
- Administer your involvements with us, including your donations, event participation, community engagements, volunteering, or employment, and contact you about your continued involvement.
- Know who our donors, volunteers and other supporters are in order to manage and develop our resources to fulfill our mission to serve the greater good of the community.
- Respond to your information requests.
- Periodically, as we are able, send you literature on United Way or invite you to events or information sessions that are aligned with your interests.
- Thank you and, with your consent, publicly recognize your financial or non-financial contributions.
- Generate statistics and aggregate reporting to help us and our partner organizations understand where we can have greater impact on the community.

- Meet legal and regulatory requirements.

### **Consent**

We obtain personal information about you lawfully and fairly. We collect, use or disclose your personal information with your permission, except where otherwise required or permitted by law.

Your permission may be expressed (orally, electronically or in writing) or may be implied (by an action or inaction). To be clear, UNITED WAY OF SARNIA-LAMBTON will not buy, sell, or trade lists with and from other organizations including with agencies that may be designated to.

You may withdraw your permission to the use and disclose your personal information at any time. We will comply, subject to legal, contractual or technical restrictions. For example, if you ask to not receive any mail from us, we will do our utmost to take steps to suppress donation requests or general information, but we will still mail you a tax receipt for a donation or follow up of your outstanding payments against your pledged donation. Due to printing and distribution schedules, you may continue to receive some communications that were in process before we received your request. If there are various options to how we may handle your request, we will explain the options so that you can choose how you wish us to handle your request.

### **Limiting Collection**

Personal information collected will be limited to that required for the purposes identified by us.

### **Limiting Use, Disclosure and Retention**

We use your information for the purposes identified to you. When we intend to use your personal information for a purpose not identified to you when the information was collected, we will identify the new purpose and obtain your permission prior to use.

We do not sell or trade your personal information.

We disclose your personal information in the following circumstances:

- In the case of donors giving through their workplace, your workplace has access to certain personal information in the execution of the Employee Campaign. UNITED WAY OF SARNIA-LAMBTON is respectful of the donor's right to privacy and works with the individuals responsible for the Employee Campaign to limit with whom we share the information, and to only share information necessary for the purposes of the campaign. For example, if you make a donation by payroll deduction, we may provide the information necessary to correctly identify you on your payroll system and the amount of your donation to deduct from your pay. Furthermore, employers may have internal policies on their access and use of employee personal information; United Way respects and works within the requirements of your organization's policies.
- We may share information with other United Ways if we administer a donation belonging to another United Way community. We may disclose your information only to the specific United Way involved in your donation.

- If you designate your donation to another charity, we will not provide your name or workplace if the donation is part of an Employee Campaign. If requested, we will provide the donor with a letter confirming receipt and instructions relating to the donation. The Donor may choose to forward a copy of this letter to the agency designated if he/she chooses.
- We may contract with carefully selected third parties to perform services for us or on our behalf. When we select the third parties, we ensure that they use security and privacy standards comparable to our own.
- Where a third party hosts an event using UNITED WAY OF SARNIA-LAMBTON's systems to register participants, your information may be shared with the host solely for the purposes of managing the event and your participation in the event.
- In all other situations, we will disclose your personal information only with your consent, or as otherwise required or permitted by law.

We will keep your personal information only as long as it is necessary to satisfy the purposes for which it was obtained, or as required by law. We have guidelines and procedures for the retention and destruction of personal information. When we destroy personal information, we will use safeguards to prevent unauthorized parties from gaining access to that information during the process.

**Accuracy**

We maintain appropriate procedures to ensure that personal information in our possession is as accurate and up to date as is necessary for the purposes for which it is to be used. We rely on you to provide us with any changes to your personal information, and in particular to your contact information.

If you believe any of the information we have collected about you is incorrect or incomplete, you have the right to ask us to change it or delete it. If your personal information is inaccurate or incomplete, we will make the necessary changes.

**Safeguards**

We maintain appropriate technical and organizational safeguards to protect your personal information against loss, theft, unauthorized access, disclosure, copying, use or modification.

Access to your personal information is restricted to UNITED WAY OF SARNIA-LAMBTON employees, agents and authorized service providers who need the information to fulfill the purpose for which the information was collected. UNITED WAY OF SARNIA-LAMBTON will protect your personal information by safeguards that are appropriate to the sensitivity of that information and the format of the information, whether electronic or physical.

Our procedures include physical security measures, organizational measures including security clearances and limiting access on a "need-to-know" basis, and technological measures such as the use of passwords and encryption.

**Openness**



UNITED WAY OF SARNIA-LAMBTON's Privacy Policy is available to you at all times on our website. If you are unable to access our website or require our policy in another format, we will do our best to provide it in an alternative format that meets your requirements.

### **Individual Access**

You may ask whether we hold any personal information about you, see your information and ensure that it is accurate. UNITED WAY OF SARNIA-LAMBTON may ask that you submit your request in writing. UNITED WAY OF SARNIA-LAMBTON will need to confirm your identity prior to disclosing any information to you, and may charge a reasonable fee to cover the cost of providing the information to you. If a fee is charged, UNITED WAY OF SARNIA-LAMBTON will inform you of the approximate cost prior to providing the information to you.

You also have the right to know how we collected your personal information and how we are using it. We will inform you of the specifics to the best of our abilities.

### **Provide Recourse**

If you have any privacy concerns, you may contact any of our employees that you normally interact with to discuss your concerns or requests, or the Executive Director directly. If you are unsure of whom to contact or have further concerns, you may contact Dave Brown, Executive Director, [dave@theunitedway.on.ca](mailto:dave@theunitedway.on.ca).

We will investigate all complaints. If an objection is justified, we will take all appropriate steps to repair the situation, including changing our policies and practices if necessary.

**Disclaimer**

**United Way of Sarnia-Lambton Website**

**July 13, 2001**

The United Way of Sarnia-Lambton Website – [www.theunitedway.on.ca](http://www.theunitedway.on.ca), is provided to you by the United Way of Sarnia-Lambton “as is”. The United Way of Sarnia-Lambton uses its best efforts to maintain the Site, but is not responsible for the results of any defects that may be found to exist in the United Way of Sarnia-Lambton Site, or any lost profits or other consequential damages that may result from such defects. You should not assume that the United Way Website is completely error free or that it will be suitable for the particular purpose that you have in mind when using it.

Again, the United Way of Sarnia-Lambton uses its best efforts to assure quality; however, typographical errors may exist. The United Way will not purposely provide inaccurate information or attempt to misinform users of this Site, and the information herein. Should any errors be found, please inform the United Way of Sarnia-Lambton and it will receive our immediate attention.

## **NON-DISCRIMINATION POLICY**

The United Way of Sarnia-Lambton is very proud of its long history of community capacity building and its non-discrimination of any body in need.

The United Way strongly believes that no one in need of programs or services shall be denied services regardless of religion, sex, creed, colour, etc. As well, the United Way of Sarnia-Lambton closely monitors its agencies to ensure they too conform and subscribe, as does the United Way of Sarnia-Lambton, to the provisions of the Charter of Rights, the Declaration of Human Rights, and the Ontario Human Rights Code.

The United Way of Sarnia-Lambton has historically, and will continue to be made up of a cross representation of the community we serve and fully expect our Funded Organization/Collaboratives to be non-discriminatory.

# United Way – Centraide Brand Starter Kit, April 2011 | The Brandmark

## United Way – Centraide Master Brandmark

05

Logo

The new United Way – Centraide master brandmark is made of three distinct elements: logo + logotype + registered trademark symbol.

The original iconic United Way logo was created in 1972 by Saul Bass, depicting the helping hand cradling mankind, surrounded by a rainbow symbolizing hope. We've taken great care to preserve the brandmark's iconic presence. We're still using red, but a slightly different one, and we've updated the logotype. We chose a warmer and more modern font and colour to complement the round shape of the logo.

The new logotype is a customized piece of artwork, created from the original font Avenir. Letters have been joined together to reflect the idea of unity.

While we have created two different options—vertical and horizontal—for the brandmark, the vertical option is preferred. The logotype has been set off-centre not only to create a sense of movement, but also to give a more contemporary feel. The logotype should not be altered, and should not appear on its own.

We have established a fixed size and space relationship between the different elements so that they can appear together without competing for attention. We have identified safety zone areas and minimum size standards. The resulting impression is clean, calm and uncluttered.

Do not scan the brandmark from hard copy in order to use it on printed materials. Please go to [unitedway.ca](http://unitedway.ca) or contact United Way of Canada – Centraide Canada to get an electronic version.

French Brandmark

English Brandmark

Registered Trademark

Logotype United Way – Centraide Brand Starter Kit, April 2011 | The Brandmark

06

The local identifier and/or the addition of a tagline or Web address should not extend past the word “United.”

Vertical Brandmark

The examples that follow demonstrate the different combinations of the United Way – Centraide master brandmark, local identifier, tagline and/or Web address.

The United Way – Centraide brandmark must be accompanied by the local identifier when used by a local United Way – Centraide in its geographic location.

Here is an example of an English brandmark with “Canada” as the local identifier.

Logo PMS 485

Logotype PMS 425

The distance from logo to logo- type is indicated by the head of the human figure, in this case, 1 1/2 heads tall.

The distance from logotype to local identifier is indicated by the head of the human figure, in this case, 2 1/2 heads tall.

The local identifier is rendered in the font Avenir Heavy 85 and is the only editable element in this example. Height is determined by the height (x-height) of the letter “n” in the logotype.

Local identifier Black

United Way – Centraide Brand Starter Kit, April 2011 | The Brandmark

## **COMMUNICATIONS POLICY**

### **SPECIAL EVENT MEDIA POLICY**

1. Special events will not be deemed exclusive to any one (1) media company.
2. Information regarding what one media company is providing at a special event will be a matter of public record and may be communicated to other media companies prior to the date of the event.
3. Each media company will be limited to one (1) company vehicle at special events. Location of such a vehicle to be determined on a first come first serve basis.
4. All special event tickets, posters or other promotional materials will be printed without, specifically naming any media company as the sponsor of the event.
5. Live remotes/cut-ins are permitted and welcomed at special events but all promotional materials will be restricted to the broadcast booth, if two (2) or more broadcast companies have remotes planned, they will be accommodated.

## SPECIAL EVENTS POLICY

1. Every special event must have a fundraising component.
2. Organization of a special event should focus on a first-class activity at minimal or no cost to the United Way. Events with no outlay to generate funds are preferred.
3. Full plans (including financial outlines) for special events must be submitted to and approved by the Campaign Cabinet and Board of Directors at least 6 weeks prior to the event; if sponsored by an outside organization
4. Events approved by United Way will be promoted as "United Way and " \_\_\_\_\_ " present" and the use of the United Way logo will be permitted for advertising and decor purposes. The use of the United Way logo must first be approved by the United Way of Sarnia-Lambton and will be consistent with the Guidelines as provided by the United Way/Centraide Canada. See *Trademark* for more information
5. Events not receiving approval by United Way may advertise that "all proceeds will go to the United Way" but must not use the United Way logo in any fashion or indicate authorization for the event by United Way.
6. A full financial report of expenses and income must be submitted to the Board of Directors within 10 days of completion of every authorized special event; if sponsored by an outside sponsor.
7. Special Events occurring during the annual campaign should be targeted towards sectors of the population that do not otherwise generate large campaign revenue. Events of a community-wide nature should be scheduled towards the end of or outside of, the annual campaign.

Approved August 21, 2017

## United Way Investment Policy

*Updated October 29, 2002, and revised on June 11, 2012*

Peter Thomas, Treasurer presented to the Board (on October 29, 2002) a revised policy regarding the investments by the United Way. This policy addresses both the Wes Thompson Endowment fund, and the general investments of the United Way. The policy is consistent with the philosophy of the United Way to maximize return, but consider safety and security of the capital, which is vital.

- **Investments may be in any amount so long as it does not inhibit cash flow.**
- **Investments may be made in the following:**
  - **Deposits backed 100% by the Government of Canada or the Government of one of the provinces of Canada;**
  - **Canadian corporate bonds with a rating of BBB- or higher; (Approved June 11, 2012)**
  - **Deposits with a Canadian chartered bank;**
  - **Deposits with a financially stable credit union in Ontario up to the \$100,000 insured limit of the Deposit Insurance Corporation of Ontario.**
- *Increase the maximum length of the investment from six months to one year*
- *Increase the amount invested in GICs with the Chartered Canadian Banks to \$500,000, up from \$100,000. The maximum of \$100,000 will remain for all other BBB- rated investments or better.*

Approved April 27, 2015

- **Investments must be less than 184 days, except those funds invested in the Wes Thompson Endowment Fund. Investments in the Wes Thompson Endowment Fund may not exceed five years unless authorized by the Board of Directors.**

The goal of the investments at the United Way of Sarnia-Lambton is to maximize the return on investment in as safe an investment vehicle as possible.

The United Way Board of Directors will review the investment policy each June.

*That the United Way invest UP TO \$1,000,000 so long as a minimum of three months total operating funds, (including agency allocations), be available at all times.*

**United Way Future Fund Investment Policy**

*Official name change: To Future Fund from Wes Thompson Endowment Fund; Approved July 31, 2014*

***That the United Way of Sarnia-Lambton invest the Future Fund capital with Ridgewood Financial Management effective January 1, 2017 and the Board authorizes Ridgewood Financial Mangement to invest in up to 50% equities. The vote on this motion will be tabled until the November 28, 2016 Board Meeting,***

Approved November 28, 2016

***To adjust our Investment Policy to show a cap of 60% dividend paying equities, up from the current 50% cap.***

Approved April 24, 2017



## **CROSS PROMOTIONAL ACTIVITIES UNITED WAY OF SARNIA-LAMBTON**

Approved September 1994

As the United Way of Sarnia-Lambton enters the next millennium and more and more campaign revenue are raised through Cross Promotional Activity. The following policy was enacted to govern such activities.

- No door to door sales/soliciting.
- No telephone sales/soliciting.
- The direct benefit to United Way must be made clear to potential donors/purchasers.
- Use of the United Way logo in ads/posters etc. must be pre-Approved and is to be consistent to the specifications as outlined by United Way/Centraide Canada.
- The event is ethical in nature and fits with United Way values.
- Budgets, including cash flow projections, must be disclosed to United Way Executive Director with respect to items specifically printed and sold for United Way and third party benefits, i.e. Coupon Books must be approved by Executive Director. The Executive Director may consult with any Board member, Cabinet member, etc. before making a decision. The Executive Director also will take into account its relationship to "competing" companies who have been long time contributors. Each will be judged on its own merit.
- All activities be reviewed and evaluated following the Campaign.
- All activities must fit with Canada Revenue Agency, (CRA) guidelines and be consistent with all Federal and Provincial law including CRA taxation laws.

# Gift Acceptance Policy United Way of Sarnia-Lambton Mission Statement

Approved November 17, 2014

To generate resources enabling the Community to respond to Human Care priorities in Sarnia-Lambton and to measure and improve the effectiveness of these invested resources  
Purpose of Gift Acceptance Policy.

The purpose of this Gift Acceptance Policy is to provide guidelines relating to the acceptance and processing of gifts that are consistent with United Way of Sarnia-Lambton's mission.

**Donor's Use of Professional Advisors** Donors and prospective donors will be urged to seek the assistance and advice of independent professional advisors, including, but not limited to, tax or legal counsel and financial advisors, where appropriate, prior to and in matters relating to making a gift. The United Way of Sarnia-Lambton will encourage all donors to use their own professionals as necessary.

**Use of Counsel** United Way of Sarnia-Lambton reserves the right to consult with and/or seek the advice of legal counsel in any and all matters relating to the acceptance of gifts as determined by the Executive Director and/or the Board of Directors. Gift Acceptance Review Process.

Determinations as to acceptance of routine gifts may be made by the Executive Director, as well as certain members designates. All non-routine gifts and any gifts designated in this Policy for review by the Executive Director, and where appropriate, the Board of Directors for rendering the final decision as to whether a particular gift should be accepted. Non-routine gifts include gifts that are not regularly encountered in the ordinary course. They include gifts that may not align with the mission of United Way of Sarnia-Lambton, unique or unusual gifts and gifts accompanied by a potential administrative, financial or other burden on United Way of Sarnia-Lambton. Grants received by United Way of Sarnia-Lambton in the ordinary course shall not be treated as gifts and shall not be subject to this Policy.

## **Types of Gifts Accepted:**

United Way of Sarnia-Lambton encourages and solicits contributions of cash, publicly traded securities, as well as personal and real property, either as outright gifts or through planned gift methods that are acceptable to Canada Revenue Agency and the laws of the Province of Ontario. Planned gift options include, but are not limited to, bequests, life insurance policies, charitable gift annuities, charitable remainder trusts, gifts of residual interest, and gifts of retirement benefits.

**Overly Restrictive Gifts** United Way of Sarnia-Lambton will not accept gifts deemed by its Board of Directors to be overly restrictive. Overly restrictive gifts include, but are not limited to, gifts that are inconsistent with United Way of Sarnia-Lambton's mission, gifts that place undue burdens on United Way of Sarnia-Lambton as well as gifts that violate the terms of any of United Way of Sarnia-Lambton's formation or governance documents.

**Designated Gifts** United Way of Sarnia-Lambton's policy is to encourage donors to give unrestricted gifts, the proceeds of which support United Way of Sarnia-Lambton's regular funded agencies, other funding methods, and its programs, rather than to designate gifts to benefit other charities. The United Way of Sarnia-Lambton does however honour Donor Choice, and has a Donor Option program of which the policy is included in its current Policy

and Procedures Manual. Where the receipt and/or administration of a designated gift is burdensome, the Board of Directors will determine, in accordance with this Policy, whether or not United Way of Sarnia-Lambton will accept the gift.

### **Types of Gifts**

The Board of Directors reserves the right to consider any and all gifts to United Way of Sarnia-Lambton. Cash Gifts to United Way of Sarnia-Lambton may be made via cash, cheque, credit card or other cash equivalents. Cheques, money orders, etc., shall be made payable to United Way of Sarnia-Lambton. Cheques shall not be made payable to individuals who represent United Way of Sarnia-Lambton. Tangible Personal Property Gifts of tangible personal property may be subject to the approval of the Board of Directors unless received in connection with an auction or raffle organized and conducted by United Way of Sarnia-Lambton as part of its regular fundraising campaign held primarily in the fall of each year. Such gifts may be sold upon receipt by United Way of Sarnia-Lambton.

The Board of Directors may consider other factors in rendering a determination as to whether the gift should be accepted, including, but not limited to, another party's possession of any type of lien or interest in the property, the marketability of the property, any carrying costs for the property and the presence of any restrictions on the use, display or sale of the property.

The Board of Directors shall have the discretion to seek an appraisal of the property from a qualified, independent appraiser in addition to those events that is a requirement of Canada Revenue Agency. The United Way will also take into consideration how easy the donated asset can be liquidated and at what expense.

Publicly Traded Securities Publicly traded and marketable securities, including those traded on any recognized stock exchange, are acceptable and encouraged by United Way of Sarnia-Lambton. Such marketable securities will be transferred to an account maintained at a brokerage firm or physically delivered with the signature of the transferor of stock power attached, held by the United Way of Sarnia-Lambton and may be sold and invested in the United Way of Sarnia-Lambton Future Fund at the discretion of the United Way of Sarnia-Lambton financial advisor.

Marketable securities that are not Restricted Stock (as defined in the following paragraph) may or may not be sold upon receipt by United Way of Sarnia-Lambton based on the financial advice from the United Way of Sarnia-Lambton financial advisor/team. The finance committee may also be involved in this decision making activity. Gifts to United Way of Sarnia-Lambton of publicly traded securities that are restricted by applicable securities laws, which typically bear a legend on the certificate ("Restricted Stock"), shall be referred to the United Way of Sarnia-Lambton financial advisor and possible the Finance Committee to determine whether the gifts should be accepted. United Way of Sarnia-Lambton may or may not accept gifts of Restricted Stock where the beneficiary are not United Way of Sarnia-Lambton.

These gifts include gifts that are processed by United Way of Sarnia-Lambton but designated for receipt by another charity by the donor depending on a number of factors. The Board of Directors, perhaps after consultation with the Finance Committee, and/or the United Way of Sarnia-Lambton Financial Advisor shall render a decision as to whether gifts of Restricted Stock where the beneficiary is United Way of Sarnia-Lambton should be accepted.

With respect to gifts of Restricted Stock in general, the donor may be asked to pay for all of the expenses of lifting the restriction and any other expenses associated with the administration of the gift except when the Gift Acceptance Committee makes an exception. Exceptions may be made based on a variety of factors, including the value and desirability of the gift, ease of administration of the gift, the donor's connection with United Way of Sarnia-Lambton, the donor's past giving record and the donor's contributions to the organization.

**Closely Held Securities** For purposes of this Policy, closely held securities shall mean securities that are not publicly traded and shall include, but shall not be limited to, debt and equity interests in non-publicly traded or closely held entities, as well as interests in LLPs and LLCs. Interests in other forms of ownership may be deemed closely held securities. Closely held securities may be accepted only (i) if the beneficiary is United Way of Sarnia-Lambton and (ii) if approved by the Board of Directors.

The Board of Directors is charged with considering the following factors as part of its review of the gift: whether the securities possess any restrictions that would hinder their liquidation to cash, marketability of the securities, an estimate of the fair market value of the securities and the presence of any detrimental tax consequences for United Way of Sarnia-Lambton, and may seek professional assistance.

The Board of Directors may deem it appropriate to consult with an independent professional advisor at any time as part of the review process. The United Way of Sarnia-Lambton's policy may be restricted by agreement or by applicable law(s) and depending on the facts and circumstances of the gift. Real Estate All gifts of real estate shall be subject to the review and approval of the Board of Directors.

Prior to consideration, the Executive Director and a member of United Way of Sarnia-Lambton's Board, Finance Committee or both, or a qualified real estate broker must conduct a visual inspection of the property. The donor may be asked to provide any or all of the following items to United Way of Sarnia-Lambton: a property deed, a property tax bill, a property title report, a property survey, site plans or development surveys relating to the property, a plot plan, any existing leases or agreements encumbering the property, substantiation of zoning status and verification of title insurance.

Prior to acceptance of real estate gifts, the Board of Directors shall be responsible for ensuring that an environmental review of the property is completed and may use environmental inspection forms where appropriate. If the environmental or some other inspection reveals what the Board of Directors deems to be a potential problem, the Board shall arrange for the retention of a qualified, appropriate inspection firm to conduct an environmental audit of the property, or other professional consultant prior to making a final decision.

The Executive Director, upon direction from the Board of Directors or Executive Committee shall arrange for an appraisal of the property and will obtain a title binder for the property where it deems it to be appropriate. Expenses for the appraisal and title binder may be paid by the donor.

The Board of Directors is charged with considering the following factors as part of its review of the gift; the fair market value of the property; the projected financial benefit to United Way of Sarnia-Lambton; whether the property is useful for United Way of Sarnia-Lambton's

purposes and mission”; the marketability of the property; the presence of any restrictions, obligations or limitations associated with the property; any carrying costs, administrative costs and/or professional expenses associated with acquiring and selling or maintaining the property; and the results of the environmental review and any environmental audits, and any other fiduciary responsibilities the Board of Directors may have.

Depending on a variety of factors, including the value and desirability of the gift, ease of administration of the gift, the donor’s connection with United Way of Sarnia-Lambton, the donor’s past giving record and the donor’s contributions to the organization, the donor may be asked to pay for all or a portion of the following additional expenses: maintenance expenses, real estate taxes, insurance expenses, the real estate broker’s and/or auctioneer’s commission, any other costs of the sale of the property and any additional legal and/or other expenses relating to the administration of the gift or the sale of the property. Remainder Interests and Retained Life

Interests in Property Remainder interests in property may be accepted by United Way of Sarnia-Lambton subject to the approval of the Gift Acceptance Committee and subject to the provisions enumerated in the foregoing “Real Estate” section.

Life Insurance Gifts of life insurance policies shall be subject to the approval of the Board of Directors. United Way of Sarnia-Lambton shall encourage donors to name United Way of Sarnia-Lambton as beneficiary or contingent beneficiary of any gifted life insurance policies. Gifted life insurance policies must possess a minimum face value of \$5,000. United Way of Sarnia-Lambton shall encourage gifts of paid up life insurance policies.

If the policy is not paid up, United Way of Sarnia-Lambton shall request that the donor contribute all future premium payments to United Way of Sarnia-Lambton. If the donor does not elect to continue making gifts to cover premium payments on the life insurance policy, United Way of Sarnia-Lambton may: 1) continue to pay the premiums; 2) convert the policy to paid up insurance; and/or 3) surrender the policy for its current cash value.

The Board of Directors and/or the Finance Committee may consult with professional financial and legal advisors regarding the valuation of any gifts of life insurance policies. Gifts will be recorded at such time as they are paid. Receipts to be used for tax purposes will be carried out in accordance to Canada Revenue Agency.

Retirement Plans Donors may name United Way of Sarnia-Lambton as a beneficiary of their retirement plans. Gifts will be recorded at such time as they are received and donation receipts for tax purposes will be carried out as per Canada Revenue Agency legislation.

## **Deferred Gifts**

The Gift Acceptance Committee shall consider the acceptance of all deferred gifts. United Way of Sarnia-Lambton will not accept deferred gifts where United Way of Sarnia-Lambton is not the beneficiary, provided that the Board of Directors may consider on a case-by-case basis acceptance of gifts where United Way of Sarnia-Lambton is a contingent beneficiary or one of the beneficiaries of the gift. The Board, upon input from the Executive Director and/or the Finance Committee is charged with considering the following factors as part of its review of the gift: the fair market value of the gift, the projected financial benefit to United Way of Sarnia-Lambton, whether the gift is useful for United Way of Sarnia-Lambton's purposes and mission, the presence of any restrictions, obligations or limitations associated with the gift, as well as any carrying costs, administrative costs and/or professional expenses associated with the gift.

Deferred gifts may include charitable remainder trusts, charitable lead trusts, bequests, charitable gift annuities, deferred gift annuities, pooled income funds and retained life estates. United Way of Sarnia-Lambton may accept a designation as the remainder beneficiary of a charitable remainder trust subject to the approval of the Board. United Way of Sarnia-Lambton shall not serve or accept an appointment as the trustee of such a charitable remainder trust. United Way of Sarnia-Lambton may accept a designation as the income beneficiary of a charitable lead trust subject to the approval of the Board of Directors.

United Way of Sarnia-Lambton shall not serve or accept an appointment as the trustee of such a charitable lead trust. Donors are encouraged to make bequests to United Way of Sarnia-Lambton through their wills and trusts. Bequests will be recorded at such time as they are received. Donors who indicate that they have made a bequest to United Way of Sarnia-Lambton may be asked to disclose the relevant clause or documentation that evidences such a bequest.

## **Challenged or Contested Gifts/Bequests**

From time to time, the United Way of Sarnia-Lambton may be named in a will or given equities or gifts of real estate and such gifts are challenged or contested by other organizations and/or family members.

While this may be rare, the United Way of Sarnia-Lambton has a policy that the Board of Directors will review such cases on a case by case basis to determine how far or not the United Way of Sarnia-Lambton will proceed. Such considerations are, but not limited to:

- Professional counsel recommendations
- Size or value of the gift
- The Board's fiduciary responsibilities
- Potential negative, or positive fall-out and/or loss of reputation
- Previous relationship with said donor and his/her family
- Belief the donation amount is legally the United Way of Sarnia-Lambton, and is consistent with the Donor's wishes Donor-Advised Funds and Supporting Organizations.

The Executive Director may discuss with donors whether donor-advised funds and supporting organizations can be helpful in fulfilling the mission of United Way of Sarnia-Lambton.

The Board of Directors must approve the acceptance of gifts in this category. Charitable Gift Annuities It is not the practice of the United Way of Sarnia-Lambton to manage gift annuities, but rather to purchase reinsured gift annuities from life insurance companies.

**Charitable Remainder Trusts** United Way of Sarnia-Lambton can serve as trustees of charitable remainder trusts at the request of the donor. If preferred, donors may also select a trust institution, or other qualified trustee, to manage the trust. Other Gifts and Memorials The Executive Director shall consider the acceptance of other gifts not mentioned above, including, but not limited, to memorials, honorariums and intangible property and will seek the advice of either or both the Finance Committee and Board of Directors.

The United way of Sarnia-Lambton will also accept and encourage memorial donations. Ethical Standards and Compliance United Way of Sarnia-Lambton shall administer gifts properly, shall comply with all applicable laws and regulations, including those governing reporting and retention, and shall provide formal acknowledgments for gifts. United Way of Sarnia-Lambton shall comply with all Canada Revenue Agency laws, legislation, and rules.

United Way of Sarnia-Lambton acknowledgment letters may acknowledge the value of a gift in the case of a cash, cheque or other monetary donation or if required by applicable law. United Way of Sarnia-Lambton shall consult with independent advisors where it deems such action to be appropriate.

United Way of Sarnia-Lambton shall strive to consider the interests of the donor and disclose to the donor all essential information, including any fees, prior to acceptance of the donor's gift. Donors may be advised to consult with legal or tax counsel or other appropriate advisors which they already have a relationship with.

Review of Policy United Way of Sarnia-Lambton's Board of Directors will review and accept the foregoing Gift Acceptance Policy on a regular basis.

The Executive Director, upon advice from the Finance Committee shall conduct periodic reviews of this policy and shall recommend any future changes to the Board of Directors.

***This Gift Acceptance Policy was approved by the United Way of Sarnia-Lambton Board of Directors November 17, 2014. Note: Thanks to the United Way of New York City, and the University of Western Ontario for the help and guidance in drafting this policy.***

### **WES THOMPSON ENDOWMENT FUND AND THE VISION 20/25 INITIATIVE**

The Wes Thompson Endowment Fund was first set up by the United Way in the mid 1980s. Its plan then, and remains today, is to grow on an annual basis with interest and investment revenue to be used to offset the Administration and Fundraising costs of the United Way of Sarnia-Lambton.

In late 1998, the Board of Directors endorsed the existing policies and put great emphasis on its growth and refers to the project as the *Vision 20/25 Initiative*.

The following polices relate to the Wes Thompson and Vision 20/25 Initiative:

- That the principle is never used for day to day operations, Community Investment purposes, or purposes other than for investment.
- That only the interest, or revenue earned in each year, is used to reduce the United Way of Sarnia-Lambton Fundraising and Administration expenses for the following year.
- That any funds returned to the United Way by way of any agency for reasons such as program surplus, penalty, or other, be put into the Wes Thompson Endowment fund so that all Funded Organization/Collaboratives can benefit for eternity as Administration and Fundraising costs are lowered.
- That 30 percent of any year-end surplus by the United Way of Sarnia-Lambton be put in to the endowment fund. (This to be reviewed annually by both the Treasurer and United Way Board).
- That any funds received by the United Way of Sarnia-Lambton as a result of Donor Directed gifts, endowments, and other Planned Giving initiatives are put into the endowment fund and will not be included as campaign funds and therefore counted as part of the campaign.
- That the United Way of Sarnia-Lambton Board may turn over management of the Fund to a third party for financial management with the expectation of increased revenues from the fund as a result of pooling our funds for greater leverage.

Update: This fund is now officially known as the Future Fund – approved July 31, 2014.



INVESTMENT POLICY STATEMENT  
**UNITED WAY OF SARNIA-LAMBTON**  
*(As prepared and presented by Ridgewood Capital Asset Management)*

Approved April 24, 2017

## **INTRODUCTION**

The purpose of this Investment Policy Statement is to establish a clear understanding between the investor, **United Way of Sarnia-Lambton** and the investment advisor, **Ridgewood Capital Asset Management**, as to the investment objectives and policies applicable to the Investor's asset allocation. This statement will:

- establish reasonable expectations, objectives and guidelines in the investment of the portfolio's assets
- set forth an investment structure detailing permitted asset classes, normal allocations and permissible ranges of exposure for the Portfolio
- encourage effective communications between the Investor and the Advisor
- create the framework for a well diversified asset mix that can be expected to generate acceptable long term returns at a level of risk suitable to the Investor

This statement is intended to be a summary of an investment philosophy that provides guidance for **United Way of Sarnia-Lambton** and Ridgewood Capital Asset Management in the management of their portfolio.

## **BACKGROUND AND OVERVIEW**

**United Way of Sarnia-Lambton** retained Ridgewood Capital Asset Management (RCAM) as their investment counselor in December 2016.

## **INVESTMENT OBJECTIVES AND CONSTRAINTS**

### ***Growth of Capital***

Long-term growth while preserving capital is a key objective for the account. A conservative balanced strategy will typically have an asset mix of 35% equity / 65% fixed income.

### ***Generation of Income***

Income will be generated from dividends and interest. It will be withdrawn as required.

### ***Liquidity***

The portfolio will contain investments which are very liquid (three day settlement) and could be sold easily if capital is required.

## **Risk**

Risk is defined as the volatility of returns. **United Way of Sarnia-Lambton** has indicated a moderate approach for their account is appropriate; within the parameters of the portfolio, they are willing to accept short-term volatility in order to benefit from long-term gain.

## **Time Horizon**

This account has a long-term time horizon with funds not required for well over 5 years.

## **Portfolio Investments**

### Cash

**A small amount of the portfolio will actually be held in cash. The remaining cash portion will be held in Government of Canada Treasury bills.**

### Fixed Income

The fixed income portion of the account may be comprised of units of the RCAM Bond fund and/or RCAM Tactical Yield Fund and/or Ridgewood Canadian Investment Grade Bond Fund.

### Canadian Equities

**The account will hold individual dividend producing Canadian equities.**

### U.S. Equities

U.S. Equities may be included in this account and will consist of individual dividend producing U.S. securities.

## **Global Equities**

**Global investments will be included in the account, and may consist of international Exchange Traded Funds (ETF)/ iShares.**

## ***Legal Constraints and Unique Circumstances***

**There are no specific legal constraints or unique circumstances for this account.**

## **Asset Mix**

The following asset allocation ranges for a Conservative Balanced Strategy for an **Investment** account have been determined and the Normal will form the benchmark portfolio:

	<i>Normal</i>	<i>Minimum/Maximum</i>
Cash	3%	0 - 5%
Bonds	<u>62%</u>	<u>40 - 80%</u>
<b>Total Fixed Income</b>	<b>65%</b>	<b>40 - 80%</b>
Equities		
Canadian	15%	0 - 60%
US	10%	0 - 60%
Global Equities	<u>10%</u>	<u>0 - 60%</u>
<b>Total Equities</b>	<b>35%</b>	<b>20 - 60%</b>
<b>100 %</b>		

The manager has wide latitude within the prescribed ranges of each asset class to alter the portfolio.

***Evaluation and Reporting***

The performance objectives of the portfolio is as follows:

- a) ***Absolute: A 6% return (net of all fees/charges) is desired for the account. While we will attempt to achieve these returns every year, we would be measured over 3 and 5-year periods as this return is a long-term goal.***
- b) **Relative: To outperform the benchmark asset mix as applied to the relevant market indices net of all fees. This would be on an annual and long-term basis.**

Relevant Benchmark Indices are:

Cash	FTSE TMX Canada 90 Day T-Bill
Bonds	FTSE TMX Canada Universe Bond
Canadian Equities	TSX
US Equities	S & P 500
Global Equities	EAFE World

We will meet with ***United way of Sarnia-Lambton*** two to three times a year to review our strategy and the performance of the portfolio. In addition to regular meetings, the manager will provide quarterly reports for the portfolio.

This policy statement will be reviewed annually and revised as appropriate.

I further consent to the electronic delivery of the documents that Ridgewood Capital Asset Management Inc. is mandated to provide to this account.

1. I agree to the receipt of quarterly statements through e-mail.
2. I have the access to appropriate software and technology hardware to retrieve the information in 1) which will be delivered to me as PDF documents.
3. I acknowledge that I may receive at no cost from the deliverer a paper copy of any documents delivered electronically if I contact the Chief Compliance Officer by regular mail or electronic mail at jsimpson@ridgewoodcapital.ca, or by phone at 416-479-2751. I understand that my consent may be revoked or changed, including any change in the electronic mail address to which documents are delivered, at any time by notifying the Chief Compliance Officer of such revised or revoked consent by telephone, regular mail or electronic mail at jsimpson@ridgewoodcapital.ca, or by phone at 416-479-2751.

**Accepted By:**

\_\_\_\_\_  
*United Way of Sarnia-Lambton*

\_\_\_\_\_  
**John H. Simpson, CFA**  
Ridgewood Capital Asset Management

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

\_\_\_\_\_  
***United Way of Sarnia-Lambton***

\_\_\_\_\_  
**John H. Simpson, CFA**  
Chief Compliance Officer  
Ridgewood Capital Asset Management

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## SECTION 2

### POLICY FOR COMMUNITY INVESTMENTS TO AGENCIES FUNDED ORGANIZATION/COLLABORATIVE STATEMENT OF PARTICIPATION

*That the United Way of Sarnia-Lambton in the next three year funding term allot 39% of available allocations to Youth; 30% for Families, and 31% for Seniors.*

Approved January 8, 2018

#### PURPOSE

The Funded Organization/Collaborative Statement of Participation serves as a set of mutual expectations for the United Way and each of its Funded Organization/Collaboratives.

#### FUNDED ORGANIZATION/COLLABORATIVES SHALL:

**First and foremost, the Funded Organization/Collaborative must operate under the terms and conditions in the contract signed by itself and the United Way of Sarnia-Lambton as per the terms and duration of the said contract.**

1. Promote good will with the United Way and give support to the objectives of the United Way. The Funded Organization/Collaborative should be and appear to be politically non-partisan in accordance with C.R.A. regulations and guidelines and neither favour or campaign for political parties or candidates.
2. Be supportive of the United Way's concepts and policies as set out in the United Way's Policies and the signed contract.
3. Be incorporated and registered as a charitable organization under the Canada Income Tax Act and in good standing with Canada Revenue Agency.
4. Be involved directly in the provision of a social, health, community or related service and which serves first and foremost the citizens of the City of Sarnia and the County of Lambton.
5. Provide a service, which is meeting a vital community need, and is consistent with the policies of the United Way. It must be demonstrated that the service can be more appropriately and economically provided by the Funded Organization/Collaborative in question rather than another agency. The service must give high priority to the needs of the "disadvantaged", rather than to persons with adequate personal and financial

resources. Disadvantaged is defined as those facing physical, mental, emotional, social or economic hardships.

6. Conform and subscribe to the provisions of the Charter of Rights, the Declaration of Human Rights, and the Ontario Human Rights Code.
7. Agree to seek out all possible areas of government support. Those programs, which are the responsibility of government or the voluntary sector, apart from the United Way, must be clearly identified. It is not the intent that the United Way dollars be used to meet tax dollar responsibilities or those which are the responsibility of other funding bodies.
8. Agree to clearly identify itself as a United Way Funded Organization/Collaborative by prominently displaying a United Way logo at the Agency's building/offices, by appropriate wording and/or logo in all printed materials, publicity and media releases. **(This includes all forms of electronic correspondence including all Social Media platforms)**
9. Agree to advocate maximum community support for the United Way and the United Way campaign, and encourage undesignated donations from its staff and members to the United Way Campaign.
10. Have visible continuity and permanence in the community and demonstrate the ability to attract the support of the community.
11. Demonstrate the ability to effectively use volunteers in the delivery of service.
12. Have members of the Board of Directors of the Funded Organization/Collaborative who serve in a voluntary capacity, and are responsible for policy, planning, priority-setting, service evaluation, adoption and regular monitoring of its operating budget. The Board must be responsible to the community for the efficient management of funds received from the community. The Board of Directors shall be elected annually, by members at large, at a meeting open to the public and shall meet at least four times a year.
13. Have a voting membership representative of the community it serves.
14. Have an approved statement of personnel policy in regard to the organization's staff. Personnel practice must provide for and encourage the participation of staff in the planning and policy-making functions of the organization.
15. Conduct planning and evaluation on an on-going basis. It should engage in long-range planning (3-5 years) and also have an orderly plan for a periodic evaluation in light of current needs and in terms of its stated purpose, goals and relations with other organizations in the field.
16. Must sign, prior to each funding term, a Contract with the United Way that outlines the basic expectations of both the United Way of Sarnia-Lambton, and the Funded Organization/Collaborative.

17. Make an annual accounting of all financial matters in the form of audited financial statements, or other such statement as agreed to by the United Way, available to the public and send the United Way on an annual basis.
18. Consult with the United Way should an amendment of provided services be proposed, as any alterations in services may effect United Way Investments.

**19. THE UNITED WAY SHALL:**

**First and foremost, the United Way of Sarnia-Lambton must operate under the terms and conditions in the contract signed by itself and the Funded Organization/Collaborative as per the terms and duration of the said contract.**

1. Maintain responsible management by a volunteer Board of Directors elected as representatives of the citizens of Sarnia-Lambton, which shall meet at least six times each year.
2. Conduct a United Way Campaign annually to meet the United Way funding needs of its Funded Organization/Collaboratives.
3. Invest in Funded Organization/Collaborative's services, as approved by the United Way and administered by Funded Organization/Collaboratives on the basis of program budgets submitted, in a manner that best serves the needs in the community that are appropriate for voluntary support.
4. Disburse designated funds to eligible charitable organizations in accordance with the donor option policies of The United Way.
5. Work with Funded Organizations/Collaboratives, government bodies and other community agencies, to prevent unwarranted duplication of effort and to promote effective service, efficiency and economy of administration in order to maximize the contribution of independent agencies which have a particular ability to respond directly to a community need.
6. Assist in promoting community understanding of Funded Organization/Collaborative services.
7. Maintain regular books of accounts and annually make available to citizens of Sarnia-Lambton a detailed financial statement, duly audited.
8. Conduct, in co-operation with Funded Organization/Collaboratives, the evaluation of the services provided to ensure the best possible satisfaction of the community's needs.
9. Maintain a reserve fund to be administered by the Board of Directors; any accumulated income thereof may be used to assist in emergencies and other special needs.

10. In the event a Funded Organization/Collaborative is considered to fall seriously short of the criteria for membership, the Board of Directors shall recommend the agreement between the United Way and the organization be terminated.
11. Not be expected to consider the timing of services initiated by government and other funders.
12. Give financial support to organizations meeting all the necessary membership requirements and this financial support is to be applied towards meeting operations budget requirements only.

### **UNITED WAY DOES NOT FUND CAPITAL REQUESTS**

The following principles are based on this broad statement of philosophy:

1. Community Investment decisions will be based upon clearly articulated criteria for evaluating the Funded Organization/Collaborative's capability and competence to provide needed human services.
2. It is the responsibility of the Community Investment Committee, upon recommendations from the Review Panels, to evaluate each Funded Organization/Collaborative's performance, in relation to the information provided by the agency, including outcomes of all programs.
3. The United Way places responsibility on each Funded Organization/Collaborative for its own effective and efficient operation. It is the responsibility of the agency to demonstrate its performance by providing the Review Panels, and the Community Investment Committee, with information relevant to the Community Investment criteria.
4. The Community Investment Process (as well as funding arrangements) will recognize both the autonomy of each Funded Organization/Collaborative in managing its internal affairs and the responsibility of the United Way to be accountable to donors and the community at large for the beneficial use of funds contributed to the United Way for this purpose.
5. Where problems are identified in any Funded Organization/Collaborative's operations, the aim of United Way is to help Funded Organization/Collaboratives improve their management capability and level of service to the community.



## **COMMUNITY INVESTMENT PANEL**

### **PHILOSOPHY**

Funded Organization/Collaboratives, which receive United Way funds, must demonstrate the value derived from these funds. This will include clearly defined objectives, with outcomes based on mutually agreed upon measurements. Panel members represent the Sarnia-Lambton Community and their approval of Funded Organization/Collaborative programs and costs is essential to a successful fundraising campaign.

### **COMPOSITION**

The Review Panels are composed of between six and eight members, one of whom may be a United Way Director, and the other members from the community at large. The Chair and Vice-Chair of each panel is a Member from the community at large. The United Way Director and/or staff does not have a vote on the final Community Investment recommendation made by the Panel.

### **PANEL SELECTION**

Panel members are recruited from a cross-section of the community. They bring to the Panel accounting/financial skills, business/management skills, labour viewpoints, professional or voluntary involvement in social services, sensitivity to the operation of voluntary agencies, and awareness of community problems and needs. While panel members may not have an in-depth understanding of the agencies they review, they bring a particular interest or expertise to the task.

### **FUNCTIONS**

1. To review thoroughly the programs and budget pertaining to Funded Organization/Collaborative services funded by the United Way of Sarnia-Lambton.
2. To meet and discuss the above, with representatives from Funded Organization/Collaboratives with reference to need/effectiveness/efficiency/management/community support and financial management of these services to the community.
3. To recommend to The United Way Community Investment Committee support levels for Funded Organization/Collaboratives and/or their programs and services supported by United Way funds.

The need for panel members will be publicly advertised annually if insufficient qualified persons have not volunteered. The panel members will be appointed, at least one month prior to the first review, to provide time for orientation. The orientation session is to be held a

month before the budget review process. Substitutes appointed after the regular session will be given separate orientation.

**At least one training session will be held for orientation, which will include:**

- (a) The purpose of program budget reviews including details about the United Way of Sarnia-Lambton's Impact Funding Model;
- (b) Function and duties of review panel;
- (c) Relationship between agency and the United Way;
- (d) United Way funding and Community Investment policies;
- (e) Budget submission forms;
- (f) Procedures of the Program Budget Review;
- (g) Specific information of the services to be reviewed;
- (h) The treatment of designated contributions made under the Donor Option Program.

**EXPECTATIONS OF EACH FUNDED ORGANIZATION/COLLABORATIVE?**

Each Funded Organization/Collaborative must educate the panel about its programs, operations, goals and objectives, measurements and outcomes, and, the agencies' role in supporting the United Way's three Impact Areas including the goals and objectives of the Impact Areas. At the conclusion of the meeting, the panel members have a good understanding of the work of the agency; its performance measures, and are able to make recommendations that are fair and helpful to the Agency and the United Way.

**INFORMATION AND SUGGESTIONS**

1. The budget package provides much information but is not intended to be all-inclusive. Written supplementary information may be submitted with the budget submission, e.g. reports, program info.
2. Panel members receive (mainly electronic,) copies of the agency online submission, recent reports, audited financial statements, service reviews conducted by the agency or its affiliates, last year's panel report, the agency response, and a United Way staff report.
3. Panels are instructed to understand the agency's services before looking at the financial information. The examination of the budget should be last on the agenda.
4. Agency Board Members should attend the program and budget presentations. This does not preclude staff participation since their knowledge of the detail of the agency's operation is important.

5. Highlight your agency's work through such things as a slide presentation, and/or a tour. Agency tours should be arranged prior to a panel meeting where feasible and worthwhile. You may have done your presentation many times before but remember it will be new to many panel members!
  
6. Attempt to give the panel a good understanding of:
  - purpose and objectives of the Programs, and its connections with the goals and objectives of the three Impact Areas.
  - need being addressed.
  - target population.
  - client population.
  - services and activities.
  - evaluation methods.
  - program results.
  - impacts and outcomes, cohesion with other community programs and future directions.
  
7. No agency is without difficulties. Share your successes and failures. Discuss plans for improvement. Engage the panel in exploring solutions to problems you are facing.

**STANDARDS OF ACCOUNTING AND FINANCIAL REPORTING**  
**FOR VOLUNTARY ORGANIZATIONS**

**OBJECTIVES**

1. Good accounting standards will benefit a voluntary organization in improved planning and better budget control.
2. Improved financial reporting will disclose the financial position and operating result of an organization in a uniform and readable way so that they may be understood by the donors, the general public and government agencies.

**APPLICABILITY**

The recommended standards are intended to apply to items that have a material effect on the operating results or the financial position of an organization. Volunteer organizations that perform a single service function may retain a simple and unsophisticated accounting system and yet conform to the standards.

It is recognized that some of the suggestions for disclosure in financial reporting will not be applicable to smaller organizations.

**ACCOUNTING STANDARDS**

The accounting system should provide proper control for management and be able to produce informative groupings for financial reporting. The accounting standards recommended are as follows:

- (a) **THE ACCRUAL BASIS OF ACCOUNTING** should be used for all financial reporting. Under this method all support from the general public is recorded at the time it is pledged; revenue is recorded when earned and expenses are recorded when incurred. Accrual accounting does not necessarily require that an organization change its customary method of bookkeeping, because for smaller organizations, the accounts can be adjusted for preparation of annual financial statements. Reporting financial transactions for the year on the receipts and disbursements basis is not acceptable as this merely discloses the change in the bank balances during the year, not necessarily the results of the operations for the year.
- (b) **FUND ACCOUNTING** should be used where it is appropriate to segregate the accounts into categories for Operation Section, Property and Equipment, endowments and Trusts and Held in Custody for Others. Fund accounting means the use of accounting procedures in which a self-balancing group of accounts is provided for each category.

- (c) **FUNCTIONAL DISTRIBUTION** of expenses should be used when an agency performs more than one function or activity. In addition to recording expenses by type of expense, such as salaries, printing and telephone, they should be allocated by programs, fund-raising and administrative activities.  
Such a distribution will aid the Board and management to review its budget and assess whether the Expenses are effective in terms of value received. It will also give more meaningful information for financial reporting.
- (d) **RELATED ACTIVITIES** that are intended to be self supporting, such as camp operations, cafeteria operations or sale of pamphlets should be recorded in a separate group of accounts. If the related activities are major undertakings in relation to the total activities of the organization, the financial transactions should be disclosed in a separate agreement.

## UNITED WAY ADMISSION PROCEDURES

The United Way will admit as Funded Organization/Collaboratives only those organizations, which meet a proven need, that address the approved goals within the Impact Areas identified in our community.

The United Way accepts submissions from any not for profit organization in good standing with Canada Revenue Agency. (Approved June 22, 2009)

1. Applicants may be requested to provide the United Way with all or some of the following documents and information for financial support:
  - (a) Date of Incorporation
  - (b) Constitution and By-Laws
  - (c) Charitable Organization Registration No./Business Number
  - (d) Board of Directors
  - (e) Copy of most recent audited statement
  - (f) Completion of Admission application providing information on:
    - (1) Profile of Organization
    - (2) Source and Disposition of funds
    - (3) Programs and Accomplishments including clearly defined Goals and Objectives
    - (4) Organization
    - (5) Staff and Volunteers
    - (6) Immediate Needs
    - (7) Functional Budget for Proposed Service(s)
    - (8) Future plan
    - (9) Identification of community Impacts, and Outcomes of the programs
    - (10) Solid measurements to evaluate the programs relative to its goal and objectives
2. Community Investment Committee Representatives of the United Way will meet with the agency applying for annualized funding. They will take their recommendation to the Board of Directors, who then vote on their findings. The agency will receive written notice of The United Way's decision, expeditiously.
3. If successful, the agency will undergo the Review Panel process and such recommendations from the Panel will be reviewed by the Community Investment Committee with ultimate responsibility lying with the Board of Directors.
4. The amount of money invested by United Way will depend on approval of the agency's submission by the Agency Board of Directors and the success of the United Way campaign.
5. The agency no Longer must have first received Venture Grant Funding as of June 22, 2009

## UNITED WAY RESERVES

### **1. DEFINITION**

Reserves are those funds reported in the liability section of the Balance Sheet and are sometimes called "Residual Equity". Donor restricted funds are excluded and are identified as legacies, bequests and memorials and are available for future use at the discretion of the Board.

### **2. POLICY**

To establish and maintain a sum unencumbered and uncommitted at a level relative to:

- (a) The amount committed to funding programs of Funded Organization/Collaboratives
- (b) To the cost of administration of The United Way
- (c) To the amount raised in the annual campaign
- (d) To any emergency needs as may be determined from time to time by the Board of Directors

### **3. PURPOSE, RATIONALE**

The reasons for establishing and maintaining reserves are:

- To provide a necessary and reasonable amount of working funds to financially operate the organization.
- To provide funds to help stabilize a level of community investment or a level of increased investment to Funded Organization/Collaboratives when events affect the source and application of fund revenue.
- To provide funds to meet unexpected organizational needs.
- To provide funds to meet emergency needs of Funded Organization/Collaboratives.
- To provide a sum to make up a deficiency in the campaign, either in results or collection experience.

### **4. SOURCE**

Reserves will be born from the cumulative excess of support and other revenues over expenditures (operations).

**5. AMOUNT**

The amount of reserves will total not more than the combination of four months of current Community Investment to Funded Organization/Collaboratives and other funding programs, plus four months of total operating costs of all United Way operations.

**6. MAINTENANCE**

The status of reserves will be calculated at the end of the fiscal year. Any reserves in excess of the target will be or may be used as a source of funds, along with all other sources for the next year's agency Community Investments and operating expenses. Any deficiency in the reserves will be supplemented from funds in the following year(s) depending upon the amount of the deficiency and according to the following schedule:

Three per cent of each goal will be allocated to reserves if needed. The allocation to reserves will be the first funding eliminated in the event of a campaign shortfall.

At the end of each fiscal year, the deficiency will be recalculated and the maintenance plan adjusted accordingly.



## VENTURE GRANT PROGRAM

Updated  
April 2004

The United Way of Sarnia-Lambton will commit a minimum of five (5) per cent of the gross campaign achievement (including the total money raised through the Donor Option Program for non-Funded Organization/Collaboratives) for the Venture Grant Program.

Note: *Effective April 1, 2015, currently funded agencies under a three-year funding term are no longer eligible for Venture Grant Funding. Those Funded Agencies wishing to apply SHALL form a partnership or collaborative with an eligible agency and apply under it.*

Approved June 15, 2015

### TYPES OF PROJECTS SUPPORTED

1. New Services: Start up funds to carry a new service through the development stages while a permanent funding base is sought.
2. Services not previously funded by the United Way: Any eligible service provider may apply for Venture Grant funding for a specific program.
3. Service providers that meet United Way criteria and are interested in applying for Funded Organization/Collaborative Status for on-going program funding, as of June 22, 2009 are no longer required to have first been funded for a *minimum of one year* through the Venture Grant Program. (Receipt of Venture Grant funds does not guarantee on-going program funding).

### ELIGIBILITY REQUIREMENTS

- 1) Funding is available to Community Service providers throughout Lambton County whose services fit within some or all of the United Way current Impact Areas.
- 2) The statement of the specific community need must be clearly established based on United Way's program funding policies, as well as goals, objectives and performance indicators.
- 3) Projects must have clear and concise plans detailing what is to be provided and how it is to be accomplished utilizing the Impact Model of funding outlined in the proposal.
- 4) Program Outcome Measures/Indicators need to be identified to measure Program Outcomes/Impacts. The tools that will be utilized to measure what change has or will occur as well as how people have or will benefit from having the program available must be clearly stated.
- 5) Projects are eligible for one year of funding; up to three years.
- 6) The maximum funding a program can receive is \$30,000 annually.

## **EXPECTATIONS OF FUNDED PROJECTS**

**First and foremost, the Funded Organization/Collaborative must operate under the terms and conditions in the contract signed by itself and the United Way of Sarnia-Lambton as per the terms and duration of the said contract.**

1. To discuss with the United Way at least two Program Outcome Measures/Indicators the Service Provider proposes to use. This will be agreed upon by both the United Way and the Service Provider as well as the time for, and method of assessment or evaluation.
2. To follow through on the proposal as outlined at the time of acceptance.
3. To use funds for Operating purposes only.
4. To provide both program and budget information as required by United Way.
5. To publicly display the United Way Logo on all promotional materials for the program funded through the Venture Grant Program in order to strengthen public identification of both the United Way and the service provided.

## **APPLICATION PROCEDURE**

1. It is recommended that applicants first discuss the project with United Way Senior Staff. At this time the application procedure will be explained if the proposed project appears to qualify.
2. Applicants will be requested to complete a Venture Grant application form online linked from the United Way website.
3. The Community Investment Committee will review the application, and then make a recommendation to the United Way Board. The Community Investment Committee may assign persons they deem necessary to first review the submission for the information of the Community Investment Committee and/or Board.
4. The Board makes the final decision, and will then inform the applicant.

## **MAXIMUM SIZE OF GRANT AND TERM**

February 2002

The maximum funding a program can receive through the Venture Grant Program is \$30,000 annually. A program can be funded through the United Way of Sarnia-Lambton Venture Grant Program for a maximum of three years.

All Venture Grant forms including submissions and reports are online and located on the United Way of Sarnia-Lambton Website.
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## **COMMUNITY RESPONSE GRANTS**

The United Way has established a Community Response Grant to support meritorious services that would not otherwise have access to United Way funds, and may find themselves in an emergency situation. The Executive Director has discretion over this fund and can make funding decisions as outlined below.

It is further recommended that Community Response Grants be unrestricted by any program or organizational eligibility criteria, and that Grants be limited only by dollar value and the total dollars disbursed under the program in any one year. The components of the grants program are:

### **1. ELIGIBILITY**

Community Response Grants may be awarded to any needy organization in Lambton County except:

- (a) Funded Organization/Collaboratives of the United Way.
- (b) Organizations presently in receipt of Venture Grant Funds.

### **2. SIZE OF THE COMMUNITY RESPONSE GRANTS FUND**

#### **Community Response Grant Policy. May 8, 2001**

To amend the Community Response Grant Policy as follows: The Maximum amount of funding the Executive Director can make is \$2000 for each application or emergency – up from \$500; increase the maximum limit for the Board from \$2,000 to \$3,000; and to amend the total available in the fund to .5 per cent of the campaign accumulative.

Therefore, each January, the Board shall set aside the funds necessary to equal .5 per cent of the reported campaign achievement.

### **3. PUBLICITY**

It is expected that the United Way would publicly announce each funding decision to local media and this information may be used in any campaign promotional or informational tools.

The Executive Director will inform Board Members of each funding decision made at the following regularly scheduled Board Meeting.

## **STRATEGIC SPONSORSHIP FUND**

A maximum of \$10,000 will be available on an annual basis for sponsorship of **appropriate** events or activities by a **CRA** registered charity in good standing. The event or activity **must not be a fundraiser**, but instead be viewed as a community service which is both consistent with United Way of Sarnia-Lambton values and vision, and, focused within a demographic market which would be of strategic importance to the United Way of Sarnia-Lambton.

Approval for any sponsorship requests shall be approved by the Executive Director and two Executive Committee Members and reported to the United Way of Sarnia-Lambton Board of Directors at its next scheduled meeting.

This is a new Fund approved by the Board of Directors on or around February 20, 2018 by electronic voting - email

## FUNDING POLICIES

### COMMUNITY INVESTMENT COMMITTEE VENTURE GRANT PRE-APPROVAL

**Approved November 2001.**

The Community Investment Committee is authorized to approve Community Investment applications to a maximum of \$2,000 per priority, (to a maximum of \$6,000 for any one application that clearly addresses all three United Way funding Impact Areas). The Committee is expected to report to the Board of Directors at the next regularly scheduled Board Meeting all Community Investments granted.

### FUNDED ORGANIZATION/COLLABORATIVES BUDGET DEADLINE

All Funded Organization/Collaboratives that are to be reviewed, **must** have their complete program application submissions completed and delivered to the United Way by **the date set each funding process**. Because of the very tight timelines, **the United Way will NOT accept** any agency submissions after that set date and as such, that agency will not be reviewed for funding.

### GOVERNMENT FUNDING ELIGIBILITY

Statutory government funding is available for many services or portions thereof. The United Way will not duplicate this funding.

Assistance will be provided to obtain the funding from the appropriate authority or to seek increased funding allowance as required.

### MAXIMUM SIZE OF INVESTMENTS PER PROGRAM/AGENCY

**Approved April, 2002**

No one **Funded Program** will receive more than 7.5% of the total available for investment and that no one **Funded Organization/Collaborative** will receive more than 15% of the total available for investment. (Keep in mind that the dollar value of those percentages will grow as the total available for investment to Funded Organization/Collaboratives grows).

(As of June 22, 2009, the maximum amount of funding to any one program or agency had been removed)

## **FOOD, CLOTHING AND SHELTER**

The philosophy of the United Way is that the General Welfare Assistance Act, administered throughout the County of Lambton and financed through tax dollars, is providing for basic human needs of food, clothing and shelter for individuals and families who cannot provide for themselves. The expenditure of scarce United Way dollars for food, clothing and shelter is a costly duplication of what our tax dollars are providing. **(However, the United Way of Sarnia-Lambton realizes the new realities and has funded such programs in our community and will be open to such proposals presented by local, community Groups where a vital community need exists.)**

## **COMMUNITY RESPONSE**

Individual short-term emergency assistance may be considered for timing.

## **MEDICAL RESEARCH**

The United Way does not fund medical research. Funds raised in Lambton County must be used to provide tangible programs and services in Lambton.

## **SHELTERED WORKSHOPS**

The United Way does not fund sheltered workshops.

## **RESIDENTIAL TREATMENT SERVICES FOR CHILDREN**

Children in treatment under the age of 16 are eligible for government funding and so are not eligible for United Way funds.

## **PLANNED PARENTHOOD AND ABORTION COUNSELLING**

At present, both in Sarnia-Lambton and North America generally, there is one service area where there are profound divisions in the community; where organizations or programs whose exclusive or primary purposes are services which involve deeply held moral, religious and social values, it is not possible to balance community differences by supporting these services representing differing view points.

The United Way of Sarnia-Lambton therefore takes the position that United Way funds are not available in support of such programs, or activities of organizations whose exclusive or primary purposes are services, education and counseling related to sexuality, sexual activity, birth control and abortion.

## **FUNDS LEAVING LAMBTON COUNTY**

United Way is a local agency and it is expected that funds invested will directly benefit local residents. Agencies with National/Provincial affiliations can expect that funds earmarked to

leave the local area must be well justified in order to be supported by United Way. These funds, if any, must be on an equitable basis with other communities.

**GRANT TERMINATIONS**

Agencies must recognize that programs, which are funded through municipal, provincial an/or federal grants, have a limited life.

United Way will not assume the funding on these programs in whole or part unless they result in services, which are accepted for funding through normal application procedures.

**DEFINITIONS OF PRIORITIES** – April 2004

An agency will only qualify as targeting a United Way Priority if 50% or more of the clients, or expected clients, fit that priority.

## **APPEALS POLICY AND PROCEDURES**

**Updated November 15, 2004**

It was unanimously approved by the United Way of Sarnia-Lambton that as of November 15, 2004, there will no longer be an appeals process at the United Way of Sarnia-Lambton.

All regularly Funded Organization/Collaboratives have been notified on November 19, 2004.



## **REQUESTS FOR SUPPLEMENTARY FUNDING**

United Way encourages Funded Organization/Collaboratives to budget accurately to avoid surpluses or deficits. It is understood that agencies do not always have control over factors which influence their budgets, and, on occasion, a projected deficit may arise through no fault of the agency. For this reason, the United Way will consider requests for supplementary funding. Supplementary funding will not normally be made to support services of agencies which are not currently being funded by United Way

In reviewing a request for supplementary funding, the United Way Board of Directors will take into account the following considerations:

1. Whether the agency had control over the factors creating the financial shortage.
2. Whether the Funded Organization/Collaborative could reasonably anticipate the need for supplementary or additional funds.
3. Whether the need for additional funds was caused by an unanticipated increase in community need.
4. Whether the agency may reasonably be expected to obtain funding from other sources, such as Provincial or National affiliate organizations, governments, its own reserves, etc.
5. Whether approval of additional funds will affect the agency budget submission and United Way Community Investment in succeeding years.
6. The United Way having the necessary financial resources to increase the funding level.

An agency requesting supplementary funding should first discuss the situation with United Way staff. This should be done at the first sign of a problem. A request for additional funding outlining the reason for the shortfall should be directed to the Community Investment Director. The United Way Board of Directors gives approval for supplementary funding.

## **CHANGES IN SERVICE**

Funded Organization/Collaboratives must apply United Way funds to services approved for funding by the United Way.

## **OPERATING SURPLUSES**

Surpluses achieved in the Operating Account through efficient financial management or by a reasonable increase in income through sources other than Government support on a retroactive or non-designated basis may be retained by a Funded Organization/Collaborative provided that:

1. The amount of the surplus is transferred in the year in which it occurs to a "Reserve Fund".
2. The Reserve Fund is designed to meet subsequent operating deficits and/or the acquisition, replacement and renovation of physical facilities and other substantial fixed assets. Reserve funds must not leave the community.
3. The annual audited statement reflects the current transfer from the Operating Account and the cumulative total in the Reserve Fund, if any.
4. The United Way be advised of any changes made in transfers in or out of the Reserve Fund.

A surplus achieved as a result of increased government support on a retroactive basis and/or which has not been approved by the appropriate ministry or department for retention for a specific purpose, i.e. capital expenses, special projects or programs, etc., or any other major financial windfall not necessarily related to government is subject to return to The United Way. The existence of a "Reserve Fund" may affect the organizations' recommended Community Investment for the subsequent year.

## **DEFICITS**

The United Way does not fund deficits. Where agencies have special or emergency circumstances, an appeal may be made for assistance from the Reserve Fund. The agencies have a responsibility to budget carefully and operate within the funds available.

## **CAPITAL EXPENDITURES**

### **A NON-CAPITAL EQUIPMENT**

Any replacement equipment item valued at \$500 or a new equipment item at \$300 or less is considered as a non-capital item for inclusion in an agency's operating budget. No detailed information or special approval is required for United Way financial support of these items.

### **B CAPITAL EQUIPMENT**

Any replacement equipment valued over \$500 or a new equipment item valued at over \$300 is considered as capital equipment. Items, which United Way is requested to fund, in whole or in part, will be detailed in the budget, specifying the item, cost, use, and alternatives considered.

## **C MAJOR MAINTENANCE OR RENOVATIONS**

Agencies are required to give United Way advanced notice of probable major maintenance requirements.

The United Way will not financially participate, except through operating cost contributions, in the acquisition of additions or new agency facilities. Funds required for such purposes must be acquired by agencies through fundraising activities as outlined in the policy statement on Supplementary Fundraising or through a capital campaign approved by the United Way Board.

When requesting United Way approval for a capital campaign, agencies will provide an estimate of operating costs, and United Way's projected share of these expenses for the new facility. Approval of an agency capital campaign for new or additional facilities does not necessarily imply a long-term commitment on the part of the United Way for operational support of such facilities.

United Way will not usually consider mortgage costs as those for operations. Special consideration may, however, be given when the cost of purchase is more favorable than renting. Should the United Way agree to share in mortgage costs, it is an expectation the United Way would recoup a share of the equity in the facility equal to its contribution to principal payments in the event of dissolution of the agency.

## **D EMERGENCY REPAIRS**

Should the agency be faced with an emergency repair, which it is unable to finance through its operating budget or assets, the United Way may be approached for assistance. Such help would likely take the form of a loan.

**E      GENERAL CONSIDERATIONS**

1.      United Way funds would be available only for capital expenditures related to services currently receiving operating funds from the United Way. The cost of an item essential to several services (i.e. a new roof) would have its cost allocated to various services.
2.      Agencies covered by legislation - e.g. Charitable Institutions Act, Children's Institution Act, Day Nurseries Act, etc., should make full use of the capital projects provisions of these acts.
3.      Agencies are expected to make full use of bequests, legacies, trust, and surplus funds available to them for capital projects.
4.      Depreciation on buildings or equipment will not be funded by United Way.
5.      An agency wanting to alter its maintenance or capital acquisition from those presented in the approved United Way budget should consult with the United Way of such changes and request confirmation.

**FIXED ASSETS**

United Way Operating Policies provide that since United Way funds operating costs only, neither depreciation on fixed assets nor amounts transferred to reserves for replacement of fixed assets can be charged to operating budgets.

## **SUPPLEMENTARY FUNDRAISING – (Revised January 14, 2019)**

### **GENERAL PRINCIPLES**

#### **TIMING**

It is NOT acceptable for Funded Organization/Collaboratives to conduct Fundraising activities of any kind from September 1 through to November 30 of each year, with the exception of Bingos, Nevada Tickets, the exception noted below, and those rare events that are deemed grandfathered such as the Big Sisters Show and Sale, as clearly indicated in the signed contract between the United Way of Sarnia-Lambton and the specific Funded Agency. It is imperative that during the duration of the United Way campaign, Funded Organization/Collaboratives show "mutual confidence" that the United Way Campaign shall be successful in raising the required funds necessary to meet the obligations of agency funding made during the review process. Therefore, agencies should not conduct fundraising activities during the United Way campaign.

Agencies who conduct such activities during the United Way campaign not only reflect a "lack of mutual confidence" in the United Way, but put the United Way in the position of directly competing with agencies for the same charitable dollars. Such a situation is unacceptable to the public who each year give so generously.

Any agency wishing to conduct any type of fundraising activity during the period of September 1 and November 30, must have the approval of the United Way Board of Directors. Without such approval, any agency conducting a fundraising activity during the above mentioned time period, may have any such monies raised deducted from their funding amount, or some other penalty, as determined by the United Way of Sarnia-Lambton.

Fundraising for basic necessities of life, (food, clothing or shelter), and fundraising as a result of natural disasters, will be permitted if the following terms are met:

- The agency is very specific as to the need/use of the requested donation(s)
- The agency shares with the United Way prior to the event, the event details including the activity, date and time so that it will not conflict with any United Way scheduled activities.

This does not apply to any funds raised through the conducting of regularly scheduled Bingos or other approved activities.

### **FUNDRAISING THROUGH MEMBERSHIP PROGRAM**

Membership programs can be a source of strength to individual organizations and to the entire community service structure, e.g. membership fees for those who participate in and benefit from the services, parents of participating members, board and committee members and others who give money to organizations and interested people who wish to affiliate themselves with particular organizations because of personal convictions as to the importance of the agency programs and services.

Membership should be limited to persons selected for their interest in the organization's program and who, in return for their membership, will participate in the organization's program and receive regular communications about the organization, attend meetings, participate in programs, etc.

The membership fee should be clearly distinguished from a general contribution to the organization.

The extent to which privileges are given within various categories of membership rests with the individual organization.

Prior to any solicitation of memberships, a plan must be submitted in writing to and approval received in written form, from the United Way.

The organization should acknowledge its participation in the United Way and at no time should the memberships be solicited on the grounds that the United Way has failed to meet the budget approved or requirements of the organization.

Organizations must not conduct community-wide "membership" campaigns where participation in their organization's program is incidental and the amount of money raised is the primary interest. When membership programs are aimed at Corporations or individuals that are not themselves vitally interested in membership or the privileges of an organization, or "for any object other than the individuals personal interest in the organization, they cease to be membership programs and are only financial campaigns. The latter are harmful to the purposes of the United Way and will not be approved.

### **OTHER FUNDRAISING**

Project fundraising efforts by participating organizations, meeting the policy requirements below, are permissible without approval of the United Way. However, the United Way should be notified in writing in advance of each such activity so that it can provide interpretation to the public of:

- (a) Direct payment of reasonable fees by participants or recipients of service.
- (b) Allocations from public monies.
- (c) Allocations from foundations.
- (d) Bequests, endowments, legacies and memorials, and programs to encourage such gifts.
- (e) Unsolicited gifts.

- (f) Benefits, bazaars, fashion shows and sales of greeting cards, food products and other useful articles.

### **INCOME RECEIVED**

Income from membership programs or project fundraising activities is normally considered as operating income for the year in which it is received unless recognized in writing by the United Way as being for a specific, non-recurring purpose. Likewise, interest earned on such funds is considered operating income.

The annual budget request to the United Way must reveal the total amount of supplementary income anticipated during the subsequent year, and all supplementary income actually received must be reported in the annual accounts.

### **ETHICAL FUNDRAISING**

Funded Organization/Collaboratives must not solicit business or industrial organizations or their employee groups, to request supplementary funds. Funded Organization/Collaboratives undertaking unapproved supplementary fundraising will have the total amount so raised deducted from their United Way investment. This constraint is to protect our donors from a multiplicity of appeals. The United Way will not unreasonably withhold approval of fundraising projects, and it is expected that approval, when given, will enhance independent fundraising.

### **CAPITAL CAMPAIGNS**

The following policy is intended to promote the mutual co-operation and respect of the United Way and its Funded Organization/Collaboratives while protecting the autonomy of those agencies. Moreover, it is hoped this policy will enhance an individual agency's opportunities for successful fulfillment of its capital fundraising objectives and ensure optimum use of limited community resources in the delivery of human services.

A capital campaign is defined as:

*Any campaign that involves a public fundraising event for new land or buildings, renovations to existing buildings, or the acquisition of a major asset.*

The United Way may assist Funded Organization/Collaboratives conducting capital campaigns by:

- Establishing a mechanism to coordinate the number of capital campaigns undertaken in a given year by Funded Organization/Collaboratives.

- Providing adequate information to the community regarding the campaigns when called upon to do so.

Funded Organization/Collaboratives conducting capital campaigns must:

- Notify United Way of such campaigns.
- Not hold such campaigns or any other unapproved Fundraising activity concurrently with the United Way annual campaign. (September 1 through to November 30 of each year).
- Clearly define the capital nature of the project and explain it to the community.



## **PROJECT FUNDRAISING**

If, in any given year, supplementary income from project fundraising exceeds the budgeted amount, the organization may apply to the United Way for approval to retain the excess for an extended specified period provided:

1. The organization has no deficit on its total operation after application of such funds.
2. The United Way has approved the use for which the excess funds are intended.
3. The organization agrees in writing to use the funds to reduce its United Way funding if, at the end of the approved period, the funds or a portion thereof, remain unused.
4. Such funds are not used to expand services for which future United Way funds may be required.

## **TIMING**

It is NOT acceptable for Funded Organization/Collaboratives to conduct Fundraising activities of any kind from September 1 through to November 30 of each year, with the exception of Bingos, Nevada Tickets, and those rare events that are deemed grandfathered such as the Big Sisters Show and Sale, and the Scouts' Apple days. It is imperative that during the duration of the United Way campaign, Funded Organization/Collaboratives show "mutual confidence" that the United Way Campaign shall be successful in raising the required funds necessary to meet the obligations of agency funding made during the review process. Therefore, agencies should not conduct fundraising activities during the United Way campaign.

Agencies who conduct such activities during the United Way campaign not only reflect a "lack of mutual confidence" in the United Way, but put the United Way in the position of directly competing with agencies for the same charitable dollars. Such a situation is unacceptable to the public who each year give so generously.

Any agency wishing to conduct any type of fundraising activity during the period of September 1 and November 30, must have the approval of the United Way Board of Directors.

Without such approval, any agency conducting a fundraising activity during the above mentioned time period, may have any such monies raised deducted from their funding amount, or some other penalty, as determined by the United Way of Sarnia-Lambton. This does not apply to any funds raised through the conducting of regularly scheduled Bingos or other approved activities.

## **BINGOS**

In view of the enormous dependence United Way agencies have on the conducting of Bingos as a source of Supplementary Income; and in view of the fact that such conducting of Bingos is part of a continuous 12 month plan to raise Supplementary Income; the United Way will recognize such events as an acceptable form of supplementary fundraising and in doing so will not penalize the allocations given to those agencies who conduct Bingos during the United Way campaign period.

It is understood the United Way recognizes the conducting of Bingos during the United Way campaign as an "exception" to accepted policy that agencies refrain from conducting supplementary fundraising activities during the United Way Campaign.

The United Way will ensure that monies donated to its annual campaign from the proceeds of Bingos will not be used as part of annual funding to the Salvation Army or the John Howard Society; thus respecting these agencies' policy with regards to gambling.

## **NEVADA TICKETS**

"Nevada" tickets, like Bingos, are permitted as an acceptable form of supplementary fundraising during traditional campaign months.

## **UNITED WAY INVOLVEMENT IN GAMING ACTIVITIES**

The United Way will GENERALLY not apply to the Trillium Foundation for any funding that in any way will benefit the campaign. Donors have made it very clear that United Way's involvement in Bingos, Nevada tickets, and other raffles is viewed very differently than receiving gaming revenue from such sources as Casino or Slot activities. The United Way does, however, encourage local community organizations to apply for any gaming revenues from the Province of Ontario.

The United Way will be involved in, subject to Federal, Provincial, and Municipal legislation, Bingos, Break-open tickets, and raffles.

## **TERMINATION OF AFFILIATION WITH UNITED WAY**

United Way funding to a Funded Organization/Collaborative may be terminated in three ways:

1. The Funded Organization/Collaborative may request the termination of United Way funding.
2. The Funded Organization/Collaborative and The United Way Board of Directors may come to a mutual agreement to terminate the funding arrangement.
3. The United Way Board of Directors in its annual review of an agency may decide that it wishes to terminate the funding arrangement with that agency for any number of reasons consistent with the policies of the United Way of Sarnia-Lambton.

### **Should the association between The United Way and any agency be terminated the following procedures will apply:**

1. Notification in writing must be given to the other party at least six months prior to the severance; except in the case of disbanding. Termination will normally take effect at the end of the United Way fiscal year (December 31). This should allow time for financial adjustments.
2. The United Way and the agency to announce the termination and the effective date thereof will issue a joint public statement.
3. An effort will be made by both parties to maintain positive public relations for their mutual benefit.
4. The agency will not conduct a fundraising campaign at the time of the annual United Way campaign. The first independent campaign will officially state the termination date of The United Way affiliation.
5. Reapplication to join the United Way will be considered on the same basis as that of any new service.

## DONOR OPTION

Updated February 19, 2002 Please note that the Donor Option Policy has been updated to reflect expected Privacy Legislation to be tabled by the Provincial Government in 2002. Further changes to the policy may be required.

### POSITIVE DESIGNATION TO FUNDED ORGANIZATION/COLLABORATIVES

Designations to Funded Organization/Collaboratives are considered "First Money's In" meaning the donation is part of their annual investment amount unless the total designation to the agency is greater than the value of the allocations. In this case, the agency would get the greater of the two amounts. Please note that Funded Organization/Collaboratives may opt to request \$1 from the United Way of Sarnia-Lambton and expect to receive in that case the total designated amount. This will save both the United Way and the particular Funded Organization/Collaborative time going through the Community Investment process. Please note that the Funded Organization/Collaborative is still expected to sign a Business Contract and honour all other expectations of a Funded Organization/Collaborative.

As of June 22, 2009, the United Way will not guarantee any organization any amount of money though it's Donor Option program.

**Beginning with the 2002 Campaign, United Way Funded Organization/Collaboratives WILL NOT receive a list identifying donors and addresses as a result of new privacy legislation expected.**

### NEGATIVE DESIGNATIONS TO FUNDED ORGANIZATION/COLLABORATIVES

The grand total of all negative designations make up a pool of dollars (Negative Designations Pool) to be kept separate from the pool of dollars for Investment purposes. (The General Community Investment Pool). Once the Community Investment process has been completed, each agency's share of the "General Community Investment pool" is calculated. The agency receives the same share of the "Negative Designations" pool less the amount it was negatively designated. This additional money is paid out to the agencies in addition to their approved Community Investment level. Once again, agencies do not receive a list of donors who negatively designated to them, only a total.

Note in the recent campaigns, these "Negative Designations" have been so small in amounts that the funds have simply been left as year-end surpluses with the United Way. In each of the past couple of years, the total amount is less than \$250.

### POSITIVE DESIGNATIONS TO NON-FUNDED ORGANIZATION/COLLABORATIVES

Pledge donations directed to non-Funded Organization/Collaboratives are paid out in full to the agencies three times per year with the first payment usually in April, second installments in September, and the final payment in February of the following year. No administration fee

is charged, however, only the money collected will be forwarded to the agency. (The United Way will not "guarantee" the pledges). Agencies can also expect, if designated, cash contributions to be sent with the first quarterly payment in April from the immediate past campaign.

**Beginning with the 2002 campaign, Non-Funded Organization/Collaboratives, as a result of pending government privacy legislation, WILL NOT be given donor's names, addresses, or other identifying information.**

**ELIGIBILITY:**

All recipient non-Funded Organization/Collaboratives must be recognized by Canada Revenue Agency (CRA) as a charitable organization and possess a valid registration number. Recipient agencies are required to report to the United Way the registration number, as it is required by the United Way to meet existing CRA guidelines.

The United Way maintains a list of all past and current charitable organizations.

**MINIMUM DONOR OPTION DONATION AMOUNT**

Any individual donor may utilize the Donor Option Program to designate all or part of his/her donation. However, in an effort to achieve greater cost efficiency, United Way will NOT ACCEPT OR ACKNOWLEDGE Donor Option designations in amounts of donations less than \$10. Therefore, \$10 is considered a minimum contribution to be designated.

**NON-FUNDED ORGANIZATION/COLLABORATIVE BECOMES A FUNDED ORGANIZATION/COLLABORATIVE**

In the case when a non-Funded Organization/Collaborative becomes a Funded Organization/Collaborative they will be allocated funds at the next annual allocation of campaign funds.

**FUNDED ORGANIZATION/COLLABORATIVE BECOMES NON-FUNDED ORGANIZATION/COLLABORATIVE**

In the case when a Funded Organization/Collaborative becomes a non-Funded Organization/Collaborative, the agency will receive the total amount designated positively to it from the previous or current campaign. Negative Designations do not come into effect as the agency's percentage of the "General Allocations Pool" is zero.

## Appendix A

## Board Member Roles and Responsibilities

**Revised: January 1, 2002**

### **General:**

The United Way of Sarnia-Lambton Board of Directors is comprised of 15 Volunteer Directors. Listed below is an overview of the roles and responsibilities of the United Way of Sarnia-Lambton Board of Directors. It has been estimated that in a typical year, a Volunteer Board Member might expect to commit 40 to 60 hours per year while on the Board.

### **Role:**

- The Director has a fiduciary responsibility for the overall financial performance and viability of the United Way of Sarnia-Lambton.
- The Director's responsibilities are more strategic and visionary in nature.
- The role of the Board of Directors is to set local United Way investment and administration policy, and to give final approval for a variety of Sarnia-Lambton initiatives including investment decisions within the many funding programs available.
- The Board of Directors approves the Three-year Strategic Plan and the annual Business Plan while reviewing the annual Performance Report to ensure annual goals and objectives have been realized.
- It is not the duty of the Directors to approve or to be involved in the day to day running of the United Way of Sarnia-Lambton.
- The Directors are expected to be familiar with all United Way of Sarnia-Lambton Policies and Procedures, and to conduct themselves in accordance with such policies, including Conflict of Interest guidelines, attendance, etc.

### **Commitments:**

United Way of Sarnia-Lambton Board Members are expected to attend the following events:

- Board Meetings (currently 6 times per year; two hours in length).
- The Annual General Meeting (usually in March or April each year).
- Orientation and Training for new Board Members (provided as required).
- Additional Training Sessions as required.
- Any additional Board Meetings that might be called from time to time as required.
- Various Campaign Special Events.

The Volunteer Board Member shall from time to time be asked to speak on the behalf of the United Way at company campaign rallies, bring greetings on behalf of the United Way, etc. The Director is also expected to promote and support the United Way Campaign and its activities throughout the community.

## **President's Roles and Responsibilities.**

### **General:**

The United Way of Sarnia-Lambton President manages the 15 member Board of Directors. Listed below is an overview of the roles and responsibilities of the United Way of Sarnia-Lambton Volunteer President. It has been estimated that in a typical year, a Volunteer President might expect to commit 80 to 160 hours per year.

### **Role:**

- The President has the absolute fiduciary responsibility for the overall financial performance and viability of the United Way of Sarnia-Lambton.
- The President shall speak on behalf of the United Way Board of Directors when required.
- The President ensures the Board Meeting minutes and agendas are prepared for each Board Meeting and works very closely with the Executive Director in this and other capacities.
- The President helps set the strategic direction of the United Way. Tools include the annual Business Plan and the regular President's Report at Board meetings.
- While it is not the duty of the President to approve or to be involved in the day to day running of the United Way of Sarnia-Lambton, the President does conduct the annual Performance Appraisal on the Executive Director based upon clearly established goals and objectives.
- The President is expected to be familiar with all United Way of Sarnia-Lambton Policies and Procedures, and to conduct him or herself in accordance with such policies, including Conflict of Interest guidelines, attendance, etc.

### **Commitments:**

United Way of Sarnia-Lambton President is expected to attend the following events:

- Board Meetings (currently 6 times per year; two hours in length).
- The Annual General Meeting (usually in March or April each year).
- Orientation and Training for new Board Members (provided as required).
- Additional Training Sessions when required.
- Any additional Board Meetings that might be called from time to time as required.
- Various Campaign Special Events, such as the Corporate Power Breakfast.

The President is also expected to promote and support the United Way Campaign and its activities throughout the community.

## **Executive Committee Members Roles and Responsibilities, Vice President**

### **General:**

The United Way of Sarnia-Lambton Executive Committee is made up of the President, the two Vice Presidents, the Treasurer, and two Members at Large. The President and the two vice Presidents will be elected annually following the Annual General Meeting by the Board. The Treasurer and the two members at large will be appointed by the Board following the Annual General Meeting. Typically, the two Members at large will be the Campaign Chair, and the Community Investment Chair. The Executive Committee does not meet often and so it would be expected that the estimated time commitment in typical year might expect to be 10 to 20 hours per year in addition to the Board of Director's time commitment.

### **Role:**

- Either of the two Vice Presidents shall speak on behalf of the United Way Board of Directors in the absence of the President as required.
- Either of the two Vice Presidents may act in the position of the President should he or she be unable to do so either in a temporary or more longer term.

### **Commitments:**

United Way of Sarnia-Lambton Vice Presidents are expected to attend the following events:

- Monthly Board Meetings (currently 6 times per year; two hours in length).
- The Annual General Meeting (usually in March or April each year).
- Orientation and Training for new Board Members (provided as required).
- Any additional Board Meetings that might be called from time to time as required.
- Various Campaign Special Events such as the Corporate Power Breakfast.
- Attend Executive Committee Meetings as called by the President.

The Vice Presidents are also expected to promote and support the United Way Campaign and its activities throughout the community. He or she may be required to speak on behalf of the United Way at various campaign rallies or other informational presentations.



## **Treasurer's Roles and Responsibilities.**

### **General:**

The United Way of Sarnia-Lambton Treasurer is appointed from the 15 member Board of Directors by way of Board Motion at the Board Meeting following the Annual General Meeting. Listed below is an overview of the roles and responsibilities of the United Way of Sarnia-Lambton Volunteer Treasurer. It has been estimated that in a typical year, a Volunteer Treasurer might expect to commit 20 to 40 hours per year in addition to the Board of Director's time commitment. *Note: Finance and Audit committee was struck by the Board on June 16, 2014*

### **Role:**

- The Treasurer is responsible for the overall financial performance and viability of the United Way of Sarnia-Lambton.
- The Treasurer shall speak on behalf of the United Way Board of Directors on Financial matters as required.
- The Treasurer ensures the annual audit, and other CCRA rules are met at the United Way of Sarnia-Lambton.
- The Treasurer reports the final audit at the Annual General Meeting.
- The Treasurer ensures the annual budgeting process takes place and is required to report to the Board of Directors the financial health of the Untied Way as required..
- The Treasurer is responsible for assisting staff when required such as to assist in the investing decisions, and auditing process, and makes recommendations to the Board of Directors on various financial and investment policies.

### **Commitments:**

United Way of Sarnia-Lambton Treasurer is expected to attend the following events:

- Monthly Board Meetings (currently 6 times per year; two hours in length).
- The Annual General Meeting (usually in March or April each year).
- Orientation and Training for new Board Members (provided as required).
- Any additional Board Meetings that might be called from time to time as required.
- Various Campaign Special Events such as the Corporate Power Breakfast.
- The Treasurer will also be called upon from time to time to assist any Funded Organization/Collaborative who the United Way Board feels is in need of some financial advice, or to ensure the United Way Community Investment is properly used and not mis-managed.

The Director is also expected to promote and support the United Way Campaign and its activities throughout the community. He or she may be required to speak on behalf of the United Way at various campaign rallies or other informational presentations.



## **Campaign Chair Roles and Responsibilities.**

### **General:**

The United Way of Sarnia-Lambton Campaign Chair recruits and manages the Campaign Cabinet. Listed below is an overview of the roles and responsibilities of the United Way of Sarnia-Lambton Volunteer Campaign Chair. It has been estimated that in a typical year, a Volunteer Campaign Chair might expect to commit 150 hours per year, or more, in addition to the time required to attend the regularly scheduled Board Meetings and Executive Committee meetings.

### **Role:**

- Recruits the Campaign Cabinet.
- The Campaign Chair shall speak on behalf of the United Way Campaign when required. This would include media reports, Annual Meetings, and a variety of other events.
- The Campaign Chair shall work closely with United Way staff in the planning, development, and implementation of the annual campaign.
- The Campaign Chair will on a regular basis update the Board on the Campaign progress including any issues of concern.
- The Campaign Chair will hold and attend regular Campaign Cabinet Meetings and ensure agendas, etc are prepared in advance of the meetings.
- The Campaign Chair is expected to be familiar with all United Way of Sarnia-Lambton Policies and Procedures, and to conduct him or herself in accordance with such policies, including Conflict of Interest guidelines, attendance, etc.

### **Commitments:**

United Way of Sarnia-Lambton Campaign Chair is expected to attend the following events:

- Monthly Board Meetings (currently 6 times per year; two hours in length).
- Campaign Power Breakfast in the spring of each year.
- Annual campaign critique sessions with the Campaign Cabinet and/or the Loaned Representatives.
- The Annual General Meeting (usually in March or April each year).
- Orientation and Training for new Board Members (provided as required).
- Additional Training Sessions when required such as: Outcomes Measures Workshop in the Spring of each year, and the Panel/Community Investment Training in the Fall of each year.
- Any additional Board Meetings that might be called from time to time as required.
- Various Campaign Special Events and in-plant rallies, etc.

## **Community Investment Chair Roles and Responsibilities.**

### **General:**

The United Way of Sarnia-Lambton Community Investment Chair recruits and manages the Community Investment Committee and is involved to a lesser extent in recruiting the Citizen Review Panels. Listed below is an overview of the roles and responsibilities of the United Way of Sarnia-Lambton Volunteer Community Investment Chair. It has been estimated that in a typical year, a Volunteer Community Investment Chair might expect to commit 80 to 100 hours per year in addition to the time required to attend the regularly scheduled Board Meetings and Executive Committee meetings.

### **Role:**

- Recruits the Community Investment Committee.
- The Community Investment Chair shall speak on behalf of the United Way Community Investment activities when required. This would include media reports, Annual Meetings, and a variety of other events.
- The Community Investment Chair shall work closely with United Way staff in the planning, development, and implementation of the annual Community Investment Process.
- The Community Investment Chair will on a regular basis update the Board on the Community Investment progress, including any issues of concern, and make funding recommendations as required.
- The Community Investment Chair will hold and attend regular Community Investment Committee Meetings and ensure agendas, etc are prepared in advance of the meetings.
- The Community Investment Chair is expected to be familiar with all United Way of Sarnia-Lambton Policies and Procedures, and to conduct him or herself in accordance with such policies, including Conflict of Interest guidelines, attendance, etc.

### **Commitments:**

United Way of Sarnia-Lambton Community Investment Chair is expected to attend the following events:

- Board Meetings (currently 6 times per year; two hours in length).
- The Annual General Meeting (usually in March or April each year).
- Orientation and Training for new Board Members (provided as required).
- Additional Training Sessions when required.
- Any additional Board or Executive Committee Meetings that might be called from time to time as required.

## **Responsibilities**

It is expected that the Executive Director will manage the day to day operations of the United Way consistent with the mandate, guidelines, operational policies and applicable laws, and objectives as defined by the Board of Directors of the United Way of Sarnia-Lambton and is responsible for overseeing and managing all operations of the United Way of Sarnia-Lambton.

The Executive Director leads the staff team in all operations and considers the rights, and privileges of the United Way of Sarnia-Lambton customers. He leads an environment that encourages donors, volunteers, and potential investors to feel welcome, and receive the answers to the questions and concerns they may have. The Executive Director fully supports the philosophy of providing the very best in Customer Service to United Way customers.

The Executive Director works with the volunteer Board of Directors, and specifically reports to and is accountable to the Board President. At the United Way of Sarnia-Lambton, the Executive Director shall work with a variety of Board Members for a specific purpose such as the Campaign Chair, the Community Investment Chair, and the Treasurer, etc. The Executive Director supports the Board and its requirements.

The Executive Director is involved with the two core programs of the United Way; the Raising of Funds as cost efficiently as possible, and the Investment of Funds as effectively as possible. While staff has specific responsibility in these programs, it is the Executive Director that provides leadership, support, and direction to meeting the programs' objectives and outcomes.

The Executive Director is free and encouraged to utilize creative means in arriving at the United Way's Goals and Objectives. The Executive Director will periodically review operations to identify other, more cost efficient or effective methods of achieving the United Way of Sarnia-Lambton Goals and Objectives. These would include, but not limited to the use of technological advancements, improved training for staff and volunteers, recruitment, etc.

The Executive Director will work with the board, specifically the Board President, and will be accessible to the local media to speak on behalf of the United Way on issues that affect the United Way in its ability to conduct its two core programs. The Executive Director routinely will speak on behalf of the United Way in terms of negotiating, promoting, and other such requirements consistent to the United Way Goals and Objectives and as well as the understanding and the communications of the United Way Board and President, both internally, and externally.

The Executive Director is required to attend Board Meetings and will make recommendations to the Board, as necessary to update policies and procedures, or the overall direction of the United Way.

## **Community Investment and Finance Director; United Way of Sarnia-Lambton Responsibilities**

The Community Investment and Finance Director at the United Way of Sarnia-Lambton will manage the Community Investment Program and be responsible for the financial/bookkeeping activities at the United Way in a professional manner consistent to the mandate, objectives, goals of the organization, and is consistent to the Annual United Way Business Plans and other Strategic Plans. In addition, the Community Investment and Finance Director shall, in the absences of the Executive Director, manage the United Way in an equally consistent manner.

With respect to the C.I. Program, the C.I.F.D. will manage the annual budgets, as approved by the United Way Board, provide support to the C.I. Committee, the Board, the Treasurer, and other United Way volunteers. The C.I.F.D. will ensure that the United Way, including the Bookkeeping functions, is operating within its policy and applicable laws, and will seek available co-operative students, and other employment grants that will benefit the United Way in its ability to conduct its core businesses.

The C.I.F.D. will also take an active role in the planning and organizing the annual United Day of Caring. The C.I.F.D. may be asked from time to time to assist other staff in other United Way events.

It is within the scope of the C.I.F.D. position to provide the Outcomes Training workshop, handle Information and Referral requests and will complete the various related community and United Way surveys when required. The C.I.F.D. will work co-operatively with other groups in the community as it may pertain to the Community Investment Program. These may include, but not limited to, the Trillium Foundation, local government, media etc.

The C.I.F.D. is expected to play a role in the annual campaign. This would include the publication of various marketing/promotional campaign tools, participate in training of any volunteers and other campaign staff when required, and assist when available at United Way fundraising events and activities. The C.I.F.D. will also be expected to speak publicly about the United Way to a variety of groups as required.

As a management position at the United Way, it is expected that the C.I.F.D. will provide a variety of support to the Board of Directors.

In addition, the C.I.F.D. is also required to attend Board Meetings and to provide assistance as required. The C.I.F.D. will have input as to the short and long term planning initiatives at the United Way.

The C.I.F.D. will also be responsible for all correspondence to and from Community Agencies as they may pertain to Board action including the preparations of Agency Business Contracts and other such correspondence.

The C.I.F.D. is also expected to represent the United Way of Sarnia-Lambton on various community committees as discussed and agreed to with the Executive Director.

The C.I.F.D. will be the lead in the various financial matters at the United Way which would include the United Way Investments, etc.

## **Resource Development Manager** **United Way of Sarnia-Lambton Responsibilities**

The Resource Development Manager at the United Way of Sarnia-Lambton will report to the Executive Director and will help run the Campaign Program at the United Way including financial responsibilities consistent to the mandate, objectives, long term goals, and is consistent to the Annual United Way Business Plans and other Strategic Plans, and the Campaign Chair in a consistent and professional manner. In addition, the Resource Development Manager shall, in the absences of the Executive Director, and the Community Investment and Finance Director, manage the United Way in an equally consistent manner.

As one of three management positions at the United Way, it is expected that the R.D.M. will provide a variety of support to the Executive Director, Board of Directors, and other staff and volunteers. The R.D.M. is expected to attend Board Meetings and to provide assistance as required and will have input as to the short and long term planning initiatives at the United Way and participate in various public speaking activities to promote the United Way. The R.D.M. will be responsible for all correspondence in regards to campaign as it may pertain to Board action, and may represent the United Way at various community events.

The R.D.M. will work closely with the Executive Director, and is responsible for a variety of general duties at the United Way of Sarnia-Lambton. The R.D.M. may be asked to accept additional responsibilities as determined by the Executive Director.

With respect to the Campaign Program, the R.D.M. will be involved in nearly all aspects of the annual campaign and will work within the financial limitations as provided by the Executive Director and passed by the Board. The R.D.M. provides support to the Executive Director, Campaign Cabinet, the Board, and other United Way volunteers. The R.D.M. will ensure the United Way is operating within its policy and applicable laws, and will seek available co-op students, and other employment grants that will benefit the United Way in its ability to conduct its core businesses.

The R.D.M. works with the Executive Director to ensure the appropriate amounts of campaign resources are available adhering to the annual budgets approved by the Board for Campaign purposes. These resources include supplies, personnel, and a wide variety of other campaign tools. The R.D.M. will be responsible for the recruitment of Loaned Representatives and will assist in the training of Loaned Rep.s and both staff and volunteers as required, in order to conduct themselves in a professional manner consistent to United Way philosophies. The R.D.M. also ensures that the printed brochures, videos, and other tools are printed, and are available for use during the campaign to be completed in a timely basis and may develop new fundraising strategies and techniques to achieve maximum short and long term results.



The R.D.M. is directly responsible for the planning, implementing, and recruiting of the various resources required for the many United Way special events. The R.D.M. is also responsible for the United Way Planned Giving program, Corporate Power Breakfast, will assist in the planning and implementing of Day of Caring and other non-fundraising events as well including planning the Annual General Meeting. The R.D.M. will ensure gaming activities of the United Way are conducted legally and appropriately staffed.

In general, the R.D.M. provides the campaign support required to the Executive Director, staff, and volunteers both within the United Way specifically, and within any of the employee campaigns. The R.D.M. will also prepare the majority of United Way of Sarnia-Lambton news releases for approval by the Executive Director prior to circulation.

Other responsibilities of the R.D.M. at the United Way of Sarnia-Lambton will include the compiling and interpreting of local Demographics as needed. This would include local economic conditions and will provide the information for both Campaign uses and for use by the Community Investment Process in making funding recommendations. The R.D.M. may supervise students, co-op students, and other staff at the United Way as required, and ensures that all legal governmental requirements are fulfilled in accordance with the Canada Customs and Revenue Agency, and other federal, provincial, and municipal regulators. It is expected that the R.D.M. adhere to all United Way policies, values, and goals.

The R.D.M. will make recommendations to the Executive Director as necessary as it may pertain to the operations at the United Way of Sarnia-Lambton.

