



GLOBAL STANDARDS

for United Way Organizations

United Way International
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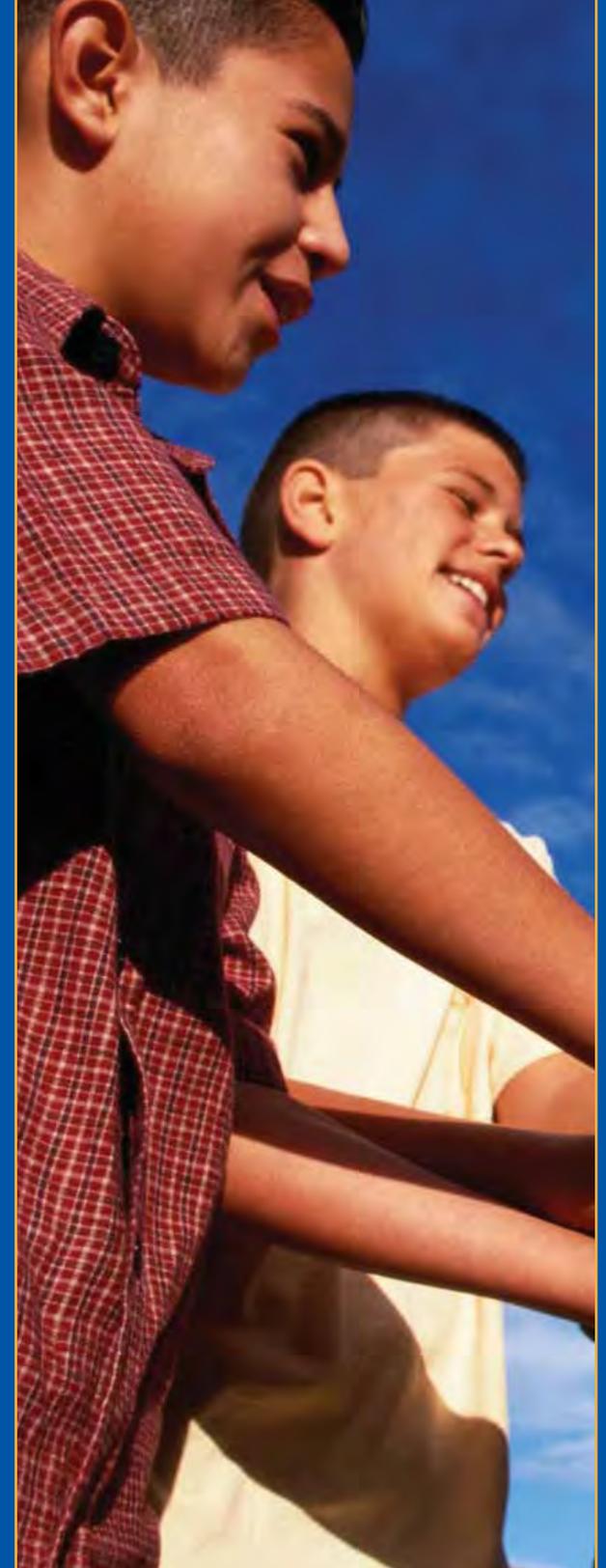
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Introduction

The United Way movement spans the globe, with local United Way organizations established in 47 countries and territories. They go by many names, and each organization is unique to its community, its country, and its culture. However, they are all united by the simple idea that people in a community can come together, pool their resources, and work collectively to deal with compelling community issues in a way that is more powerful than any one individual or entity alone.

This document, *Global Standards for United Way Organizations*, defines the essence of these organizations and articulates standards and practices that they can use to improve their performance. In addition, it establishes a common frame of reference that will allow them to better communicate with and learn from each other, and provides guidance when creating new United Way organizations in communities around the world.



WHY CREATE STANDARDS?

Because of the kind of work they do and the tremendous impact that United Way organizations have had in communities around the world, they have earned significant trust from society, which in turn provides special mandates, privileges and resources to assist them in their work. United Way organizations have a moral imperative to be good stewards of that trust and to strive for better ways to deliver on their mission to improve lives and strengthen communities. These standards represent a concerted effort to meet that moral imperative by ensuring excellence in ethical behaviour, accountability, transparency, efficiency and effectiveness.

Global standards are also needed because the world is becoming more connected. Technology has made it possible to travel and communicate across great distances, substantially increasing our knowledge and awareness of other peoples and places. Many corporations now operate on a global scale, with business interests and activities that reach around the world. This increasingly results in a desire for corporations and their employees to engage with and support local communities in many different countries. Many United Way organizations now share donors—individuals, corporations, and foundations—who have philanthropic interests with global reach. These standards will help ensure that the expectations of global United Way donors can be met regardless of where they wish to contribute to the success of local communities.

Finally, there is power and strength in operating as a system, even while working at the community level. These standards will help leverage the global network of United Way organizations by creating a common frame of reference that allows them to transfer knowledge more easily, pool resources, create shared systems and take advantage of a common brand and identity.



Who will Benefit?

These standards will benefit stakeholders at every level.

Local communities will benefit by having strong organizations that can inspire people to come together to address a community's most urgent human needs. Communities that already have a local United Way will have organizations that can better share ideas across and between communities, countries and continents. And communities that don't yet have a United Way organization will be able to use these standards as a template for creating one.

Standards will benefit donors—especially those who want to contribute to the success of diverse communities all around the world—by increasing accountability and transparency and promoting effective social responsibility and community investment practices. Standards will help ensure that United Way organizations, no matter what they are called or where they are located, share common values and principles, carry out their fiduciary responsibilities in an open and trustworthy manner, provide appropriate and meaningful recognition, and respect every donor's intent and expectations.

The local United Way organizations themselves will benefit by having new tools and resources that will allow them to run their organizations more effectively and efficiently. The standards can help build capacity by providing a common self-assessment tool which gives staff and volunteers a definitive model of how United Way organizations work and provide guidance on the steps that lead to success. The standards also

articulate fully how the various components that make up this complex model interact and work together to give United Way organizations their unique value proposition.

The standards will give other partners with whom United Way organizations interact—non-profits, government entities, charitable foundations—a common framework to help set expectations for their relationships with United Way organizations, and give them better knowledge and understanding of how United Way organizations work in communities around in the world.

Standards will benefit United Way International and national United Way organizations by helping to create a shared vision for the United Way movement worldwide and then assisting them in determining how best to allocate resources to help local members develop further to better meet the needs of their communities.

Thus, the movement as a whole will benefit, as the standards bring United Way organizations closer together and create opportunities for dialogue and collaboration among local organizations and around the world. Global Standards can help leverage the deep knowledge gathered in communities around the world by focusing people's attention on what these organizations have in common rather than on how they are different.

Our Vision for Global Standards

Global Standards will support the United Way movement in becoming an intelligent network that truly respects the diversity of communities around the world while also promoting and celebrating an idea that knows no borders—the idea of people coming together and pooling their resources toward a common cause of strengthening their community and improving lives.

The standards were created through an unprecedented year-long process in which more than 100 volunteers and staff from United Way affiliates and other organizations around the world were engaged in researching, creating, reviewing, and vetting the standards. Global Standards are based on a strong tradition of local and national standards for United Way organizations, and the standards in this document represent the best thinking of volunteers and staff from numerous United Way organizations. The Global Standards Initiative was sponsored by the **GE Foundation**, with significant additional support provided by **Philip Morris International** and **The Boeing Company**.

Local organizations can aspire to these standards, gaining inspiration and guidance from them. The standards define the scope of work which they should undertake, the values and principles upon which this is based, and the practices that can be followed to achieve the best results. The standards and practices were developed at a conceptual level, describing processes in generic terms that would be applicable in any community.

The Global Standards are intended to be a starting point—a “springboard” from which United Way organizations around the world can achieve greater impact in their respective communities while working more closely together as a system. They enable us to leverage the knowledge gained from a rich history of successful community-building work going back more than a century, and safeguard the collective reputation of the organizations that adopt and pursue this model.

As more United Way organizations aspire to and achieve these standards, more knowledge and experience will be gained, and these standards can be further enhanced. Global Standards provide a framework to move beyond unstructured information sharing to the development of definitive tools and resources, supporting the creation of new knowledge management systems, best practices exchange, and other means to foster and encourage excellence.



The first United Way organization was founded in 1887 in Denver, Colorado, U.S.A. as a response to the increased social problems that occurred as a result of the rapid industrialization that was affecting many communities at the time. Community leaders worked with local charities to coordinate fundraising efforts through a single fundraising campaign for all, and the process became a way to mobilize communities to address critical needs more effectively. The idea rapidly spread throughout communities in the United States and Canada during the next several decades.

The movement's evolution occurred naturally in response to local conditions, not as the result of any institutional effort at the national or international level. It caught on because it was a simple idea that got results and could be readily adapted to the conditions of any community. In fact, formal national organizations were not founded until the 1920's in the U.S. and the 1930's in Canada, and even then they were voluntary associations formed to provide a forum for idea sharing among the local organizations, rather than to provide centralized national leadership.

One of the earliest United Way organizations outside of North America was founded in 1923 in Melbourne, Australia. The Lord Mayor's Charitable Fund was established through an initiative of the Lord Mayor in consultation with businesses, unions and community groups. While originally founded to support hospitals, the Fund rapidly embraced all charitable agencies in metropolitan Melbourne. Similarly, the United Community Chest of the Western Cape was formed in 1928 in Cape Town. Influential people from South Africa had seen the idea work in North American communities and adapted it to their own culture and needs, where it has evolved and flourished throughout South Africa over the years.

Today, globalization is encouraging the development of United Way organizations around the world. As more corporations become multi-national or global in their approach to doing business, they have expressed increased interest in supporting the many communities in which they operate, and often look to United Way as a global philanthropic partner who can

engage employees and respond effectively and efficiently to human needs at the community level.

The model has proven to be very adaptable, changing to meet each country's and community's unique circumstances, including its culture, language and society. Community-based United Way organizations are at work in places as diverse as Ho Chi Minh City, Vietnam; Kingston, Jamaica; Lagos, Nigeria; Moscow, Russia; Santiago, Chile; Shanghai, China; and Tel Aviv, Israel. There are also national organizations in countries like Australia, Canada, Japan, South Africa, and the United States that provide networks where the local organizations can learn from each other, build capacity, and foster collective approaches.

United Way International (UWI) was formed in 1974 to serve these far-flung organizations, administer international grants, and support the creation of new United Way organizations around the world. UWI affiliates enjoy many benefits including being a part of a global network where innovations created in one place can be transferred and leveraged around the world. They benefit from the strength and consistency of an international brand, as well as a diverse volunteer base that can bring a wide variety of resources, talent and perspectives to bear on issues. The international affiliation of local United Way organizations also facilitates the introduction around the world of the United Way model of community-based philanthropy through the sharing of knowledge and experience with new communities.

Even as the United Way movement continues to respond to environmental changes locally, nationally, and internationally, the basic idea of a "United Way" still resonates. Each local organization will remain as diverse as its community and its culture, but the universal idea of people voluntarily pooling their resources and working collectively to deal with urgent community needs has stood the test of time and geography. United Way is a successful idea that can work wherever there are concerned individuals who are willing to act together to improve the lives of their fellow citizens.

Evolution of the United Way Movement

The universal human idea of people coming together, pooling their resources and working together to solve problems has always been intrinsic to the very idea of community. In the late 1800's in North America this idea began to take on a more institutionalized form. It started at the grassroots level in local communities, but grew to become the international movement that we now know as United Way.

What is a United Way?

Fondos Unidos, Community Chest, Yayasan Mitra Mandiri, Centraide, Dividendo Voluntario para la Comunidad, United Way—the names are as diverse as the communities they serve, the cultures they represent, and the people who support them. But these United Way organizations are united by one essential, universal idea—that members of a community can come together voluntarily, pool their resources and knowledge, and work together to address their most compelling human needs.

These independent, community-based organizations all share common characteristics and values. Working together, they form a global United Way movement of organizations with the following attributes:

A United Way is a volunteer led non-profit organization that leads, supports, and participates in collective, inclusive community efforts that build capacity and mobilize resources to improve lives and create positive, long term social change in local communities.

United Ways encourage and promote philanthropy and volunteerism, and are accountable to donors for how they use contributions and to the community for the results they achieve.

- **Volunteer-led** – Local volunteers govern the organization and are involved in all major decision-making. These volunteers reflect the community, its needs, and the aspirations of its citizens.
- **Non-profit** – United Way organizations are neither commercial nor purely governmental enterprises, but are independent community organizations that operate without intent to make a profit. All revenue is used to accomplish the organization’s mission except for what is needed to fund reasonable administrative costs.
- **Collective, Inclusive Community Efforts** – United Way organizations believe that it takes everyone working collaboratively to deal effectively with community problems. They value all points of view, are respectful of diversity and differences, and strive to include everyone in creating a shared community vision. United Ways work with many partners—business, health and human care agencies, other funders, government, individuals, universities, the media—to help the community pool its resources to meet its most urgent needs.
- **Build Capacity** – United Way organizations help community organizations to coordinate and learn from each other. United Ways provide knowledge and resources to community organizations to help them become more effective and efficient. As a result, the community’s collective capacity to meet human needs goes far beyond what each individual organization can do on its own.
- **Mobilize Resources** – United Way organizations believe that every community has innumerable assets and resources. United Way works to mobilize these resources—people, money, knowledge, relationships, goods and services—to help the community achieve its shared vision.
- **Improve Lives and Create Positive, Long-Term Social Change** – United Way organizations work to create strategies that improve lives in both the long and the short-term. Some of United Way’s efforts will focus on meeting a current human need, while other efforts will seek to address the root causes of that need to diminish that need in the future. For example, a United Way may put



significant efforts into feeding hungry families today, but it will also work toward improving the conditions that cause hunger and toward making the systemic community social changes necessary for there to be fewer hungry families in the future.

- **Local Communities** – United Way organizations are community based, and their work is carried out at the community level. United Way organizations focus on improving the local community as a whole, rather than just one segment of the population or a specific need. A United Way respects and reflects the local community—its history and culture, expectations and potential, and the unique needs of its citizens.
- **Philanthropy** – A United Way seeks to create a vibrant culture of philanthropy and social responsibility where individuals and organizations are motivated to voluntarily contribute to improve the material social and spiritual welfare of humanity through charitable activities. The creation and nurturing of that culture is undertaken to benefit the community at large.
- **Volunteerism** – A society in which people are motivated and encouraged to give freely of their time and talent to a greater cause without expectation of compensation is critical to the work of United Way and to a community’s capacity to address urgent needs and to encourage citizens to help each other.
- **Accountable to Donors** – United Way organizations are effective stewards of resources, investing them wisely and ethically in the community, and using them for their intended purposes. This reinforces trust and lends credibility to the work of United Way and its partners, encouraging further support.
- **Results** – It isn’t enough to count the frequency or volume of human services delivered. United Ways value results—lives changed, communities strengthened, and problems reduced or eliminated. United Way organizations aspire to take tangible actions, achieve and measure results, and then constantly communicate with donors, stakeholders and the community about the progress made and the resulting improvement in people’s lives.

Global Standards for United Way Organizations

DEFINITION OF STANDARDS:

- *the level of quality or excellence attained by somebody or some thing*
- *a level of quality or excellence that is accepted as the norm or by which actual attainments are judged*
- *principles or values that govern somebody's behaviour*
- *very widely used and generally regarded as authoritative*

¹All of United Way International's affiliated organizations must adhere to *Minimum Membership Requirements*, but these are distinct from the Global Standards.

²For more details, see *Appendix B – Process and Participants*

As the United Way movement continues to grow, it is imperative to increase the capacity and effectiveness of United Ways to serve their local communities all over the world. To that end, these Global Standards will help to define and guide the work of United Way organizations—laying out the standards and practices that make United Way organizations unique and successful wherever they are in the world.

These Standards are voluntary and were developed by consensus among more than 100 staff and volunteers from United Way organizations from around the world. They are aspirational and represent the highest levels of achievement or quality.¹ In the non-profit sector, standards are as much about results and stewardship as they are about excellent operations. These standards are no exception. Pursuit and attainment of these standards will help the public to feel confident that United Way organizations can be trusted to perform efficiently, be good stewards of donated resources, and most importantly achieve results in the form of improved lives and strengthened communities.

What follows are **Global Standards for United Way Organizations** based on the work of international Reference Groups, feedback from Members, and review by the Leadership Committee and Board of Directors.² They are organized into two sections to clearly distinguish standards which speak to our work in the community from standards which apply to the way in which our own organizations operate:

Work of United Way Organizations in the Community

1. Community Impact
2. Volunteerism
3. Resource Mobilization

Governance and Management of United Way Organizations

4. Governance, Ethics and Volunteer Leadership
5. Financial Accountability and Transparency
6. Reputation and Relationships
7. Operations and Management



Global Standards at a Glance

WORK OF UNITED WAY ORGANIZATIONS IN THE COMMUNITY

1. Community Impact

- 1.1 Community Knowledge
- 1.2 Broad Engagement
- 1.3 Shared Vision
- 1.4 Root Causes
- 1.5 Mobilization and Coordination of Resources and Activities
- 1.6 Measurable Results

2. Volunteerism

- 2.1 Promote Volunteerism
- 2.2 Mutually Beneficial
- 2.3 Entered into Freely
- 2.4 Safety, Courtesy, Respect and Support
- 2.5 Accurate Representation
- 2.6 Inclusiveness and Diversity
- 2.7 Mutual Commitment

3. Resource Mobilization

- 3.1 Community Resources
- 3.2 Donor Relationships
- 3.3 Voluntary Giving and Ethical Fundraising Practices

GOVERNANCE AND MANAGEMENT OF UNITED WAY ORGANIZATIONS

4. Governance, Ethics, and Volunteer Leadership

- 4.1 Mission-Driven
- 4.2 Volunteer-Led
- 4.3 Active Board Participation
- 4.4 Legal Operation
- 4.5 Ethical Behaviour
- 4.6 Accountability
- 4.7 Transparency
- 4.8 Risk Management
- 4.9 System Citizenship

5. Financial Accountability and Transparency

- 5.1 Board Oversight
- 5.2 Legal Compliance
- 5.3 Full Disclosure
- 5.4 Independent Verification
- 5.5 Effective Internal Controls

6. Reputation and Relationships

- 6.1 Prominent Reputation
- 6.2 Market and Customer Intelligence
- 6.3 Culture of Relationships
- 6.4 Consistent Brand Experience

7. Operations and Management

- 7.1 Customer Focus
- 7.2 Leadership
- 7.3 Involvement of People
- 7.4 System Approach to Management
- 7.5 Continuous Improvement
- 7.6 Factual Approach to Decision Making

Work of United Way Organizations in the Community

This section deals with the work of United Way organizations in local communities—the mission-related activities that differentiate United Way organizations from other local charitable organizations. These elements, all working together, form the central part of United Way’s work—why United Way exists in the first place. These Standards describe the way in which United Way organizations address community needs, engage volunteers, and mobilize resources to improve lives.

The section is divided into three components:

1. **Community Impact**—which describes the ways in which United Way organizations help bring communities together to determine their most important needs and mobilize to meet them.
2. **Volunteerism**—how United Ways work to engage the community’s most important asset—its people—to create community ownership of the work of United Way and other community organizations, and to encourage people to work together for common causes.
3. **Resource Mobilization**—strategies for mobilizing financial and other resources by creating a culture of community philanthropy, providing donors with reliable and attractive investment opportunities, and ensuring that donors are treated well and recognized for their contributions.

COMMUNITY IMPACT

Community Impact: improving lives by mobilizing communities to create sustained positive changes in community conditions.

Community impact is at the core of United Way's work in local communities —it is United Way's reason for being. United Way organizations do not undertake any activities—fundraising, volunteer engagement, or advocacy—without first answering the central question of how those efforts will help change the community in a way that improves lives.

An effective United Way organization helps bring a community together to create a collective vision, identify its most compelling issues, and determine the best strategies to address them. It identifies and mobilizes the assets, knowledge, partners, strategies and collective actions needed to create positive impact on the root causes of problems, and not simply to address the symptoms of social distress. This is the primary value that United Way organizations provide to their communities.

This section deals with the standards and practices behind community impact, and a United Way organization's role in helping communities create the vision and strategies for a stronger community and improved lives. While community impact describes a process of achieving long term change in improving lives, it is also a philosophy of how United Way organizations direct their work.



Community Impact Standards

1.1 Community Knowledge – United Way organizations seek to deeply understand community strengths, assets, and resources, as well as community issues and concerns in their historical and cultural context. Because of their work in the community, they can be a repository of such knowledge and in some cases, the knowledge that United Way organizations bring to community efforts is as important as the resources they can mobilize.

1.2 Broad Engagement – The work of United Way is truly “in” and “of” the community, rather than something that is based solely in the organization. United Way organizations engage people from all walks of life and all sectors—business, government, individuals, other non-profits and funders, and the media—as valued participants in the work of community impact, eager to contribute energy and resources to achieve the desired outcomes. Often, United Way is described as the “community table” at which everyone can meet, talk about issues from a collective point of view, and develop plans of action.

1.3 Shared Vision – United Way organizations help all participants to agree upon a shared vision for a healthy community, including determining priority issues, the end results that need to be achieved, and the strategies that have the greatest potential to achieve those results. Depending on the dynamics of each specific community, United Way may lead a planning process to create this shared vision, or may simply be one of many participants.

1.4 Root Causes – United Way organizations believe addressing root causes will achieve the greatest results, as opposed to only taking remedial approaches to issues. While United Ways are very active in remediation, they have a firm belief that dealing with root causes of a problem will achieve lasting results that will help the problem to actually diminish over time. Once root causes have been identified, the United Way organization can determine its role in addressing them.

1.5 Mobilization and Coordination of Resources and Activities – United Way organizations view resources broadly—it takes money, relationships, technology and other goods and services to create community impact. United Way organizations work with key partners who can provide the necessary resources and coordinate efforts to ensure that the resources are used as effectively and efficiently as possible to get results. When appropriate, United Way organizations also serve as advocates for the good of the community and for the changes that will help achieve community goals.

1.6 Measurable Results – United Way organizations work to create measurable results at the community level—lives changed, communities strengthened and community problems that diminish in magnitude over time. This takes into account program outputs, such as numbers of people served by programs or units of service delivered, and goes beyond that to look at long-term macro-level results that are far beyond what any one organization or program can do on its own. These kinds of results are often referred to as outcomes (as opposed to outputs) and reflect changes in important indicators such as employment, education, or family incomes. United Way organizations also play a key role in communicating results to donors, partners and the community at large. This encourages support and inspires even greater achievement in the future.

1.1 COMMUNITY KNOWLEDGE

1.1.1 Gather Information – Exchange information with other community leaders about the extent of the community’s strengths and weaknesses and how various populations are affected by community conditions. Use a variety of tools such as surveys, community meetings, focus groups, or in-depth interviews with key informants and donors. Also draw on community research that other organizations have done where it’s available.

1.1.2 Promote Dialogue – Host or promote formal and informal dialogues with various communities to identify their strengths and aspirations as well as concerns and challenges. Seek diverse perspectives by involving those most representative of the community, not simply the most apparent or vocal. Develop mutual trust and respect by valuing input equally from all community members and organizations.

1.1.3 Use and Share Knowledge – Broadly disseminate the information gathered through these community assessments to raise public awareness, inspire others to take action, and to mobilize resources. Use community needs assessments and other findings to inform the organization’s priority setting and strategies for change. Encourage partners and other funders to do the same.

1.2 BROAD ENGAGEMENT

1.2.1 Identify Communities of Interest – Identify people united by common interests, geographic location, cultural or demographic characteristics, and having a shared commitment to act on a particular issue.

1.2.2 Create Strong Relationships with Leaders – Build strong working relationships with other existing and emerging community leaders, organizations and people of influence.

1.2.3 Participate in Others’ Activities – Participate in activities convened and led by other community

leaders which support the organization’s mission and strategies.

1.3 SHARED VISION

1.3.1 Identify Partners – Identify anyone who has interest, experience, or expertise in the community’s issues, including service recipients, individual, corporate or foundation donors/investors, community and neighbourhood groups, and other organizations from the public, private, faith-based, labour, media and non-profit sectors. These individuals and organizations will provide the public will and support necessary to advance the community’s agendas for impact.

1.3.2 Mobilize Partners – Building on the publicity and interest generated by sharing community assessment and other findings (See Practice 1.1.3), convene potential partners to explore creative solutions to the community’s challenges. Use these discussions to foster tangible commitments to act together by pooling resources and information over the long-term. Build coalitions and foster collaboration among diverse community organizations.

1.3.3 Identify and Prioritize Issues – Review issues and aspirations identified by community assessments and dialogues and develop a process and criteria for identifying root causes and then setting priorities. Linking the results of these community dialogues with social research also helps direct organizations to root causes of community issues. Some criteria for prioritizing issues might include where changes in specific conditions would have great potential to improve many lives, where the current environment (social, political, economic, etc.) offers reasonable chance of success, where changes can be specific and measurable, or where the need is most urgent. Select the community priority areas that best fit the United Way organization’s mission and capacity. Encourage other resource providers to either partner on these issues, or to pursue complementary priorities under their own leadership.



Community Impact Practices

Community Impact Practices (cont.)

1.4 ROOT CAUSES

1.4.1 Plans and Strategies for Change – Create plans and strategies to achieve the desired results for each community priority issue. Define both short- and long-term goals. Plans should set out desired outcomes, objectives, strategies, and action steps.

1.4.2 Partners and Roles – Identify who can best address specific elements of the plan based on expertise, capacity and interests and select priority issues where there is the greatest potential and ability to make a long-term difference in addressing the root causes of an issue. Determine roles and responsibilities and establish mutual accountability with all partners.

1.4.3 Community Investment Portfolios and the Community Fund – Frame strategies as solutions to community issues and present them in a way where they can be linked to community and donor aspirations. These “investment portfolios” should convey the short- and long-term results that will improve lives; the impact those results will have on the community; and a case for the importance of the issue and the proposed solution. Donors can invest in these portfolios either directly, or by pooling their investment with others in a Community Fund where community volunteers then invest the funds across the different portfolios based on each strategy’s needs and urgency.³

1.5 MOBILIZATION AND COORDINATION OF RESOURCES AND ACTIVITIES

1.5.1 Consider All Resources – Every community has innumerable assets—human, financial and otherwise—that can and must be used for the betterment of the community. When considering resources, consider all community assets and not just financial resources. Resources can include money, people, knowledge, relationships, technology and other goods and services—whatever is necessary to address the community’s issues and improve lives.⁴

1.5.2 Investors – Recruit and engage donors and volunteers as active participants to help implement strategies that achieve community objectives. Connect them to the “Community Investment Portfolios” (see 1.4.3), help them take ownership of these solutions and encourage them to invest resources—time, money, talent—in making these solutions successful. Be sure to include as investors the members of communities directly affected by the priority issue

1.5.3 Partners – Convene, support, join, or lead initiatives that address priority community issues and bring about desired community outcomes. No one entity can do it alone, so it’s important to work with partners to mobilize individuals, families, vulnerable populations and human service institutions in response to crises. Ensure that efforts are coordinated to avoid duplication and maximize results and ensure effective, clear and regular communication among all partners about relevant activities and results.

1.5.4 Technology – Utilize and leverage appropriate technologies such as the internet to help identify and organize data, improve services, obtain resources, provide information, and report and measure results.

1.5.5 Advocacy – Advocate for changes in community conditions in a non-partisan way, speaking out as a community voice that puts the community first. Develop and articulate a shared community vision to show how to achieve positive change and improve lives.

1.5.6 Public Policy and Government Relations – Local, state and national governmental entities frequently play an important role in creating solutions to community issues. It may be appropriate to engage government in order to advocate for new legislation, public policies and administrative practices that support community objectives. Such activity should always be conducted in a non-partisan fashion. United Way organizations may become active in public policy by convening or participating in public policy discussions and ideas, building relationships with

³These “Community Investment Portfolios” must be closely linked to resource mobilization strategies that are compatible with prevailing community conditions. See *2—Resource Mobilization* for more details.

⁴For more information on how United Ways develop and use volunteer resources, see *2—Volunteerism*, as well as *4—Governance, Ethics and Volunteer Leadership*. For information on how United Ways develop and mobilize financial resources, see *3—Resource Mobilization*.

public officials or even creating a public policy infrastructure within the organization. Each country, culture and government is different and there may be significant reasons why a United Way organization may not want to involve itself in public policy initiatives. However, given the tremendous influence that government can have over issues of concern to United Ways, it may be prudent to periodically evaluate whether the organization should be involved in the public policy arena.

1.6 MEASURABLE RESULTS

1.6.1 Establish Metrics – From the very beginning, establish benchmarks for the community conditions to be changed, reflecting the current community conditions, and setting out the desired future state. Set goals that state the desired changes and a time-frame for achieving the goals, and then identify milestones that reflect expected incremental changes in the short, medium, and long-term. Agree on what data needs to be collected in order to assess progress.

1.6.2 Measure and Evaluate – Systematically gather and analyze data to determine how the targeted community conditions are changing. Recognize the difference between output data—the number of people receiving a good or service, for example—and outcome data—the deep changes created in recipients' lives and in community conditions. Understand that measuring outcomes is more difficult and that results often take time to emerge. Collaborate with others to commit resources, training and technical assistance to assist the community and local organizations with measurement and evaluation.

1.6.3 Obtain Narratives – To complement the data, obtain real-life stories of individuals whose lives are positively transformed by the goods or services provided, and illustrate the challenges faced as well as the positive changes effected by the program.

1.6.4 Monitoring and Assessment – Periodically review short-, medium- and long-term goals and strategies in light of the evaluation results. Use research where needed, to evaluate results and the effectiveness of impact strategies. Periodically identify, review and update benchmarks and indicators of progress. Make adjustments as needed.

1.6.5 Reporting Results – United Way organizations should use all materials, speeches, and special events to report on progress toward goals and success achieved.⁵ Qualities of excellent reporting include:

- Financial reporting clearly describing how donors' and partners' money was used;
- Language that makes it easy for readers to visualize both the activities and the accomplishments achieved;
- Strong reminders of the context: where the outcomes fit into the original strategies for change;
- Stories, testimonials and pictures.

1.6.6 Provide Recognition – Regularly recognize and celebrate those partners, donors, volunteers, charitable organizations and individuals that give their time, talent or knowledge to better the community.



⁵Reporting of results should be a part of a United Way organization's overall brand strategy, as well as a part of its overall strategy for accountability, transparency and donor relationships. See [6—Reputation and Relationships](#), [5—Financial Accountability and Transparency](#) and [3—Resource Mobilization](#) for more details.

Volunteerism

A climate in which people are motivated and encouraged to volunteer – to give freely of their time and talent to a greater cause without expectation of compensation – is critical to the work of United Way organizations, and even more critical to a well-functioning community’s capacity to address urgent needs.

Volunteerism is vital to a just society, fostering civic responsibility, participation and interaction. It strengthens communities by increasing their capacity to identify and respond to human needs. Volunteerism creates ownership of the community, its assets and needs, among the people who live and work there. Finally, volunteerism creates relationships at the institutional and personal level that are a vital part of the fabric of community.

In addition, volunteers play a critical role in United Way organizations. They are United Way’s greatest resource. They provide leverage in communities to make the critical changes that are necessary to improve lives and they ensure that United Ways continue to be accountable to the community and are addressing the most critical human needs. Volunteers lead United Way organizations, governing them and setting policies. In addition, volunteers are in the forefront of United Way activities—doing much of the resource mobilization, relationship-building, community agenda setting and other key functions.

Encouraging an active culture of volunteerism is one of the most important aspects of United Way’s work—both for its own sake and for the community’s. As community leaders, United Way organizations should play a vital role in the voluntary sector to support and enhance volunteerism, as well as setting an example of how volunteers should be treated, and how they should be directed in a way that truly has impact. This section deals with the standards and practices behind engaging volunteers in the community at large and in the work of United Way.



Volunteerism Standards

2.1 Promote Volunteerism – United Way organizations recognize that volunteers are a vital human resource for the entire community, not just United Way, and that promotion of volunteerism in a broad sense is good for the community. The climate that is created when people become accustomed to volunteering for the good of the community is much more conducive to the work of United Way organizations and their partners. In addition, volunteers should be included in every aspect of United Way’s work and directed toward the critical needs being addressed by United Way organizations.

2.2 Mutually Beneficial – Volunteerism is beneficial to community organizations by increasing their capacity to deliver on their missions; however the experience should benefit both the organization and the volunteer by providing the opportunity to develop skills, relationships or experiences, and derive satisfaction from contributing to the community good.

2.3 Entered Into Freely – Volunteer activities should always be entered into freely, without any coercion or force involved. By definition, volunteers are there by choice. In addition, volunteers should receive no financial compensation, direct or indirect, for their service.

2.4 Safety, Courtesy, Respect and Support – Volunteer activities are conducted in an atmosphere that is as safe as possible and respectful of the volunteer as a person, the volunteer’s time, and the cultural context of the volunteer and the community. In addition, volunteer opportunities are managed in an organized way that ensures volunteers are treated well, provided with appropriate training and supervision, and recognized for their gift of time and talent.

2.5 Accurate Representation – Volunteer opportunities are represented accurately to all volunteers and to potential volunteers during recruitment. Recruitment messages are realistic and clear about the nature of the volunteer activity and the needs being met by participation.

2.6 Inclusiveness and Diversity – A healthy organization and a healthy community have volunteers representing a mix of age, gender, ethnicity, and abilities. Volunteer recruitment and selection reaches out to diverse sources of volunteers. Genuine effort should be made to engage, recruit and select volunteers from a broad range of backgrounds, fully reflective of the community.

2.7 Mutual Commitment – Both volunteers and the organizations who are asking them to volunteer should be committed to each other. The volunteer should honour his or her commitment to the project or organization by following through on participation, and the organization should honour the volunteer’s commitment by providing a rewarding and satisfying experience.

2.1 PROMOTE VOLUNTEERISM

2.1.1 Broadly Communicate the Value of Volunteerism

– Create messages and message strategies about the value of volunteerism and community participation and disseminate them where appropriate. This may include creating a communications initiative focusing specifically on volunteerism—a good way to keep a United Way organization in view during times when fundraising is not being broadly conducted. Messages about recognizing the importance of volunteerism may be included as a part of normal ongoing organizational communications, including fundraising materials and results reporting.

2.1.2 Create Volunteer Recruitment Programs

– Serve as a resource for the community by creating an active recruitment program that matches volunteers with appropriate opportunities either within the United Way organization or with other community organizations. Even if the volunteer does not serve United Way directly, an effective volunteer matching process will create a positive relationship with the volunteer and may be beneficial to United Way in the future. In some communities other organizations may have taken the lead on this role—in that case cultivate a mutually beneficial relationship with that organization and provide financial and or other support.

2.1.3 Assign Qualified Staff/Volunteers to Program

– A qualified person should be designated to have overall responsibility for the volunteer program, and both community-wide and United Way-specific volunteer recruitment programs. This person can be either a staff member or an appropriate volunteer.

2.1.4 Actively Refer Volunteers to Other Organizations

– When a volunteer is more appropriately engaged in an organization other than United Way, refer that volunteer to that appropriate organization. Encourage reciprocity in this among community organizations.

2.1.5 Create Volunteer Training Programs

– Create training programs that teach members of the community about serving as volunteers in local non-profit organizations. This may include training on governance and board oversight, specific activities undertaken by non-profits, or general information about the roles, responsibilities and relationships of community non-profits. Program participants should be placed with the United Way organization or other community non-profits after completion of the program.

2.1.6 Direct Volunteers Toward Critical Community Issues

– Create a plan for involving volunteers specifically in making progress on the community issues that the United Way organization wishes to affect. Ensure that volunteers are made aware of these critical community issues, and promote the roles that they can have play in addressing them. Foster and manage relationships with volunteers who are involved in these community impact efforts to maximise these mutual benefits.

2.2 MUTUALLY BENEFICIAL

2.2.1 Assess Organizational Needs – Determine what the United Way organization’s actual volunteer needs are, and encourage other community organizations to do the same. Set goals for the number of volunteers needed, and tasks to be performed by volunteers. Do not accept volunteers when work is not available or appropriate.

2.2.2 Assess Volunteer Needs via a Screening Process

– When recruiting a potential volunteer, create a consistent screening process to determine what their motivations are for volunteering and attempt to match them with the appropriate volunteer experience. People volunteer for many reasons—an altruistic need to help people or the community, an interest in developing or utilizing a particular skill, social or networking needs, or an interest in a particular cause. The motivation of each volunteer should be considered when matching them with a volunteer position to ensure that the experience is mutually beneficial.

Volunteerism Practices



Volunteerism Practices (cont.)

2.3 ENTERED INTO FREELY

2.3.1 Forbid Coercive Practices – Ensure that volunteers are not being coerced in any way by the United Way organization or any other organization with which the United Way associates.

2.3.2 Forbid Volunteer Compensation – Volunteers should not be compensated in any significant material way for their work as a volunteer. Create a policy that explicitly lays out what a volunteer can or cannot receive in compensation for volunteering. This policy should be approved by the Board of Directors and made public. Staff may be hired on a full or part-time basis to perform essential tasks, but this should not be confused with the role of volunteers.⁶

2.4 SAFETY, COURTESY, RESPECT AND SUPPORT

2.4.1 Investigate Opportunities – Evaluate all volunteer opportunities to ensure that there is no danger to volunteers who participate. Opportunities that present an undue safety risk should not be promoted.

2.4.2 Communicate Risks – If there is a volunteer opportunity that is deemed necessary and appropriate by the community and the United Way organization, state clearly in advance the risks, physical, personal or financial, that could result from participation in the activity. This would include any physical danger presented in an opportunity (such as construction work), as well as any personal liability (such as the Board's financial liability and fiduciary responsibility).

2.4.3 Friendly Treatment – Volunteers are welcomed and treated as valuable and integral members of the organization's human resources. All courtesy and respect is extended to volunteers.

2.4.4 Training and Supervision – Volunteers receive appropriate levels of training and supervision according to their task and experience level.

2.4.5 Evaluate Project Leaders – Ensure that leaders of volunteer projects or activities are well-versed in how to treat volunteers, and are organized and respectful in their management of the project, and their management of volunteers.

2.4.6 Follow-up – Contact volunteers after the project or opportunity is over completed to garner feedback that can be used in future volunteer projects or opportunities. Inquire as to their overall experience, whether they thought their time was used wisely and effectively, and how they were treated.

2.4.7 Recognition – Appropriately thank and recognize volunteers. This recognition may be public or private, depending on the nature of the opportunity and the desires of the volunteer. Ensure that the volunteer is aware of the importance of his or her time and talent, and the results of his or her efforts.

2.5 ACCURATE REPRESENTATION

2.5.1 Job Descriptions – Create detailed job descriptions for volunteer opportunities within the United Way organization and make it a requirement for other organizations with which the United Way organization may place volunteers. The descriptions should detail the work, necessary skills, time commitment and risks involved in the opportunity, and clearly state the voluntary nature of the position.

2.5.2 Communication – Disseminate job descriptions to volunteers and ensure that they read and understand what they're volunteering to do. Continue dialogue, formally and informally, throughout the process to ensure that the volunteer still feels that the opportunity was represented accurately.

2.5.3 Orientation – Provide an orientation to volunteers about the organization for which they are volunteering, its programs, its policies, and procedures. Provide specific training to fully equip them for their volunteer assignments.

⁶Volunteer compensation can also create conflicts of interest. See 5—*Financial Accountability and Transparency* for more information.

2.6 INCLUSIVENESS AND DIVERSITY

2.6.1 Broad Outreach – Promotion of volunteerism, volunteer recruitment and selection reaches out to diverse sources of volunteers and includes outreach to all social, political, racial, class and ethnic groups.

2.6.2 Non-Discrimination – Volunteer opportunities are open to all who are qualified and no volunteer is discriminated against due to any ethnic, demographic, geographic, or other characteristics.

2.7 MUTUAL COMMITMENT

2.7.1 Communication – Job descriptions are accurately communicated to potential volunteers and volunteers agree to complete volunteer tasks to the best of their ability. Where volunteers are unable to honour commitments, they communicate that to the organization in a prompt and direct manner.

2.7.2 Regular Dialogue – Volunteers are routinely consulted to ensure that they are still able to honour their commitment to an activity, and to have the opportunity to give feedback to the organization.



Resource Mobilization

The mobilization of resources—money, knowledge, relationships, goods and services—is central to a United Way organization’s ability to deliver on its mission of changing communities to improve lives. Gathering and leveraging these resources is a significant part of United Way’s work in the community, and is one of a United Way organization’s critical measures of success.

By mobilizing these resources through programs of social responsibility, charitable giving, and philanthropy, United Way encourages individuals and organizations to make a willing contribution to the betterment of the community and to help meet urgent human needs. This is at the heart of United Way’s resource mobilization strategies and practices.

This section of the global standards discusses the standards and practices of how United Way organizations mobilize the necessary resources in a community and how those who provide the resources should be treated. As stated in previous standards, the concept of resources should be considered broadly to include everything that is necessary to achieve community goals. In this section, however, the primary focus will be on gathering financial resources.



Resource Mobilization Standards

3.1 Community Resources – Identify and mobilize all resources necessary to help deliver on the community’s goals for community impact, creating collaborations and promoting active involvement between the different members of the community as the basis of our resource mobilization activities.

3.2 Donor Relationships – The relationship with the donor is one of the most critical relationships a United Way organization has. United Ways respect the rights of the donor, including the right to privacy, confidentiality, and anonymity. They develop and implement donor relationship management tools and strategies to foster deeper relationships and respond accurately and efficiently to requests. In addition, United Way organizations promote the awareness and practice of corporate and individual social responsibility in the community and recognize donors’ generosity in appropriate and meaningful ways.

3.3 Voluntary Giving and Ethical Fundraising Practices – United Way organizations believe that charitable giving is voluntary and appeals for charitable gifts should be free of coercion, intimidation, retribution, or any unnecessary influence or pressure. In addition, United Way organizations’ solicitation and information materials are accurate, complete and provide a truthful representation of the organization’s community impact efforts and use of the funds. Clear policies exist with regard to the acceptance of gifts and the ethical behaviour of the fundraising staff.

3.1 COMMUNITY RESOURCES

3.1.1 Identify Potential Donors – Identify corporations, foundations, individuals, government, non-profits and other groups interested in addressing issues of importance to the community and cultivate strong ongoing relationships with them.

3.1.2 Promote Philanthropy – Promote and cultivate a culture of charitable giving and philanthropy in the community—both broadly in the community at large and specifically on the issues with which United Way and its partners are trying to achieve change.

3.1.3 Communicate a Shared Community Vision⁷ – Work with donors and potential donors to help them understand the community’s vision, and the strategies by which it will be achieved. Involve donors as volunteers in planning and decision-making activities that will increase their knowledge and awareness of community needs. Constantly communicate results and acknowledge donor contributions.

3.1.4 Diversify Fundraising – Raise funds via a diverse array of methods, based on what is appropriate for the community and what will be most effective. Fundraising methods may include community-wide annual giving campaigns, workplace fundraising campaigns (including payroll deduction campaigns), large gifts from wealthy individuals (including bequests or endowments), grants from governments, foundations or other funders, or special events. Employing diverse fundraising methods reduces dependence on any single method and helps to ensure a more reliable stream of funds.

3.1.5 Co-ordinate with Others – Link and coordinate resource mobilization strategies with those of other funders and programs to maximize results and avoid duplication.

3.2 DONOR RELATIONSHIPS

3.2.1 Respect Privacy and Confidentiality – Respect the privacy rights of all individuals. Ensure that all information about the donor or their donation which is private or confidential is not disclosed inappropriately, or provided to other charities or organizations without the donor’s permission. Provide the opportunity for anonymity to all donors. Comply with all appropriate laws regarding privacy and donor relationships.

3.2.2 Excellent Customer Service – Provide prompt and accurate responses to all reasonable donor requests, especially requests for information. Provide training and information necessary for staff to serve donors in a professional manner at all times.

3.2.3 Appreciate All Donors – Respect and appreciate all donors regardless of the amount of their gifts.

3.2.4 Nurture High-Value Donor Relationships – While respecting all donors, understand how to identify and nurture relationships with donors who have the greatest potential to give, thereby increasing the organization’s ability to create community impact. Given the size of these potential gifts, relationships with high-value donors may be complex and developed over a long period of time.

3.2.5 Manage Information – Keep accurate records and make them available to all staff who are involved in providing services to the donor. Efficiently share and manage donor information, ideally by recording information once, updating it frequently, and using it consistently.⁸

3.2.6 Manage Relationships – Designate a relationship manager for each donor or donor group who will be the primary contact and is responsible for a majority of communications and the management of that relationship.⁹

Resource Mobilization Practices



⁷See Standard 1.3 Shared Vision for more details.

⁸Well-run operations are critical to a United Way organization’s ability to keep and maintain donor records. For more information on the importance of effective systems and processes, see **7—Operations and Management**.

⁹Donor relationships should be a part of a United Way organization’s overall relationship management strategy. See **6—Reputation and Relationships** for more details.

Resource Mobilization Practices

3.2.7 Recognize Contributions – Create appropriate, meaningful donor recognition programs. These can be both public and private, and must be customer-focused—designed to meet donors’ individual needs and interests.

3.3 VOLUNTARY GIVING AND ETHICAL FUNDRAISING PRACTICES

3.3.1 Voluntary Contributions – Always conduct fundraising as a voluntary act, and respect that giving to charity is a personal decision.

3.3.2 Prohibit Coercion – Refrain from any use of coercion, real or implied, in fundraising activities. This includes both negative coercion, as well as positive coercion such as linking job promotion or advancement to a gift or participation as a volunteer. Publish a written policy against coercion and communicate this prohibition to any company that conducts an employee campaign or otherwise raises funds for the organization.

3.3.3 Honour Expectations – Honour statements made in fundraising appeals and promotional materials about how donated funds will be used. Never use funds for any purpose other than what is specified or would be reasonably expected by the donor. Do not accept funds for which the donor’s expectation is unable to be met, or which are inconsistent with the organization’s mission.

3.3.4 Full Disclosure – Include a clear description of the programs to be funded; the period of the campaign, the fundraising and administrative costs, and the mailing address of the organization in all fundraising materials, financial statements (where they should be reported in detail), and websites.¹⁰

3.3.5 Compensation Policy – Create and make available to the public a policy on the compensation of individuals involved in fundraising. Prohibit monetary incentives or commissions for the solicitation of donations, and include a policy on the hiring of professional fundraising consultants or companies that demonstrates the United Way organization’s control over their fundraising activities.

3.3.6 Gift Acceptance Policy – Create and make available to the public a Gift Acceptance Policy which includes statements on the purposes for which donations are accepted; any limits on the amount and types of gifts that will be accepted including the type of property; conditions for the acceptance of any unusual or exceptional gifts; and administrative costs associated with each type of gift. Regularly review Gift Acceptance Policies to ensure clarity and currency.

¹⁰Voluntary giving and ethical fundraising practices form an important part of a United Way organization’s overall commitment to financial accountability and transparency. See **5—Financial Accountability and Transparency** for more details.

Governance and Management of United Way Organizations

This section deals with the governance and management of United Way organizations, ensuring that they have the organizational assets and capabilities in place that will allow them to accomplish their mission-related work. Each of these components is really about stewardship—stewardship of mission (Governance, Ethics and Volunteer Leadership); stewardship of financial resources (Financial Accountability and Transparency) and stewardship of relationships (Relationships and Reputation). If a United Way organization manages those three aspects well, they will have a great opportunity to deliver on their mission of improving lives and strengthening communities. The final part of this section, Operations and Management, ties all of the organization’s activities together and describes generically how the assets and capabilities of the organization itself can be managed in order to achieve excellent performance.

This section is divided into four components:

4. Governance, Ethics and Volunteer Leadership—which speaks to the importance of involving community volunteers in establishing the mission of the organization and being active in the execution of that mission. It defines the role of a volunteer Board of Directors, as well as the responsibilities of both volunteer and staff leadership in the area of ethics, accountability and transparency.

5. Financial Accountability and Transparency—which describes the imperative of financial stewardship in United Way organizations and the importance of dealing with all financial matters in a simple, accurate and clear way. The Board should be deeply involved in and have overall responsibility for the financial management of the organization and appropriate accounting procedures should be in place. In addition, as an organization that is “of” the community, the organization’s financial dealings should be transparent and disclosed publicly.

6. Relationships and Reputation—which ties together the mission-related work in the community and sound and ethical operations and translates that into the reputation, relationships and goodwill that the organization must have in the community in order to be successful.

7. Operations and Management—which talks about the business operations of the organization and outlines the standards by which decisions should be made and systems should run. It also details practices for how the people involved in the enterprise should be treated and valued.

GOVERNANCE, ETHICS, AND VOLUNTEER LEADERSHIP

The expectations of stakeholders regarding the governance and accountability of charitable organizations are at an all time high. Scandals and other negative reports have dramatically increased the importance of governance in both the corporate and non-profit sectors, and volunteers play a critical role in establishing and maintaining trust and reputation for non-profits. Volunteer leadership is also what makes United Way organizations truly “of” the community and ensures that they are focusing on the community’s most vital issues and are consistent with their mission.

The Global Standards for organizational governance capture the essence of strong and effective leadership. The volunteer Board of Directors constitutes the guiding leadership of the organization and is obligated to keep the organization focused on its mission and ensure good stewardship of the public trust and donated resources. Strong board engagement and leadership helps ensure excellent organizational performance and an outstanding reputation, which will allow the organization to attract financial support and community leaders, as well as achieving positive results for the community.

The staff leadership, especially the organization’s chief executive, may make and execute decisions about the day-to-day activities of the organization, but it is the Board’s ultimate responsibility to govern, hold staff and volunteers accountable and, in turn, account to the community for the organization’s performance. These Standards will serve as a guide for oversight of the organization and the Board’s leadership role.



Governance, Ethics, and Volunteer Leadership Standards

4.1 Mission-Driven – The organization’s leaders must articulate a clear and compelling mission that aims to improve lives. This mission must drive all activities and decisions.

4.2 Volunteer-Led – A defining characteristic of United Way organizations is that they are led by a volunteer Board of Directors that reflects the nature of the community’s voluntary participation, giving, and ownership of the organization and the work that it does in the community.¹¹

4.3 Active Board Participation – The board members must be actively engaged in a meaningful, ongoing, consistent basis in the direction, planning and activities of the United Way organization.

4.4 Legal Operation – The Board ensures that both they and the United Way organization act in compliance with all local laws and statutes related to the incorporation and operation of the organization.

4.5 Ethical Behaviour – The Board and leaders must subscribe to a code of ethics based on the values of the organization, and be ethical in their conduct at all times.

4.6 Accountability – The organization’s professional and volunteer leaders are accountable for decisions made and actions taken. Decisions should be made with the appropriate amount of information and careful deliberation. Respect for others’ input and a commitment to voice opinions clearly without personalizing issues is required of all Board Members.

4.7 Transparency – Information on matters of finance, products, services, use of resources, and decision-making are easily accessible to all concerned, and sufficient information is provided to stakeholders to be able to understand and monitor them.

4.8 Risk Management – The Board is responsible for safeguarding the human, financial and capital assets of the organization as well as its reputation in the community. A risk management program that identifies, manages and mitigates real or potential risks in these areas is essential to responsible stewardship.

4.9 System Citizenship – The United Way organization recognizes that it is a part of a global movement and participates actively as a member of that movement to share knowledge and leverage the power of being part of a global system. The local organization fosters a high level of trust, information exchange, and mutual support with other United Way organizations to further global community impact, create a consistent experience for donors, volunteers, and partners, and support a strong global network of United Way organizations.

¹¹For more information on volunteer roles in United Way organizations, as well as the organization’s overall role in the field of volunteerism, see **2—Volunteerism**

4.1 MISSION-DRIVEN

4.1.1 Clear Purpose – The mission of the organization states why the organization exists and what it strives to accomplish. Consider the needs of all interested parties including customers, volunteers, employees, suppliers, local communities and society as a whole when establishing United Way’s mission, aspirations, and values.

4.1.2 Board Ownership, Oversight and Refinement – The Board must set the mission and commit to frequent and diligent review to ensure that the work of the organization is aligned and supportive of the stated mission and that the mission remains relevant to the current needs and desires of the community and population it serves. If the Board deems that refinement of the mission is necessary and wise, then it may do so following any process stipulated in the bylaws.

4.1.3 Values-Driven – The mission should be guided by a set of values that is supportive of the desired results of improved lives and better communities. The work of establishing the organization’s values is jointly conducted with the Board and executive management.

4.1.4 Articulate the Mission – Ensure that all Board members can articulate and present the mission in a concise and compelling manner that inspires support, raises funds, and creates enthusiasm for the work.

4.1.5 Strategic Direction – The Board shapes the strategic direction by which the organization will achieve its goals. The strategic direction defines specific goals, objectives, desired outcomes, and desired results. It should be developed in partnership with staff and based on community and organizational needs and other relevant information. It must be forward-looking, planning for the immediate tasks at hand as well as for those that lie ahead in the future.

4.1.6 Documentation and Monitoring – Document the strategic direction and detail specific desired results for the organization and specific activities and goals for the Board. Results should be regularly monitored against the objectives of this strategic plan, which should be reviewed regularly and revised as needed.

4.2 VOLUNTEER-LED

4.2.1 Personal and Voluntary Capacity – Affiliation with United Way organizations in all respects is on a voluntary basis. This culture of voluntarism is reflected in the Board of Directors, who serve the organization in a personal and voluntary capacity.

4.2.2 Assignment of Authority – Ensure proper assignment of authority to the Board as the governing body and to the chief executive and staff for managing the day-to-day operations of the organization.

4.2.3 Define Board and Executive/Staff Roles – The Board delegates organizational operation to the executive director and is responsible for evaluating the performance of the CEO and setting appropriate compensation. The relationship between volunteers and paid staff must be based on trust, open communication, and mutual respect. The relationship between volunteers and paid staff must ensure success for the organization by recognizing the complementary roles and skills of each group.

4.2.4 Board Composition – While Boards will vary in size and shape, the mission and strategic plan should drive recruitment. Boards must bring the additional necessary skills, knowledge, and access to resources to complement their own existing skills and knowledge in order to carry out their governance responsibilities effectively.

Governance, Ethics, and Volunteer Leadership Practices



Governance, Ethics, and Volunteer Leadership Practices (cont.)

4.2.5 Board Skills – Boards should recruit for the leadership characteristics and skills they need to govern the organization. For example, having identified financial accountability as a major responsibility of the Board, it is very important to have financial expertise such as accounting or other financial management or bookkeeping skills on the Board. Expertise in governance, community organizing, public relations, human resources, or legal matters is also helpful.

4.2.6 Board-Community Relationships – Individuals on the Board should work to open doors and forge partnerships and commitments from outside stakeholders, donors, and community members. Well-known leaders and influential community members can attract active involvement in, and support for, the organization's work.

4.2.7 Diversity – Recruit Board members from a variety of backgrounds that reflect the makeup of the community and the organization's stakeholders. This is helpful in building and maintaining a commitment to a vital mission reflective of the needs of the community and to ensuring that a board represents and understands the diversity of the community.

4.2.8 Succession and Terms – Implement standard terms (a board member may be recruited to serve three years, for example) and term limits (a board member may serve two consecutive terms, for example) to ensure new thinking and greater inclusion and diversity, as well as a continuous process of board regeneration and revitalization. Stagger terms so that all members are not ending their terms at the same time. Overlapping continuing members with newer members is also important to ensure continuity in carrying out the responsibilities of the Board, ensure organizational stability, and maintain institutional memory.

4.2.9 Committee-Level Involvement – Use volunteers extensively on both board-level and other operational committees, and engage them as much as possible in the operation of the United Way. Volunteers have expertise and resources (of all kinds) that should

be leveraged toward delivering on the organization's mission and ensuring that the organization operates properly. Volunteers can be engaged in fundraising, financial oversight, fund distribution, community impact activities, or in representing the United Way organization in the community where appropriate.

4.3 ACTIVE BOARD PARTICIPATION

4.3.1 Regular Attendance – Board members should regularly attend and actively participate in board meetings. They should commit to continuous learning about the specific activities of the organization, as well as the environment in which the organization operates, such as trends in society or the economy.

4.3.2 Stakeholder Engagement – Engage with all stakeholder groups in order to effectively represent and provide benefit to the community. Seek input from stakeholders in various ways—it may be appropriate to invite representative stakeholders to board meetings, or to have public events where stakeholders can learn about the issues that are affecting the community and participate in dialogue about them.

4.3.3 Policy Making – The Board is charged with setting overall policies of the organization and the parameters within which management will establish practices and annual operational plans.

4.3.4 Decision Making – The decisions of a Board must be agreed upon by consensus or a strong majority of the Board acting as a whole. Decisions should be made following a thoughtful and open exchange of ideas and perspectives. The resulting decisions should not be rushed or driven solely by one or a few controlling Board members.

4.3.5 Multiple Viewpoints – Independent thinking must be valued and encouraged. It is helpful during deliberation to acquire multiple sources of information and to have the necessary time to contemplate the information and the consequences of all possible decisions and alternatives.

4.3.6 Timeliness – Decision-making should occur in a timely manner based on the best available information to ensure that it is sound.

4.3.7 Mutual Support – Decisions of the Board must be supported by all members regardless of personal viewpoints. Decisions should be revisited if new information or new circumstances arise.

4.3.8 Resource Development – The Board is responsible for securing adequate resources for the operation of the organization and working with staff to ensure that resources are acquired. The size of the organization and the strategic work plan will define the extent to which actual hands-on fund-raising duties are delegated. Boards should develop good relationships with funders and potential funders. Boards should have a knowledge base of funders' priorities and other environmental and economic factors that could affect their future ability to generate revenues.¹²

4.4 LEGAL OPERATION

4.4.1 Knowledge of Law – The Board is obligated to become knowledgeable regarding all laws affecting the incorporation and operation of the United Way organization. If necessary, outside counsel should be consulted to ensure that the Board is well-informed.

4.4.2 Compliance – The Board must ensure legal compliance with all applicable laws and statutes related to the incorporation, operations and activities of the United Way organization. Regulatory requirements to report on activities and make financial remittances for taxes and other statutory payments are specific examples.

4.5 ETHICAL BEHAVIOUR

4.5.1 Capacity and Sustainability – The Board must ensure that the organization has the capacity to carry out its duties and can sustain its work into the future.

4.5.2 Honesty and Good Faith – Board members must act honestly and in good faith in what he or she believes are the best interests of the organization. Any real or potential conflict of interest that could bring personal gain to the individual or to another party that the individual is associated with must be declared to the Board to ensure full disclosure to avoid any appearance of impropriety and safeguard the reputation of United Way and its multiple stakeholders.

4.5.3 Code of Ethics – Actions and behaviours must be consistent with a written Code of Ethics based on the community's and the organization's values.

4.5.4 Privacy and Confidentiality – Establish privacy policies to protect the privacy of donors, employees and others. Confidentiality of information must be respected.

4.5.5 Non-Partisan – While the organization may advocate on behalf of the community good or specific issues related to community issues that the organization is pursuing, these activities should always be done in a non-partisan manner, with the good of the community put before any political or other agenda.



¹²For more information on resource development in United Way organizations, see 3—Resource Mobilization.

Governance, Ethics, and Volunteer Leadership Practices (cont.)

4.6 ACCOUNTABILITY

4.6.1 Accountability to Community – The Board is accountable to the community for keeping the organization focused on its mission and on achieving goals and objectives consistent with that mission (See 4.1).

4.6.2 Fiduciary Responsibility – A primary responsibility of the Board is to provide stewardship over the funds raised and allocated for the organization’s mission-related work. Donors rely on United Way leaders to ensure that their donations are protected and used wisely—in accordance with the stated and desired purpose of the organization.¹³

4.6.3 Financial Knowledge – Board members understand how to read and analyze financial reports and statements to support their decision-making and evaluation processes.

4.7 TRANSPARENCY

4.7.1 Reporting – It is the responsibility of the Board to share information: (a) on how the organization has carried out its work toward mission; (b) that financial resources were used for their intended purposes; and (c) on how decisions regarding the operation and strategic direction of the organization were made in respect to the desires of the United Way’s key constituents, donors, and beneficiaries.¹⁴

4.7.2 Broad Access to Information – Ensure that information is readily accessible to the public and stakeholders.

4.8 RISK MANAGEMENT

4.8.1 Risk Management Program – A risk management program seeks to anticipate, identify, quantify and respond to real or potential risks to human, financial and capital assets of the organization and its reputation in the community. Responses may include acceptance of the risk within tolerable limits, elimination, avoidance, mitigation or transfer of the risk (through, for example, outsourcing an activity or purchasing insurance). Such a program is becoming increasingly essential to responsible stewardship.

4.8.2 Reporting – Regular reports to the Board on current or emerging risks and current or contingent responses allow the Board to ensure that it is able to fulfill this important aspect of its oversight responsibilities and fiduciary duties.

4.9 SYSTEM CITIZENSHIP

4.9.1 Share Information – Share with other local, national and international United Way organizations all appropriate information including community research, outcomes data, best practices and donor information that doesn’t conflict with privacy policies.

4.9.2 Participate in National and International Events – Where resources allow, participate in meetings, conference calls and other initiatives created by national and international United Way organizations.

4.9.3 Mutual Respect – Do not undertake any action that causes damage to another United Way organization and communicate directly with other United Way organizations when questions and concerns arise.

4.9.4 Membership Requirements – Comply with any and all national and international membership requirements for United Way organizations as established by the appropriate bodies.

¹³Please see **5—Financial Accountability and Transparency** for more details of fiduciary responsibility.

¹⁴Please see **5—Financial Accountability and Transparency** for more information on transparency, as well as **1—Community Impact** for more information on measuring results, **3—Resource Mobilization** for more information on providing information to donors, and **6—Reputation and Relationships** for more information on communicating results.

FINANCIAL ACCOUNTABILITY AND TRANSPARENCY

Financial Accountability and Transparency are at the heart of a United Way organization's ability to inspire trust and confidence in donors and communities. Indeed, much of governance is dedicated to ensuring that the organization's fiduciary responsibilities and stewardship of resources are carried out effectively. This section describes the key principles of Accountability and Transparency as they apply specifically to financial management and reporting.

United Way organizations are **Accountable** for the use of donated funds and other resources to donors, clients, government regulators, communities, their Boards and staff, to national and international United Way bodies, and finally to the public at large. Non-profits are usually granted a special status in law because they serve a "Public Purpose", exist for the public benefit, and are mission driven rather than profit-driven. Donated funds establish a sacred trust demanding the highest standards of stewardship and fiduciary responsibility for the wise and effective use of resources. Thus, Financial Accountability is enshrined as a core principle of non-profit management.

The notion of **Transparency** calls for full and fair disclosure of financial activities using generally accepted and consistent reporting principles. The concept of materiality demands that all facts and information pertinent to decision-making by the Board, donors and other stakeholders be made available to the public. If the non-disclosure of certain financial information results in stakeholders reaching a different or contrary decision than they would have otherwise, then the organization is not transparent. Throughout the world today, institutions operating in the public domain are expected and required to be fully transparent. In addition, transparency engenders trust, and the work of United Way organizations requires the full trust of donors, partners and the community at large.

Simplicity, Accuracy, and Clarity ensure the usefulness of financial reporting so that information provided can be clearly understood and utilized by all stakeholders.

Timeliness is also important to the usefulness of financial reporting, and has a great deal of influence on the perception of accountability. To be transparent and useful to decision makers, Financial Statements and other information must be available in a timely manner to all stakeholders.

The following standards and practices of Financial Accountability and Transparency are intended to provide and promote best practices for United Way organizations and non-profits anywhere in the world.



Financial Accountability and Transparency Standards

5.1 Board Oversight – Financial accountability and transparency is ultimately the result of effective and independent oversight by the Board of Directors.¹⁵

5.2 Legal Compliance – Non-Profits are required by law to comply with specific requirements set by various levels of government and other regulatory bodies.

5.3 Full Disclosure – The concept of materiality demands that all facts and information pertinent to decision-making by donors and other stakeholders be made available. If the non-disclosure of certain financial information results in stakeholders reaching a different or contrary decision than they would have otherwise, then the organization is not transparent.

5.4 Independent Verification – The independent verification of the financial statements of a United Way organization is essential to ensure that reporting presents a fair and complete picture of the financial health and status of the charity.

5.5 Effective Internal Controls – Effective internal controls are essential to ensuring accuracy of financial statements, safeguarding of assets, and appropriate separation of duties.

¹⁵For more detailed information on the Board's role in governance, see **4—Governance, Ethics and Volunteer Leadership**.

5.1 BOARD OVERSIGHT

5.1.1 Legal and Fiduciary Responsibility – Boards and Directors have significant legal and fiduciary responsibility to oversee and manage the affairs of the organization in compliance with all applicable laws and regulations. Ensure that the Board has all proper authority and information to be able to execute its responsibilities in this regard.

5.1.2 Treasurer – To ensure effective financial management, the Board should elect a **Treasurer** as an officer who will assume lead responsibility and oversight for the financial functions of the organization and chair the Finance Committee.

5.1.3 Finance Committee – Establish a **Finance Committee** to support the financial management of the organization. The committee's duties should include: overseeing establishment of strong internal accounting controls and adequate financial procedures; determining appropriate accounting policies; reviewing interim and annual financial reports and submitting them to the full Board; reviewing draft budgets prepared by management and transmitting them to the Board for approval; overseeing investments and drafting policies and recommendations for the Board on how investments are managed; ensuring that adequate financial expertise is available on the staff and Board; and serving as a link between the financial staff and the board.

5.1.4 Audit Committee – To ensure that the governing body provides effective oversight over all financial matters of the organization, an **Audit Committee** of three to five members should be created, of which the Chair and a majority of the members should be Board members. The responsibilities of the Audit Committee include: recommending the appointment of the Auditor; reviewing the scope of the Audit and the report of the Auditor; and serving as a link with the full Board. Issues and questions brought to the attention of the Audit Committee by the Auditor are presented to the Board for their consideration and appropriate action.

5.1.5 Annual Budget – An Annual Budget is approved by the Board of Directors to guide the conduct of the organization's affairs and authorize expenditures. Internal financial reports should be prepared monthly for review by the Finance Committee and Board of Directors. These reports are prepared in a timely manner, ideally available within 15 business days after the period. Comparisons of actual revenues and expenses with budget are presented to alert management and the Board to variations so that appropriate action can be taken to keep the organization on track.

5.1.6 Volunteer Financial Competence – To ensure proper execution of the Board's fiduciary responsibility, ensure that at least one Board member and one Audit Committee member possesses a level of financial expertise that includes an understanding of accounting principles, experience in reviewing financial statements, knowledge of internal controls, and a good grasp of Audit Committee functions. The Board of Directors should have sufficient knowledge to understand and carry out their fiduciary responsibilities.

5.1.7 Staff Financial Competence – To ensure proper execution of the organization's financial functions, finance staff should possess sufficient knowledge of non-profit accounting principles such that accurate, auditable records are maintained. This knowledge should include an understanding of accounting principles, experience in preparing financial statements, knowledge of internal controls, and a thorough grasp of the organization's finance functions. The organization should provide for continuing financial education for finance and senior staff.

Financial Accountability and Transparency Practices



Financial Accountability and Transparency Practices (cont.)

5.2 LEGAL COMPLIANCE

5.2.1 Comply with Applicable Laws – Knowledge and awareness of the laws of the country pertaining to the legal status and obligations of the organization is essential to the organization’s well-being and success. Compliance with applicable laws in good faith is mandatory. A periodic review of such compliance should be carried out and a summary report on the review provided to the Board.

5.3 FULL DISCLOSURE

5.3.1 Annual Report to the Public – Annually publish a report which describes the organization’s significant events, activities and accomplishments during the preceding year. The report should be published in a timely manner—preferably within three months after the end of each fiscal period—and should include at least a summary of the Financial Statements. The report should be readily available in an accessible form to the public.

5.3.2 Audited Financial Statements – Produce and publish annual financial statements in a timely manner—preferably within three months after the end of each year—accurately reflecting the financial activities of the organization and audited by an independent public accountant.

5.3.3 Generally Accepted Accounting Principles – Financial Statements should be prepared in accordance with “Generally Accepted Accounting Principles” (GAAP) as set by the accounting profession or with the International Financial Reporting Standards (IFRS) developed by the International Accounting Standards Board (IASB).

5.3.4 Composition of Financial Statements – Financial Statements should include a Statement of Financial Position (Balance Sheet), a Statement of Financial Activities (Statement of Revenues and

Expenses), and a Statement of Changes in Financial Position (Cash Flow), as well as Notes which elaborate on details of the Financial Statements and form an integral part of the Statements to ensure the reader’s full understanding. Related Party Transactions should be disclosed in the Notes to the Financial Statements

5.3.5 Certification by Management – Annual Financial Statements should be certified as accurate and complete by both the chief executive officer and the chief financial officer of the organization to ensure accountability.

5.3.6 Access to Financial Information – Be open and candid about activities and operations by providing public access to documents that demonstrate transparency in governance, financial, and ethical matters. Such documents include, but are not limited to, the mission statement, annual report, financial statements, names of current members of the Board, resource distribution policies, code of ethics, and government reporting forms where applicable.

5.4 INDEPENDENT VERIFICATION

5.4.1 Independent Auditor – A Public Accountant who is recognized by the appropriate authority should be appointed as Auditor to review the annual Financial Statements to ensure their fairness and completeness. Complete independence of the Auditor is critical to the credibility of the auditor’s report on the fairness and completeness of the financial statements of the organization.

5.4.2 Management Letter – Independent auditors should be requested to provide a “management letter” identifying suggestions for improvements to be instituted with respect to internal controls, the protection of the organization’s assets, and specific issues of concern that should be addressed. The management letter should be submitted to the Board.

5.5 EFFECTIVE INTERNAL CONTROLS

5.5.1 Internal Controls – To ensure the accuracy of financial statements, safeguard assets, and maintain an appropriate separation of duties for all financial transactions and functions, the organization must maintain effective internal controls. Financial policies, procedures, and internal controls should be developed and documented by the Finance Committee, and monitored by the Audit Committee to verify operational compliance. These policies, procedures, and controls should be reviewed by the Audit and Finance Committees at least every three years. The Audit Committee should also evaluate the cost/benefit of periodic external review and testing of effectiveness of the organization's internal controls.

5.5.2 Expenditure and Expense Limits – The Board must approve specific authorities for expenditures, cheque signing, and expense claims that establish clear criteria and limits. The policy should require that a board officer (such as the Chair or Treasurer) approve expense claims by the CEO individually or review them at least quarterly.

5.5.3 Conflict of Interest – Public perception of conflict of interest within the organization can be highly detrimental to the health of the organization. To minimize the opportunity for any and all actual or potential conflict of interest within the organization, an easily understandable policy on conflict of interest (applicable to all staff, board members, and volunteers) should be adopted by the Board and should be implemented with adequate safeguards and procedures to ensure that the policy is followed.

5.5.4 Confidentiality and Privacy Policies – To protect the rights of individuals within and outside the organization, private and personal information such as donation amounts or compensation should not be disclosed inappropriately and should be governed by a clear Privacy Policy.



Reputation and Relationships

Good reputations and relationships are a result of executing the organization's mission effectively and on the basis of sound operating practices. Active management of reputation and relationships is critical to United Way's ability to have impact in the community, mobilize resources, and attract volunteers. People, partners, and resources are drawn to organizations which have prominent reputations for integrity and achieving results, so the organizational capacity to create and sustain that reputation is critical.

Reputation and relationship management is often associated with the functions of marketing and communications, but in reality everything the organization does and everyone involved in the organization has a role to play in creating reputation, and in cultivating, maintaining and deepening the many relationships that are essential to accomplishing the work of community impact.

Central to managing reputation and relationships is the idea of brand. A brand is a collection of tangible and intangible experiences that makes up the sum of one's experience with an organization. The brand promise expresses the value and importance of a United Way organization to its community: why it is worthy of support and partnership; what makes it excellent. Brand value reflects how the organization and its products or services are perceived by customers. It is achieved with a good strategy, effective results and consistency in how the brand is expressed. Customers include donors, fund recipients, volunteers, and partners. The brand is expressed in everything an organization does, from the name and logo, to text and graphic designs used in publications, how employees treat internal and external contacts, and more.

Stewardship of reputation and relationships begins at the local level, but it needs to extend to the national and international level as well. While United Way organizations go by many names, and each is adapted to the community it serves, there are ideas and principles that are common to all United Way organizations, and contribute to a brand that extends beyond the local community.¹⁶

This section of the Global Standards for United Way Organizations talks about the standards and practices for local United Way organizations to manage reputation and relationships in their communities.

¹⁶For more on the common characteristics of all United Ways, see "What is United Way?"



Reputation and Relationships Standards

6.1 Prominent Reputation – A prominent reputation as a leader in the community is critical to a United Way organization’s success in mobilizing the community to work together and improve lives. Responsibility for cultivating, maintaining and increasing this reputation is shared by everyone in the organization. Opportunities to improve the organization’s reputation are actively created and pursued.

6.2 Market and Customer Intelligence – Knowledge of the perceptions of customers and constituents—donors, volunteers, partners and people in need—is critical to effective community leadership. United Way organizations pursue this knowledge on a continuing basis and use it to inform decisions that affect image, identity and relationships.

6.3 Culture of Relationships – The culture of United Way organizations reflects dedication to building and sustaining long-term relationships with customers and partners. Everyone associated with the organization understands his or her role in those relationships.

6.4 Consistent Brand Experience – Every customer interaction, whether through communications, fundraising appeals, volunteers, partners, or dealing with an administrative function, collectively creates a brand experience for that customer. United Way organizations strive to make that experience as positive and consistent as possible, embodying and re-enforcing the common principles and values that guide our activities.

6.1. PROMINENT REPUTATION

6.1.1 Determine Issues and Audiences – Determine the most important issues where the organization needs to maintain or enhance its reputation and prioritize which is most important. Also determine the audiences with whom the organization needs to be most visible and prioritize them (see more under Standard 6.2 Market and Customer Intelligence).

6.1.2 Plan for Visibility – Implement specific strategies for the active involvement and visibility of staff and volunteers in key community groups and activities.

6.1.3 Media Outreach – Keep local media regularly involved and informed, even when not promoting or publicizing any particular initiative. Cultivate relationships with members of the media who can report on the issues in which the organization is involved.

6.1.4 Measure Reputation – When doing market research, include measures of important attributes like trust, favourable attitude towards the organization, and the likelihood of volunteer and donor support. Also measure the frequency with which the organization is asked for advice and partnership on important community issues. Use this information to guide reputation improvement strategies.

6.1.5 Publicize Organizational Research – If the United Way organization conducts research on community needs to determine priorities or progress against an issue, publish and publicize that research as a way to reinforce the organization's reputation as being knowledgeable about the community's conditions and needs.

6.2 MARKET AND CUSTOMER INTELLIGENCE

6.2.1 Identify Customers – Identify all donors, volunteers, partners and other stakeholders. Describe the characteristics that make some people or organizations within each group most important to the organization's mission. What is it about these customers that most effectively enable the achievement of community-building goals? These can include attributes like, "makes large donations," "involves us in key mission-related decisions," "opens doors with new donors, volunteers, partners, or government," "has valuable expertise and experience," and so on.

6.2.2 Prioritize Customers – Based on identified characteristics, determine which audiences have the greatest priority. These should include individuals or groups who are currently under-involved or who have the most potential for valuable involvement. Consider lapsed donors, new partners, donors or volunteers who are similar to current ones, untapped or under-tapped ethnic and age groups, etc. Make plans and allocate resources to build strong relationships with these key customers. Focus fundraising efforts, for example, on people who want to make a difference in the community and are actively engaged in doing so.

6.2.3 Conduct quantitative market research & analysis – Learn the basics about key customer groups. An analysis of individual donors, for example, might include demographics (e.g., age, gender, and ethnicity), industry sectors (e.g., retail, banking), size (e.g., revenues, number of employees), channels (e.g., workplace, Internet) or areas of community focus or interest (e.g., children, homelessness). Market research should also include gathering information on competitors and potential collaborators.

6.2.4 Measure effectiveness of branding – Now that the characteristics, expectations, and preferences of key customer groups are understood, use this information to design and implement fundraising and communication campaigns. Determine the metrics that will demonstrate positive change in brand value and relationship quality and measure results against them.

Reputation and Relationships Practices



Reputation and Relationships Practices (cont.)

6.3 CULTURE OF RELATIONSHIPS

6.3.1 Accountability – Hold all stakeholders - especially board members and staff - accountable for effective relationship management and consistent messaging related to the United Way organization. Designate one person to lead each relationship with a key group, such as individual donors, corporate or foundation investors, government groups or officials, civic, neighbourhood or faith groups, the media, etc. Make relationship and brand management skills part of volunteer and staff recruitment, evaluations, and rewards.

6.3.2 Training and Tools – Provide training and tools to ensure that anyone who represents the United Way organization to internal or external customers understands and can articulate the organization's mission, vision and community impact strategies. Create commitment from volunteers and staff to developing and sustaining healthy long-term relationships with donors, volunteers, partners and other stakeholders. Ensure that they understand and practice the principles of excellent customer relationship management and that they have and can use the best available tools for effective information gathering, communication, and relationship management.

6.3.3 Strategic Engagement – Start each year with specific plans containing both short- and long-term goals to improve and grow relationships with key customers. Measure progress in relationship-building by looking at more than just financial results. Engage individuals and groups throughout the year, and vary the reasons for contacting them; sometimes asking for support, sometimes giving information, sometimes inviting to planning discussions or special events, etc. Seek opportunities to deepen and diversify their relationship with the organization; i.e., by asking donors to volunteer and volunteers to donate, including partner organizations or fund recipients in fundraising activities, connecting with donors at home and at work, or inviting donors and volunteers interested in a specific issue to discussion or planning groups on that topic.

6.4 CONSISTENT BRAND EXPERIENCE

6.4.1 Performance – It is not enough to have a compelling message; the performance of the organization has to live up to its promises at every level. A United Way organization promises its donors, volunteers and partners to seek and appreciate their commitment; increase their individual impact by leveraging many parties' contributions; set and focus on priorities; deliver results; evaluate performance; and report results on time. This part of effective brand management is about achieving excellent organizational performance. Branding and communication techniques are only effective if the organization meets its commitments, makes progress in achieving its goals, and communicates closely and frequently with the donors and partners who make our work possible.

6.4.2 Stewardship – Everyone involved with a United Way organization—employees, board members, donors and volunteers—is a custodian of the brand. Understanding and protecting the brand is the shared responsibility of every individual and every organization. It takes only one bad experience to tarnish the reputation of all United Way stakeholders, but it takes many good experiences over time to sustain a national and international reputation as an accountable, effective partner for improving communities.

6.4.3 Active Management – The brand means nothing if the benefits it promises are not provided consistently and reinforced through every possible channel. This takes both discipline and energy. Distill the brand and promise into key messages and organizational practices and be accountable for acting on those promises. Use every appropriate medium—word of mouth, television or radio, print media, the Internet, and more—to present an inspiring, honest and consistent message. Work hard to understand community perceptions and ensure that stakeholders understand the organization's positions and messages on key issues.

6.4.4 Presentation – Part of excellent organizational performance includes strategic communication of the brand promise. This affects everything from how the telephone is answered, to the graphic design of printed and Internet communications, to the way key messages are phrased and expressed. Affiliates go by many names and visual presentations of the brand, depending on that particular affiliate's origin, language, or culture, but the most important characteristic of brand presentation is consistency. Some United Way organizations can afford very sophisticated graphic design and messaging, while others must take a simpler, less expensive approach. All succeed when they provide verbal and visual messages that are consistent across all channels and aligned with agreed-upon brand identity guidelines. Affiliates using United Way's trademarks are required to follow International Brand Identity Guidelines as set out by the International United Way body or trademark owner.



Operations and Management

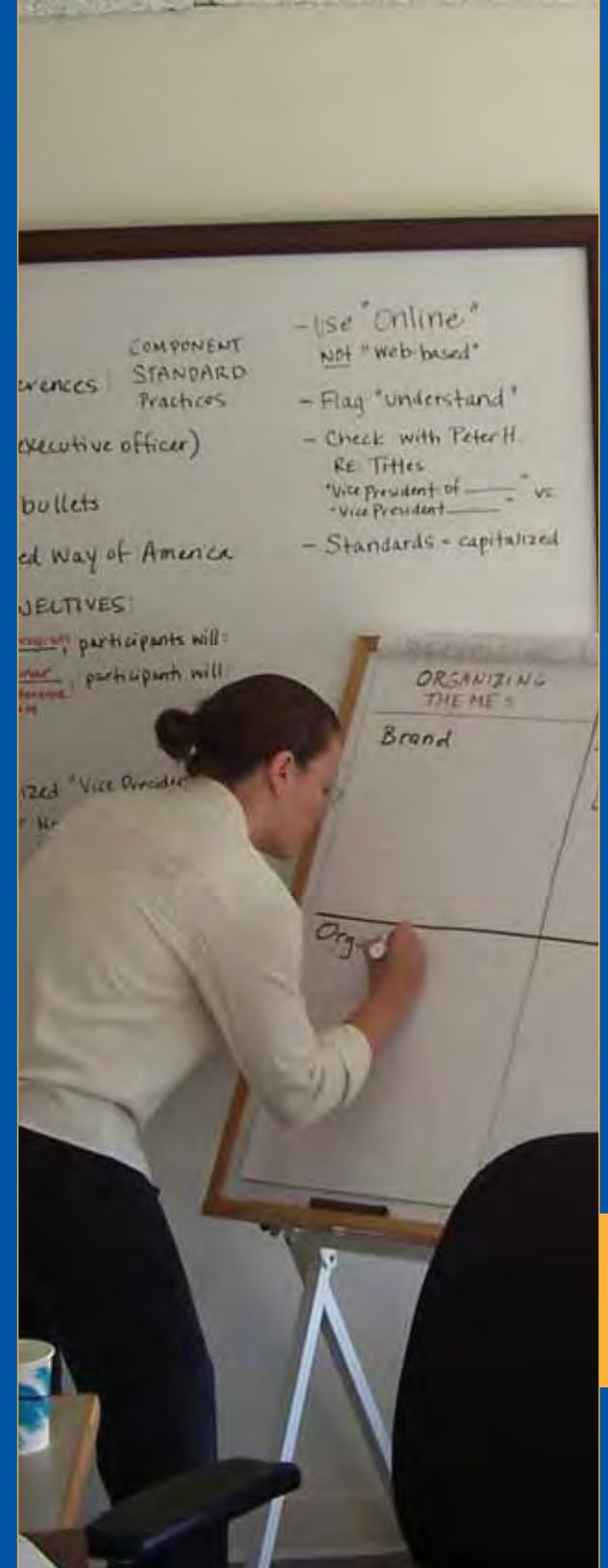
The effectiveness and efficiency of a United Way organization's operations and management is extremely important to its overall performance in achieving community impact and improving lives.

Effectiveness and efficiency, in turn, is highly dependent on the engagement and stewardship of people—both staff and volunteers—who are the essence of our organizations. United Way organizations need to attract staff and volunteers with appropriate competency and skills, and then provide a supportive environment that further encourages and promotes professional development. United Way organizations also need to be models of inclusiveness, reflecting the ethnic and cultural diversity of their communities, and follow the highest ethical standards of non-discrimination and anti-racism.

This can be very challenging to achieve in an environment characterized by scarce resources and the requirement to keep operating costs at a small proportion of overall revenues, a particular challenge for smaller organizations and those just starting up. However, effectiveness and efficiency can be achieved at reasonable cost through a systematic approach to management and careful attention to creating automated processes using information technology and other readily available tools and resources.

By adopting an approach based on the principle of continuous improvement, and making decisions which are based on facts and knowledge and are consistent with the organization's mission, every United Way organization can build the capacity to operate successfully in meeting the needs of its community.

The following standards of Operations and Management outline the essential elements of this approach and philosophy and are based closely on the *Principles of Quality Management* developed by the *International Organization for Standardization (ISO)*. These standards provide a framework that effectively tie together and operationalize all of the other components of Global Standards, and you will note that many of these generic principles are also utilized or explored in more detail in other sections.



Operations and Management Standards

7.1 Customer Focus – United Way organizations depend greatly on their customers for critical resources and therefore should understand current and future customer needs, should meet customer requirements, and strive to exceed customer expectations. The principle of customer focus and customer service should be extended to all stakeholders.

7.2 Leadership – United Way leaders establish unity of purpose and direction for the organization in accordance with the mission. Leaders should create and maintain an internal environment in which people can become fully involved and engaged in achieving the organization's mission and objectives, clearly articulating a vision for the future, inspiring loyalty and commitment, and encouraging innovation.

7.3 Involvement of People – People (staff and volunteers) at all levels are the essence of a United Way organization and their full involvement enables their abilities to be used for the organization's benefit and builds their commitment. Using teams and encouraging cross-functional approaches, United Way organizations are welcoming, inclusive, and respectful of diversity and differences. Respect and recognition characterize our relationships with staff and volunteers.

7.4 System Approach to Management – Identifying, understanding and managing interrelated processes as a system contributes to a United Way organization's overall effectiveness and efficiency in achieving its objectives. Integration and alignment of key processes will increase the consistency, effectiveness, and efficiency of the organization.

7.5 Continuous Improvement – Continuous improvement is a state of mind, not a process or activity, and it requires an organization to be predisposed towards always seeking better ways of doing things (no matter how small), never to be content that the present approach is the most satisfactory. For this to be the case, that organization must actively encourage its people to search for improvements and innovations in the way things are done, be receptive to new ideas, and be open to change. Continuous improvement needs to be institutionalised within an organization for it to be successful.

7.6 Factual Approach to Decision Making – Effective decisions are based on the analysis and presentation of data and information to ensure a knowledge-based approach for United Way organizations, as opposed to driving decisions by anecdote, exception, or myth. Based on a systematic approach to management and aided by strong governance, a factual approach helps to avoid mission-drift, protects the organization from becoming reactionary, and focuses the organization on long term objectives instead of short term gain.

7.1 CUSTOMER FOCUS¹⁷

7.1.1 Identify Customers and Their Needs –

Determine who the highest priority customers are. Research and understand their needs and expectations on an ongoing basis and utilize this knowledge in planning and decision making.

7.1.2 Link Objectives to Expectations –

Ensure that the objectives of the organization are linked to customer needs and expectations so that the organization is responsive and relevant and not being driven by internal priorities at the expense of customer satisfaction and fulfillment.

7.1.3 Increase Awareness – Communicate customer needs and expectations throughout the organization to help staff and volunteers to respond more appropriately. Make customer service a responsibility of all staff and volunteers.

7.1.4 Assess Satisfaction – Measure customer satisfaction through formal and informal processes, collect this information centrally, and act on the results by prioritizing problems and developing solutions.

7.1.5 Manage Relationships – Manage customer relationships systematically by using a contact management approach for major customers by assigning a single person to take the lead and co-ordinate all interactions.

7.1.6 Balanced Approach – Ensure a balanced approach between satisfying customers vs. other stakeholders (such as volunteers, employees, agencies, partners, local communities and society as a whole). While customer focus is an important principle for United Way organizations, customer needs and expectations must also be balanced against the mission and overall resource constraints. We cannot be all things to all people.

7.2 LEADERSHIP

7.2.1 Create a Vision – Establish a clear, specific, and compelling understanding of what the organization aspires to become or achieve, broadly held within the organization, and consistently used to direct actions and set priorities. The vision should reflect an inspiring view of the future, be demanding but achievable, and be directly linked to the organization's overall mission.

7.2.2 Set Challenging Goals – Set a limited number of genuinely demanding goals and performance targets for all functional areas which are tightly linked to overall aspirations and strategy. Goals should be output/outcome-focused (i.e. the results of doing things right, as opposed to inputs, things to do right), have annual milestones to measure by, and be long-term in nature.

7.2.3 Shared Values – Foster shared values to guide the organization, emphasizing fairness in all dealings, and create ethical role models to inspire people at all levels of the organization.

7.2.4 Establish Trust and Eliminate Fear – Leadership must be based on trust and commitment to create an environment that will foster innovation and creativity to further the organization's objectives. Negative sanctions and fear should never be used to manage people and will quickly prove to be hugely counterproductive.

7.2.5 Encourage Independence – Provide people with the required resources, training, and freedom to act on their own initiative with responsibility and accountability. Use the organization's mission, vision, and specific goals to guide the scope of everyone's work, informed by an acute awareness of customer needs and expectations.

Operations and Management Practices



¹⁷See also **6-Reputation and Relationships** for more details on customers and relationships.

Operations and Management Practices (cont.)

7.2.6 Recognize Contributions – Inspire, encourage and recognize people's contributions to re-enforce positive achievements and encourage innovation. Both employees and volunteers should be the beneficiaries of recognition programs.

7.3 INVOLVEMENT OF PEOPLE

7.3.1 Clarify Roles – People need to understand the importance of their contribution and role in the organization, especially as organizational objectives and priorities change over time. This will be aided by having written job descriptions, frequent discussion of interaction and the roles of staff and volunteers, and thorough communication of new initiatives.

7.3.2 Remove Barriers – People should be encouraged to identify constraints to their performance and to propose solutions or alternative approaches. Leaders should work proactively to identify and remove barriers to performance.

7.3.3 Ownership and Accountability – People accept collective ownership of problems and their responsibility for solving them, and United Way leaders encourage this by clarifying roles to demonstrate interdependence and by fully embracing the practices of Standard 7.2 Leadership.¹⁸

7.3.4 Teamwork – Encourage formal and informal collaboration and teamwork to drive the organization's activities. A team is a small number of people with complementary skills that are committed to a common purpose, performance goals, and approach, for which they hold themselves individually and jointly accountable. Where possible and appropriate, cross-functional teams should be used to bring a variety of perspectives to the table and to ensure a broader shared understanding of the United Way organization's work.

7.3.5 Encourage Self-Evaluation – While formal performance appraisals based on written job descriptions and agreed objectives are an important tool of evaluating and enhancing performance, people should also be encouraged to evaluate their own performance against their personal goals and objectives, and then be given opportunities to show how their own goals support the overall goals of the organization.

7.3.6 Professional Development – United Way organizations actively encourage people to seek opportunities to enhance their competence, knowledge, and experience, not only in terms of their current role in the organization, but with a view to expanding or future roles as well. Professional development for all staff and volunteers should be built right in to the priorities of the organization and not left as simply an afterthought, to be dropped when budgets run out.

7.3.7 Information Sharing – Information management and sharing is an important function in a United Way organization which is customer focussed and dedicated to effectiveness and efficiency. Leaders should encourage people to freely share knowledge and experience, not only within the organization, but to partners and other organizations as appropriate. At the same time, privacy and confidentiality of personal information is an important issue and all privacy and confidentiality policies and guidelines should be well understood and strictly followed.¹⁹

7.3.8 Open Communication – United Way organizations create a culture of openness and trust in which people can openly discuss problems and issues, collectively exploring ideas and solutions in an environment of mutual responsibility, support, and commitment.

¹⁸See also Practice 6.3.1 Accountability

¹⁹See Practice 4.5.4 Privacy and Confidentiality

7.4 SYSTEM APPROACH TO MANAGEMENT

7.4.1 Efficient and Effective – Systems – consisting of people, processes, and technology—should be structured to achieve the organization's objectives in the most effective and efficient way. Systems should be effective in terms of achieving the desired outcome, such as customer satisfaction, and efficient in terms of requiring the least resources and producing the result in a timely manner.

7.4.2 Understand Interactions – A system approach to management requires that we fully understand the interdependencies between the processes of the system in order to coordinate and create interactions between people, customers, and processes (often supported by technology).

7.4.3 Integrate Processes – Based on the interactions identified, the organization needs to integrate and align processes that will best achieve the desired results, structuring approaches that harmonize and integrate processes.

7.4.4 Integrate People – Based on Standards 7.2 Leadership and 7.3 Involvement of People, the organization can provide a better understanding of the respective roles and responsibilities necessary for achieving common objectives, identifying opportunities for co-ordination, co-operation, and collaboration, thereby reducing cross-functional barriers and increasing enthusiasm and commitment.

7.4.5 Ensure Adequate Resources – Understand organizational capabilities and establish resource constraints prior to taking action to ensure that adequate resources are in place to support systems which meet high priority objectives. If under-resourced, try to identify alternate methods of delivering services or consider the possibility of restructuring that system to avoid damaging the organization's overall effectiveness or reputation.

7.4.6 Define and Analyse Activities – Target and define how specific activities within a system should operate to increase people's awareness and understanding, documenting these systems thoroughly to facilitate changes in people or responsibilities. Continuously improve the system through measurement and evaluation of specific activities.

7.4.7 Technology – Understand the importance of technology and how it may be applied to the work of United Way organizations. Where resources allow and where it will be most effective, use technology to enhance the United Way organization's capacity and impact.

7.5 CONTINUOUS IMPROVEMENT

7.5.1 Organization-Wide Approach – Employ a consistent organization-wide approach to continuous improvement of the organization's performance by highlighting the need to constantly measure and evaluate systems and processes.

7.5.2 Formal Training – Provide people with training in the methods and tools of continuous improvement, encouraging a philosophy that is supportive of inquiry and exploration, and creating a culture of mutual responsibility and accountability.

7.5.3 Create Objectives – Make continuous improvement of products, processes and systems an objective for every individual in the organization, and recognize innovation and creativity in supporting and contributing to continuous improvement. Support this activity through regular discussion and dialogue.

7.5.4 Establish Goals – Establish goals to guide and measures to track continuous improvement in terms of changes in customer service levels or process efficiencies, and then recognize and acknowledge these improvements to encourage people.



Operations and Management Practices (cont.)

7.6 FACTUAL APPROACH TO DECISION MAKING

7.6.1 Manage Knowledge – Ensure that data and information is sufficiently accurate and reliable and is managed effectively in the organization. Data and information only become knowledge when they are readily available to and understood by all people in the organization. Knowledge is also created through the grouping and filtering of data to remove repetitive or irrelevant details and to aid in the identification of trends. This analysis and interpretation of data are critical steps needed to inform decision making processes.

7.6.2 Disseminate Knowledge – Data must be made accessible to those who need it if it is to create knowledge and inform decisions. Use technology to organize and make information available to staff and volunteers.

7.6.3 Analyse data and information using valid methods – Not only must data be valid, but the methods used to analyze and interpret data must be valid as well. Interpretation and even presentation are important steps in developing information to inform the decision making processes of the organization.

7.6.4 Utilize Knowledge – Make decisions and take action based on factual analysis, balanced with experience and intuition, as opposed to partial knowledge, incomplete facts, opinion, anecdotes, or myths. Seek to understand issues at the process or system level to overcome inertia – “we always did it that way” – and to ensure that decisions are documented and transparent. This disciplined approach also supports the review and re-visiting of decisions when needed by enabling a clear understanding of the information and factors which were originally taken into account.

Glossary of United Way Terms

This section is provided as a comprehensive guide to terms used in United Way organizations around the world. Many of these terms are used within this standards document, however others are not, but are included because they involve a key concept that may be encountered when working with United Way organizations.

Accountability: Being publicly responsible for how money is spent and for the work of the organization toward its mission and in support of the community. This is a key principle that pervades the work of United Way organizations.

Administrative back office: Basic operational support functions required of any organization, regardless of the nature of the operation (e.g., human resources administration, finance, information technology, or procurement), which may be prime candidates for outsourcing or centralization.

Advocacy: Efforts to influence public opinion or policy through various forms of persuasive communication to key audiences including government, individuals, corporations, non-profit organizations, or the general public.

Agency: An organization that provides health or human services to clients.

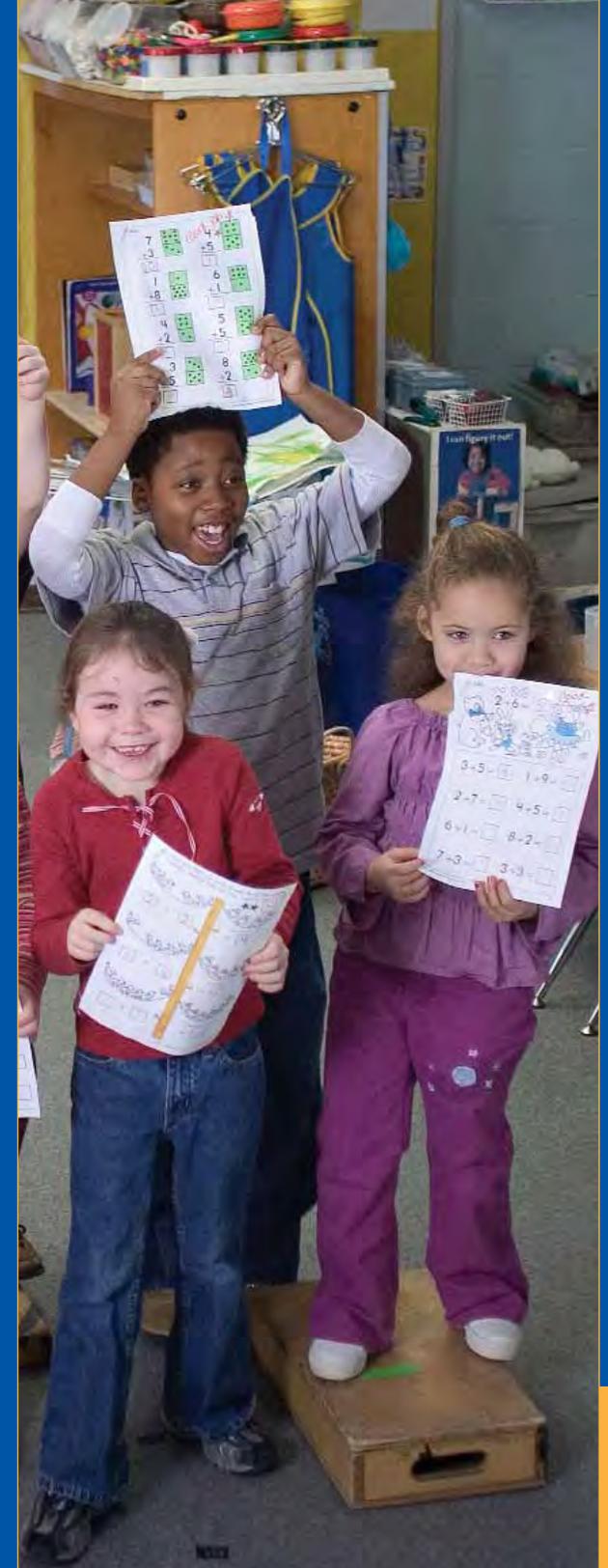
Annual Report: A document issued each year to provide current and prospective donor/investors, partners and the general public with information about the organization's income, expenditures, activities, and accomplishments.

Aspiration: A desire or ambition to achieve something, a goal to be achieved.

Audit: An examination and verification of financial records and supporting documents by an independent public accountant, usually for the purpose of expressing an opinion on the fairness and completeness of a financial statement. See also Internal Audit.

Brand: A brand is a relationship status earned by becoming significant in the lives of its users. It is a combination of tangible and intangible attributes, symbolized in a trademark, which, if managed properly, creates value and influence.

Brand experience: The exposure and interaction a customer has with a brand (e.g., through communications, advertising, websites, events, transactions, and relationships with those who work for or on behalf of United Way). A successful brand experience creates an environment in which the customer is surrounded by the positive elements characteristic of the brand.



Glossary

Brand management: Managing the tangible and intangible assets of a brand. For the United Way brand, the tangible assets relate to the customer experience (see Brand Experience and Brand Value Proposition) and the intangible assets refer to the emotional connections derived as a result of experience, identity, communication and interactions with people who work for or on behalf of United Way.

Brand identity: The outward expression of the brand, including its name and visual appearance. The brand's identity is its fundamental means of consumer recognition and symbolizes the brand's differentiation from competitors.

Brand image: The visual appearance of the brand, often embodied in the organization's logo.

Brand value proposition: The promises that a brand represents to its target audience, based on the needs that the latter want or expect the brand to meet.

Budget: An itemized listing of the amount of all estimated support and revenue which the organization anticipates receiving, along with a listing of all estimated costs and expenses that will be incurred over one fiscal year, which is then approved as a general authorization of expenditures.

Bylaws: Formal rules and regulations adopted for the organization's internal governance.

Campaign: An intensive, time-limited fundraising endeavour to meet a specific financial goal.

Capacity Building: Increasing the capacity of organizations to carry out their work successfully by providing them with resources, specifically those resources such as training, skills development, and organizational development which can help them to be more effective and efficient.

Cash flow: The tracking of cash coming into and going out of the organization. Usually presented in the form of a report that indicates all sources of cash versus all uses of cash.

Change strategy: An integrated approach to transformational change that includes three components: 1) content, or what must change; 2) people, which refers to the human dynamics that influence change or are part of it; and 3) process, or how the organization will produce the content changes while simultaneously transforming people and culture.

Code of ethics: A written system of standards for ethical conduct. A workplace guide to support day-to-day decision-making.

Coercion: Being forced to do something against one's will due to an explicit or implicit threat. In a United Way context this usually has to do with donors or volunteers being or feeling forced to contribute or participate. In a coercive situation, individuals suffer, or feel they may suffer, negative repercussions, or that they will be denied positive rewards as a result of non-participation. United Way organizations absolutely **forbid** coercion of any type.

Community: A group of people united by common interests and a shared commitment to act, usually in the context of a specific geographical area.

Community assessment: An effort undertaken to evaluate and understand the aspirations, issues and current state of affairs in a community. The assessment could include goals, assets, challenges, and needs.

Community assets: All the resources available that add value to the community (e.g. financial, human, political, economic, environmental, social and cultural).

Community building: United Way organizations believe that it takes everyone working together to deal effectively with community problems. They value all points of view regardless of political affiliation, religion, race, class or ethnicity, and strive to include everyone in creating a shared community vision. United Ways work with many partners—business, direct service agencies, other non-profits, government, individuals, universities, the media and others—to help the community to meet its most urgent needs. (See also *Community Impact*)

Community economic development: A long-term process of investment, construction or other activity, governed by residents to improve the community's economic health and vitality.

Community engagement: Encouraging community members to get involved with activities that enhance community life and contribute toward developing and achieving a shared vision for the future.

Community fund: The method by which United Ways pool donated funds so that they can be invested in community impact strategies and solutions by local community volunteers based on each strategy's particular needs and urgency. (See also *Fund Distribution*)

Community impact: Improving lives by mobilizing communities to create sustained positive changes in community conditions. Characterized by broad engagement of many partners to create a shared community vision that addresses the root causes of prioritized social issues. (See also *Community Building*)

Community impact plan: A plan for achieving desired results on a specific issue. It includes desired outcomes, objectives, strategies, action steps, roles and resources needed.

Community impact strategy: An approach to addressing the root causes of an issue. Also called impact strategy.

Community investment: Provision of finances, people, time, or energy to support a program, activity or initiative in the community.

Community investment portfolios: Frame strategies as solutions to community issues and present them in a way where they can be linked to community and donor aspirations. These “investment portfolios” should convey the short- and long-term results that will improve lives; the impact those results will have on the community; and a case for the importance of the issue and the proposed solution. (See also *Investment Products*.)

Communities of interest: People united by common interests, geographic location, cultural or demographic characteristics, and having a shared commitment to act on a particular issue. Often defined as a subset of a larger community.

Conflict of Interest: A conflict between the public and private interests of somebody in an official position resulting in personal gain or a perception of undue influence or advantage. Examples of instances of conflict of interest include: *staff, board members, or volunteers doing business with relatives on behalf of the organization; staff, board members, or volunteers giving or accepting gifts or favours from a person or entity having a business or charitable relationship with the organization; staff, board members, or volunteers having a financial interest in a business that provides materials or services to the organization; or employment of family members where they would report directly to another family member.*

Culture (of the organization): The character of a United Way organization comprised of values, norms, operating principles, myths, and stories. Indicators of culture, which collectively reveal the organization's personality, include: leadership style, communication patterns, decision-making styles, use of information, performance standards and expectations, norms and behaviours, symbols, etc.



Glossary

Customer: The term ‘customer’ is used to describe any organisation or person, and by extension the community, which benefits from, or has the potential to benefit from, the work of United Way organizations. This includes NGOs, government or its agencies, and various donating entities such as corporations or private individuals, as well as the beneficiaries of programs and services.

Customer Relationship Management (CRM):

Customer strategies and processes, supported by technology, to build customer loyalty. CRM enables an organization to identify customers, differentiate them in terms of their needs, behaviours and value, interact with them, and customize some aspect of products or services to meet their needs.

Customer segment: See market segment.

Demographics: The description of outward traits that characterize a group of people, such as age, sex, nationality, marital status, education, occupation, or income.

Designations, designated gifts: A gift that includes a specific restriction made by the donor/investor as to the use of the proceeds (usually directed toward a specific agency or cause) which must be honoured by the recipient. Also referred to as a donor choice gift, restricted gift, or directed gift.

Direct service: Services delivered directly to individuals and families.

Diversity: Differences among groups of people and individuals based on factors that may include, but are not limited to: ethnicity, race, colour socioeconomic status, gender, disability, language, religion, sexual orientation, and geographical area.

Donation: A voluntary transfer of money to a recognized charitable organization without consideration. Also known as a Gift or Contribution.

Donor: A person making a contribution, financial or in-kind, to a charitable organization. See also investor.

Effectiveness: A measurement of producing a result, especially the desired or intended result, which evaluates the success in achieving that result in both qualitative and quantitative terms. A process may be effective without being particularly efficient if it uses considerable resources to achieve the desired end.

Efficiency: A measurement of producing a result which is closely related to effectiveness, but which also evaluates the cost of producing the result in terms of inputs and resources required, or the speed at which the result is achieved (timeliness). Efficiency usually implies a high degree of effectiveness

Electronic Funds Transfer (EFT): Any transfer of funds (e.g., payments, collection) that are initiated by electronic means.

Eligibility screening: United Way’s process to pre-qualify a community organization as a potential recipient of United Way investments. It assures legitimacy, accountability and that the organization is operating in accordance with sound non-profit management practices.

Endowment: A fund established to provide income for the maintenance of a non-profit organization. Endowments are generally established by donor/investor-restricted gifts and are limited in use to the purpose originally directed by the donor/investor, for example in that the capital may not be expended.

Ethics: a system of moral principles governing the appropriate conduct for an individual or group

Ethics officer: An individual designated by the Board as a resource to assist volunteers, employees and the public to determine the right course of action in difficult situations. This person is responsible for integrating the United Way organization’s ethics into the decision-making processes at all levels.

Fiduciary: An individual, corporation or association holding assets for another party, often with the legal authority and duty to make decisions regarding financial matters on behalf of the other party.

Fund distribution: A process of distributing a pool of donated funds to local charitable agencies or programs based on community priorities and a system of program evaluation and outcome measurement. Also referred to as “Allocations”, this is the grant making activity of United Way organizations.

Generally Accepted Accounting Principles

(GAAP): A widely accepted set of rules, conventions, standards, and procedures for reporting financial information, as established by the professional accounting authority in each country.

Generally Accepted Auditing Standards (GAAS):

A set of systematic guidelines used by auditors when conducting audits on organizations' finances, ensuring the accuracy, consistency and verifiability of auditors' actions and reports.

Governance: The act of setting direction for the organization, ensuring necessary resources (i.e., human, financial, or relationships) and providing oversight of programs, finances, legal compliance, and values.

Impact strategy: An approach to addressing the root causes of an issue. See Community Impact.

Inclusiveness: Enabling the representation and participation of diverse groups.

In-kind contribution: A contribution of goods or services rather than cash or appreciated property. Also referred to as Gift In Kind.

Internal Audit: A review of financial systems and processes by an independent party with a view to identifying strengths and weaknesses in internal controls or specific procedures. See also Audit.

Internal controls: Policies and procedures taken by an organization for the purpose of; (1) protecting its resources against waste, fraud and inefficiency; (2) ensuring accuracy and reliability in accounting and operating data; (3) securing compliance with the policies of the organization; and (4) evaluating the level of performance in all organizational units.

Investment products: A statement of the desired outcome, ie. the change that would occur with the contribution of money, time or other resources. (See also *Community Investment Portfolios*)

Investor: A person making a contribution, financial or in-kind, with the expectation that their investment will generate a return in the form of measurable results in the community. Also referred to as donor or community investor.

Loaned executives, loaned representatives:

Professionals or staff loaned by employers for a temporary assignment to a United Way project, typically as account managers during the annual fundraising campaign.

Management letter: A proprietary letter prepared in addition to an auditor's opinion letter that outlines areas, identified during the course of the audit, where potential may exist for improvement of financial policies and procedures.

Market segment: A group of customers, who share the same needs and values, can be expected to respond in much the same way to the product or service, and command enough financial power to be of strategic importance to the organization.

Membership requirements: These are specific requirements that each United Way organization must meet and certify compliance with in order to remain a member in good standing of United Way International or a national United Way organization. Also referred to as Minimum Membership Requirements.



Glossary

Metrics: Measurement of progress and success. These should be based on benchmarks in the community and can include outputs (head counts or units of service), but should also include outcomes (actual results—lives changed as a result of activities). Resources raised and spent against an issue are also good low-level metrics, however they need to be linked to outcomes to measure performance.

Mission: The organization's overriding purpose or reason for being (i.e., what you do, for whom, and how it makes the organization different).

Mobilize: To spur a group into action or to bring resources to bear.

Movement: A collective effort by a large number of people to try to achieve something, especially a political or social reform.

Non-Partisan: Conducting public policy and advocacy activities without becoming involved with or endorsing political parties or individual politicians. Public policy and advocacy activities should focus on the community's most pressing issues, rather than on any political agenda.

Non-Profit: An organization which is neither commercial nor governmental, but is an independent community organization that is operated without intent to make a profit. All revenue is used to accomplish the organization's mission except for what is needed to fund reasonable administrative operations. The assets of the organization are held on behalf of the community, and may be returned to the community upon dissolution. Also referred to as a Charitable, Voluntary, Not-for-Profit, or Non-Governmental Organization (NGO).

Outcome: A specified benefit or change that a deliberate action is intended to create for a defined set of people. Outcomes may be defined at multiple levels (e.g., program, system, community).

Outcome measurement: The regular, systematic tracking of the extent to which defined sets of people experience the intended benefits or changes.

Partner: Individuals and organizations with whom United Way works to achieve community impact. Generally used when referring to entities who are not investors or donors, but who are providing something else (i.e., programs, expertise, technology, connections or contacts, etc.). It includes, but is not limited to, those traditionally referred to as partner agencies.

Philanthropy: A desire to improve the material, social, and spiritual welfare of humanity, especially through charitable activities.

Planned giving: A method of raising funds from substantial gifts in the form of bequests, life insurance and charitable annuities which are often, but not always, planned as donations upon the death of the donor/investor.

Pledge capture: The collection of donor/investor information, amount of donation and intent. Pledge capture typically takes place either via paper or electronically.

Pledge distribution: The payment of donations to ultimate recipients (usually designated federations, agencies or other United Ways) net any administrative or processing fees withheld.

Pledge processing: The aggregation of donations and reporting results within and across campaigns. Activities include integration with payroll systems, acknowledging and receipting of gifts, depositing of cash and check donations, executing stock transactions and reporting results.

Program: A set of related activities and outputs directed at common or closely-related purposes combined in a plan of action to achieve something.

Prospect: A prospective or potential customer or donor.

Qualified Opinion: A term describing a type of opinion offered by an Independent Auditor where the Auditor declares that he/she has examined the financial records of an entity in accordance with Generally Accepted Auditing Standards (GAAS) and, as a result of the examination, believes that the financial records are prepared in accordance with Generally Accepted Accounting Principles (GAAP) except as qualified in their statement. A typical example of a qualification would be the inability to confirm the total value of cash donations which may have been given to the organization but not entered into the accounts.

Preventative services: Services designed to help individuals and families avoid longer-range problems and enhance the probability of leading productive, satisfying lives.

Reserves: Funds set aside for emergencies or other future needs.

Resources: All possible assets that can be put to work to produce positive results. They can be time, money, people, knowledge, talent, expertise, goods, services, relationships and technology.

Resource mobilization, resource development: Procuring the necessary resources to execute community impact strategies. Frequently, this refers to financial resources (i.e., fundraising), but may also refer to the generation and procurement of other non-financial resources.

Restricted gift: A donor/investor stipulation, temporary or permanent, that specifies the use of a contribution.

Risk management: The technique of determining, minimizing, and preventing accidental loss in an organization through anticipating or predicting potential future outcomes, for example, by implementing safety measures, buying insurance, or avoiding activities with too high a risk.

Root causes: Conditions or actions underlying community needs and issues and causing them to happen or to worsen. While United Way organizations do address the issues directly in a remedial fashion (i.e., addressing hunger by feeding hungry families); in order to truly make progress against these issues, the root causes or community conditions must be addressed (i.e., what makes families hungry in the first place? Some example root causes might be lack of employment or job skills or lack of access to adequate food). Addressing root causes is a fundamental principle of United Way's work.

Segmentation: Division of potential customers into market segments for the purpose of developing tailored communication, relationship and marketing efforts.

Service area: The geographic area within which a local United Way operates and provides value to a community, as authorized in a licence agreement or other governing documents.

Stakeholder: Any person or group who has an interest, either directly or indirectly in the activities of a United Way organization. This can include, but is not limited to, donors, volunteers, recipients of help, partner organizations, members of the government and other community organizations. Specific stakeholders may vary from situation to situation.

Stewardship: The responsibility to wisely manage and supervise assets belonging to others.



Glossary

Strategic back office: Functions that provide operational support of your United Way’s core business activities – community engagement, impact strategies, resource development and investment.

Strategic plan: A written document that identifies a set of integrated decisions your United Way has made with respect to multi-year goals and strategies to achieve them. Decisions include: selected priority issues on which your United Way will focus; market and donor/investor segments you will target; resources and operational capabilities needed.

System citizenship: The collective rights, privileges and responsibilities of membership in a United Way system.

Target audience: The market segment or group your United Way has decided to serve, and at which you aim your marketing activities, determined by answering the question: upon whom is your future dependent?

Touch-point analysis: An approach that identifies the actual points of contact and interaction between your United Way and your target audiences.

Trademark licensing agreement: The legal terms and conditions under which United Ways may use the United Way collective membership marks, trademarks and service marks of United Way of America or United Way International, including but not limited to the name “United Way.” The license agreement defines solicitation/service area by geographic area.

Transparency: Openness and candour about United Way governance, operations, and financial reporting. Transparency is required to build trust with donor/investors, partners and the general public.

Uncollectible: Fundraising pledges that will likely not be paid due to layoff or other circumstance and will need to be written off.

United Way: A United Way is a volunteer-led non-profit organization that leads, supports, and participates in collective, inclusive community efforts that build capacity and mobilize resources to improve lives and create positive, long term social change in local communities. United Ways encourage and promote philanthropy and volunteerism, and are accountable to donors for how they use contributions and to the community for the results they achieve.

United Way organization: An organization affiliated with the movement of United Way organizations which shares the values and characteristics of United Way and meets applicable Minimum Membership Requirements.

Unqualified Opinion: A term describing a type of opinion offered by an Independent Auditor where the auditor declares that he/she has examined the financial records of an entity in accordance with Generally Accepted Auditing Standards (GAAS) and, as a result of the examination, believes that the financial records are prepared in accordance with Generally Accepted Accounting Principles (GAAP) and do fairly represent the financial condition of the entity.

Values: Values are traits or qualities that are considered worthwhile; they represent your United Way’s governing beliefs that drive decisions and define how people behave toward each other.

Vision: A statement about what your United Way ultimately wants to have happen as a result of its efforts—and what it will become in the future. For example, United Way International’s vision statement is: “To be a global leader in intelligent and accountable philanthropy and have an impact in communities worldwide.”

Visual identity: What a brand looks like (e.g., its logo, typography, and packaging). (See also brand image)

Volunteer: A person that gives freely of their time and talent to a greater cause without expectation of compensation.

Volunteer-led: Volunteers govern the organization and are involved in all major decision-making, ensuring that the organization is representative of the community, its needs and the aspirations of its citizens.

Volunteer center: A service that promotes and recognizes the benefits of volunteering in a community. It often links people wishing to volunteer with community organizations needing assistance and supports volunteers and volunteer management through training and other educational programs.



Process and Participants

The Global Standards Initiative is the lead project in an effort to increase the capacity and effectiveness of local United Way organizations around the world to serve their communities and to increase the ability of global partners and individuals to carry out their philanthropic objectives. The **GE Foundation** was the primary sponsor of this activity, **Philip Morris International** provided a further grant to assist in translation, communication, and engagement, and **The Boeing Company** provided additional operating capacity building funds.

The standards were created through an unprecedented year-long process in which more than 100 volunteers and staff from United Way affiliates and other organizations around the world were involved in creating, reviewing and vetting the standards. Global Standards are based on a strong tradition of local and national standards for United Way organizations, and initial planning and research was greatly aided by a staff level **Task Group** with members from United Way International, United Way of America, and United Way of Canada – Centraide Canada. A broadly representative **Leadership Committee** established the project’s scope, guided the work, and actively participated in the development process.

Reference Groups consisting of staff and volunteer experts from many countries were convened around eight different subject areas to research issues, develop content, and create an initial draft of principles and standards. These working papers were then assembled with other supporting materials into an Exposure Draft which was widely circulated and reviewed and discussed at a series of international meetings and forums convened for this purpose in the fall of 2005. Based on this feedback, and with the help of a small team of senior staff and volunteers, the proposed standards were re-organized and re-worked to create a final draft of **Global Standards for United Way Organizations**. The Global Standards were then confirmed by the Leadership Committee and approved and endorsed by the **United Way International Board of Directors**.

The generous contribution by all of these individuals (and their sponsoring organizations) of their time, enthusiasm, knowledge, and ideas was greatly appreciated and there is no doubt that this broad level of involvement and engagement contributed greatly to the success of this effort.



Process and Participants

The following describes the various groups of staff and volunteers involved in the Global Standards Initiative and their respective roles:

EXECUTIVE OWNERS

Provided high level oversight of the Global Standards Project

- **Christine James-Brown**
President & CEO, United Way International (Lead)
- **Brian A. Gallagher**
President & CEO, United Way of America

BOARD OF DIRECTORS

The Board of Directors of United Way International provided advice and oversight to the project. The following are the current members of the Board of Directors:

- **James M. Bannantine**
Acumen Capital LLC, Columbia, Maryland
- **Teresa Hall Bartels**
President, Hallbart Holdings, LLC, Mundelein, Illinois
- **Arthur P. Bellis**
Principal, Bellis Enterprises, New York, New York
- **Robert Boucher**
President, Cirrus Management Training and Sailing Kingston, Ontario, Canada
- **Churchill G. Carey**
Community Consultant, San Juan, Puerto Rico
- **Edwin D. Fuller**
President & Managing Director, Marriott International, Inc., Washington D.C.
- **Barbara B. Gattorn**
Senior Advisor to the President, Detroit Regional Chamber, Detroit, Michigan
- **Joe L. Howard**
President & CEO, Argent Management Co., Cornelius, North Carolina
- **Ku-Hyun Jung**
President, Samsung Economic Research Institute, Seoul, Korea
- **John C. Long**
Vice President, Corporate Affairs, The Hershey Company, Hershey, Pennsylvania
- **Jon D. Love**
President, Pitney Bowes Government Solutions, Lanham, Maryland
- **Larry Macdonald**
Chairman & CEO, Point Energy, Ltd., Calgary, Alberta, Canada
- **Bill Matassoni**
VP and Director, Boston Consulting Group, New York, NY
- **Tim McMains**
President, Wylie Quixote Ltd, Auckland, NZ
- **Roberto E. Santa Maria**
Partner, PricewaterhouseCoopers, LLP, San Juan, Puerto Rico
- **Herbert Orji**
Chairman of the Board & CEO, Summa Guaranty & Trust Co, Lagos, Nigeria
- **Raju Panjwani**
Founder & CEO, Epitome Global Services, New York, NY
- **Jayesh A. Parekh**
Chairman, MobiApps Holdings Pte. Ltd., Singapore
- **Steve Richardson - (Chair)**
Sr. Vice President & Chief Talent Officer, American Express Company, New York, New York
- **Karl B. Rodney**
Publisher & Editor in Chief, Carib News, New York, NY
- **Ramón Sosa-Mirabál**
Director External Relations & Communication, Petrobras Energía Venezuela, Caracas, Venezuela
- **Barbara J. Stonebraker**
Senior Vice President, (Retired), Cincinnati Bell, Cincinnati, Ohio
- **Jorge A. Uribe**
President Latin America, Procter and Gamble, Caracas, Venezuela
- **Cornel Williams**
Chief Financial Officer, International Capital & Management Co., St. Thomas, U.S. Virgin Islands

LEADERSHIP COMMITTEE

Made up of 10-15 senior volunteers or staff from United Way International members and stakeholders, the Leadership Committee was the central advisory body for the United Way Global Standards Project and had representation from all of the regions. Members brought a variety of skills and experience to the table.

From United Way International Board

- **Robert Boucher**
United Way International Board of Directors, representing United Way of Canada – Centraide Canada, Kingston ON
- **Tim McMains**
United Way International Board of Directors, Chair of Member Services Committee, Santa Barbara CA

From Asia – Pacific Region

- **Des Blake**
Consultant, United Way Australia, Melbourne, Australia
- **Gil Salazar**
Executive Director, Philippine Business for Social Progress (PBSP), Manila, Philippines

From Africa Region

- **Veronica Cronjé**
Executive Director, Vaal Region Community Chest, South Africa
- **Emmanuel Okereke**
Vice President, United Way Nigeria, Lagos, Nigeria

From Europe and the Middle East

- **Cristiana Daianu**
Board Member, United Way of Romania, Bucharest, Romania

From Latin America & Caribbean Region

- **Alvaro Casserly**
Chairman of the Board, United Way of Jamaica, Kingston, Jamaica

- **Maria del Rosario Sintes**
Directora Ejecutiva, Dividendo por Colombia, Bogota, Colombia

From North America

- **Lynne Mulder**
United Way of Canada – Centraide Canada Board Member, Red Deer, Alberta
- **Brian Lachance**
Chief of Staff, United Way of America, Alexandria, Virginia

TASK GROUP

Staff members from United Way International, United Way of America, and United Way of Canada – Centraide Canada played an invaluable role in advising, planning and supporting the Global Standards Initiative.

- **Larry Gemmel**
Project Manager (Lead)
- **Rick Belous**
Vice President Research, UWA
- **Greg Berzonsky**
Vice President, Member Support & Development, UWI
- **Karen Brunn**
Director Performance Research, UWA
- **Barbara Edmond**
Vice President Best Practice Exchange, UWA
- **Ken Euwema**
Director Financial Accountability, UWA
- **Debbie Foster**
Executive VP for Strategic Alliances & Inclusion, UWA
- **Susan Gilmore**
Vice President Membership Accountability, UWA
- **Eva Kmiecic**
Senior Vice President, Strategic Management, UWC-CC
- **Ana Maria Moran**
Vice President Resource Development, UWI



Process and Participants

- **Jenny Palazio**
Director Membership Accountability, UWA
- **Leila Roberts**
Vice President Special Programs, UWI
- **Wil Vargas**
Director Knowledge Management, UWA

REFERENCE GROUPS

Ad hoc *Reference Groups* were formed to create and develop the initial draft standards in detail for each area of activity identified in our scope using a common template. Reference Groups consisted of Task Group members, other UWI or UWA Staff, Staff and Volunteers from UWI affiliates, and external experts as appropriate.

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- **Aracelis Bermadez Walcott**
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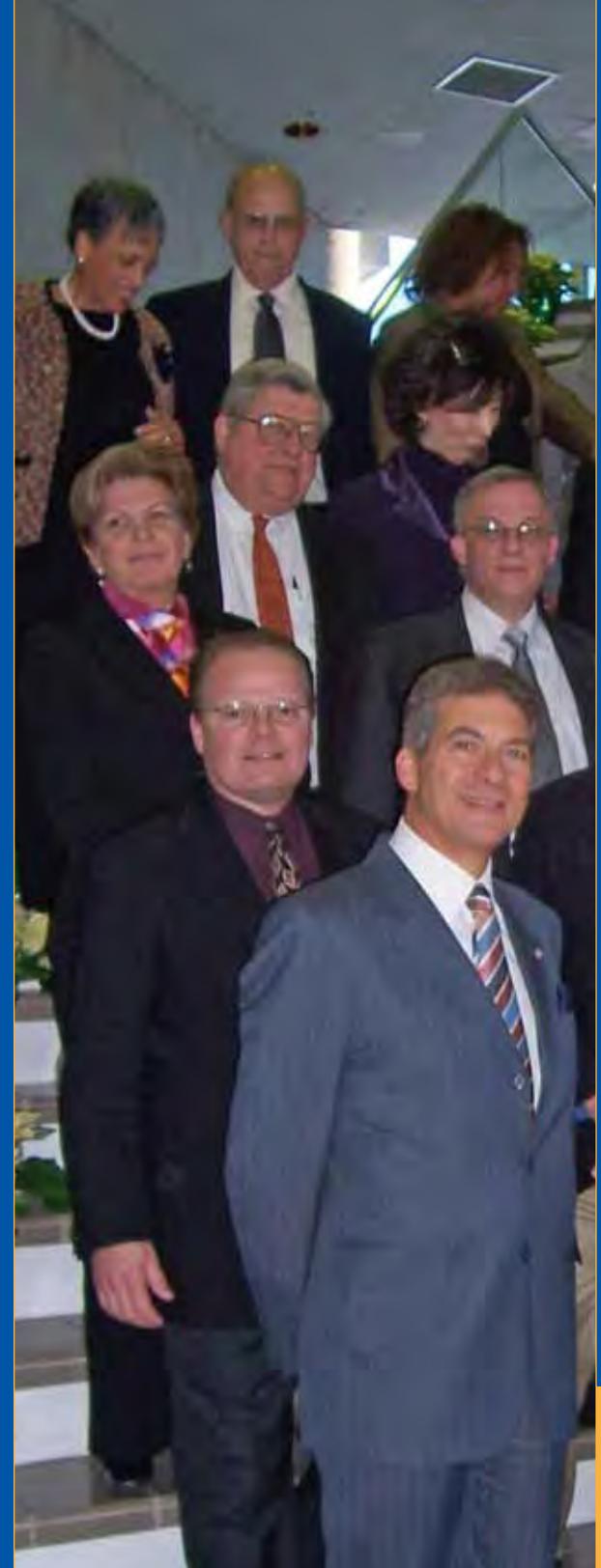
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United Way Organizations around the World

The following lists organizations affiliated with United Way International as of March 2006 alphabetically by region. In the case of national organizations, the number of affiliated local United Way organizations is shown in brackets. Further contact information and links to local websites can be found at www.uwint.org.



United Way Organizations around the World

Africa

- **United Way Ghana**
Accra, Ghana
- **United Way Kenya**
Nairobi, Kenya
- **United Way Mauritius**
Port Louis, Mauritius
- **United Way Nigeria**
Lagos, Nigeria
- **United Community Chests of Southern Africa**
(8 local Affiliates) Cape Town, South Africa
- **United Way Uganda**
Kampala, Uganda

Asia Pacific

- **United Way Australia**
(10 local affiliates)
Melbourne, Victoria, Australia
- **China Charity Federation**
(168 local affiliates) Beijing, China
- **The Community Chest of Hong Kong**
Hong Kong SAR, China
- **United Way of Baroda**
Baroda, India
- **United Way of Mumbai**
Mumbai, India
- **Yayasan Mitra Mandiri**
Jakarta, Indonesia
- **Central Community Chest of Japan**
(47 local affiliates) Tokyo, Japan
- **Community Chest of Korea**
(16 local affiliates) Seoul, Korea
- **Malaysian Humanitarian Foundation**
Kuala Lumpur, Malaysia
- **United Way of New Zealand**
Auckland, New Zealand
- **United Way Philippines, Inc.**
(11 local affiliates) Quezon City, Philippines
- **Philippine Business for Social Progress**
Manila, Philippines

- **National Council of Social Service**
(Community Chest of Singapore) Singapore
- **United Way**
Taipei, Taiwan
- **National Council on Social Welfare of Thailand**
(United Way Thailand) Bangkok, Thailand
- **AmCham - United Way Vietnam**
Ho Chi Minh City, Vietnam

Caribbean

- **United Way of Jamaica**
Kingston, Jamaica
- **United Way of St. Croix, Inc.**
Christiansted, St. Croix, Virgin Islands
- **United Way of St. Thomas-St. John**
St. Thomas, Virgin Islands
- **United Way Trinidad and Tobago**
Port-of-Spain, Trinidad, West Indies

Europe, Central Asia & Middle East

- **United Way Belarus**
Minsk, Belarus
- **United Fund for Belgium**
La Hulpe-Terhulpen, Belgium
- **United Way Greece**
Athens, Greece
- **Eroforras United Way Hungary**
(4 local affiliates) Budapest, Hungary
- **Matan-Your Way to Give**
Tel Aviv, Israel
- **General Union of Voluntary Societies**
Amman, Jordan
- **United Way of Poland**
Warszawa, Poland
- **United Way of Romania**
Bucharest, Romania
- **United Way Moscow**
Moscow, Russia
- **United Way and United Trusts**
Liverpool, United Kingdom

Latin America

- **Associação Caminhando Juntos**
São Paulo, Brazil
- **Corporación Sociedad Activa**
Santiago, Chile
- **Fundación Dividendo por Colombia**
Bogotá, DC Colombia
- **Asociación de Empresarios Para el Desarrollo**
San José, Costa Rica
- **Fondo Unido de Guatemala**
Guatemala City, Guatemala
- **Fondos Unidos de Puerto Rico**
San Juan, Puerto Rico
- **Fundación Esquel**
Quito, Ecuador
- **Fondo Unido, I.A.P.**
(6 local affiliates) México Distrito Federal, México
- **Asociación Nicaragüense Americana**
(American Nicaragua Foundation)
Managua, Nicaragua
- **Asociación Caminando Juntos**
Lima, Peru
- **Dividendo Voluntario para la Comunidad, A.C.**
Caracas, Venezuela

North America

- **United Way of America**
(1,350 local affiliates) Alexandria, Virginia, USA
- **United Way of Canada - Centraide Canada**
(124 local affiliates) Ottawa, Ontario, Canada



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