



United Way  
Centraide  
Canada

# MEMBERSHIP REQUIREMENTS COMPLIANCE GUIDELINES

United Way Centraide Canada strives to provide leading examples and good practices to assist member United Ways Centraides in implementing and complying with the Membership Requirements. As a result, the Membership Requirements Compliance Guidelines will be modified from time to time to ensure they are kept up to date. Please [click here](#) for the most recent version of the Guidelines.



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**ACKNOWLEDGEMENT:**

The following resources were used extensively to create this guide:

[Imagine Canada's Sector Source](#)  
[Imagine Canada's Standards Program](#)  
[Big Brothers Big Sisters of Canada Standards and Accreditation program](#)  
[Chartered Professional Accountants Canada](#)  
[United Way Worldwide](#)  
[United Way Centraide Member organizations  
across Canada](#)

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# INTRODUCTION

United Way Centraide Canada (UWCC) has developed a set of new membership requirements and related compliance processes for United Way Centraides (UWCs) in Canada as part of the Membership Renewal Process. As outlined in the Strategic Directions (2014-2024) endorsed by the UWCs, the UWC Movement is striving to effect significant change and impact within our communities. Our challenge is to accelerate change, demonstrate our community impact vision and leverage our collective strengths to become the Movement for social change in Canada.

The UWC Strategic Directions are a means of charting a course for the Movement to become an even greater vehicle for social change across Canada in the coming years. UWC has always evolved and adapted to best deliver on our mission. Forged with UWCs input, these Strategic Directions are another step in that evolution, a means of strengthening our work locally, by leveraging our connections to each other and capitalizing on the power of our collective presence.

They call for the UWC Movement to:

- become a **HIGH PERFORMING SYSTEM**, that is connected, interdependent, and innovative, that is built on trust, and that demonstrates excellence through its systems and practices.
- create an **INTELLIGENT NETWORK** that is a known and trusted leader for its depth of knowledge and ability to measure and evaluate the outcomes of our community investments.
- deliver a **POWERFUL MOVEMENT** that inspires action and is the essential link between Canadians and the change they want to see in their communities.

Developing a new membership agreement is a direct outcome of our Strategic Direction to become a High Performing System.



# HIGH PERFORMING SYSTEM

The network of UWCs in Canada constitute a “**Movement**”, a collective that is larger than the sum of its parts, and whose members take collective responsibility for pursuing and fulfilling the mission: *Empower everyone to improve lives and build strong communities.*

Renewing the membership relationship with local UWCs is key in moving to a **High Performing System**. It helps create greater alignment and consistency for the UWC movement by defining our relationships and mutual responsibilities and by setting out membership requirements more clearly. The following elements are core to the membership agreement:

**Standards** define the unique work of UWCs in the community and describe the practices and behaviours that will lead to success. Our UWC Standards of Excellence, developed and launched in 2006 serve as the foundation for defining the behaviours and practices of a UWC seeking to advance our Movement’s mission. The Standards of Excellence (SOE) have informed the development of renewed membership requirements. In addition to the SOE, other standards related to transparency, governance or brand management are being used to guide the new Membership Requirements. These standards define best practices and behaviours used to assess levels of performance that can be tracked for both an individual organization as well as from a movement-wide perspective.

Clear and concise **Membership Requirements** help assess if a UWC organization is meeting the standards and operating as a UWC. Compliance is largely the responsibility of the members themselves, both individually and collectively in a spirit of mutual accountability. However, the requirements should be verifiable and monitored through documentary evidence and provide the basis for interventions on behalf of the movement when a member’s actions or inactions jeopardise the brand and reputation of all. Furthermore, the possibility that factors may emerge, posing a risk to the movement as a whole (enterprise wide risk), require the ability to put in place new business processes for the good of the movement.

A **Performance Management and Compliance Monitoring System** requires members to assess their own performance against the standards and to verify their compliance with membership requirements, while taking into account the overall performance of the movement. These tools are all designed to help individual members and the movement as a whole increase capacity, improve performance, and provide a consistent mission-driven stakeholder experience in order to create a High Performing System.

# WHAT ARE MEMBERSHIP REQUIREMENTS?

Membership Requirements represent the minimum standard of performance and accountability that UWCs must achieve to be members of the UWC movement and to use the name and logo in their assigned geographical territory.

Membership Requirements are part of the membership relationship between local UWCs and UWCC, binding all members following their implementation.

Membership Requirements are based on and informed by standards which define and describe the work of UWCs, as set out in the *Standards of Excellence (2006)*, *Brand Identity Guidelines*, *Transparency, Accountability and Financial Reporting Policy for United Ways Centraides in Canada (TAFR)* and other UWC policies. These standards continue to evolve over time and will be updated to reflect and address evolving practices and the changing environment, according to the Strategic Directions.

Some Membership Requirements are specific to UWCs and require the Members to align with defining characteristics adopted movement-wide such as the Vision, Mission and Values or the Brand Identity Guidelines.

Other requirements are based on the legal frameworks that regulate Members as registered charities, fundraisers, employers, and volunteer administrators. These laws and regulations are established at the federal, provincial and territorial, as well as municipal levels, and will vary by jurisdiction, and must be obeyed, where relevant to the members. The brand and reputation of the entire movement could be adversely affected by a single member's violation of such laws and regulations.

Many requirements are based on standards and best practices for charities and non-profits that have been established by leading national organizations such as *Imagine Canada*, *Volunteer Canada*, the *Association of Fundraising Professionals*, and the *Chartered Professional Accountants Canada*. These organizations also provide resources and templates, many of which are used and/or referenced in this guide.

To create clear, concise and enforceable Membership Requirements, focus was given to the most important issues that could affect the UWC brand and reputation. While the *Standards of Excellence* define how UWCs should carry out their work and suggest behaviours and best practices that will lead to success, Membership Requirements are derived from a wider source that include the basic principles and characteristics that define the UWC vision, mission, values and brand, as well as legal requirements and fundraising, governance and operational best practices. All this with the goal to ensure consistency through mutual accountability. A total of 21 requirements are linked to the four components of UWC standards: *Community Impact (including resource development)*; *Management, Operations and Governance*; *Brand Management*; *Transparency and System Citizenship*.

# COMPLIANCE GUIDELINES TO THE MEMBERSHIP REQUIREMENTS

In order to assist its members to better understand the membership requirements, UWCC has developed these compliance guidelines to help UWCs to implement the requirements while being able to fully comply with them on an ongoing basis.

## FORMAT OF THE COMPLIANCE GUIDELINES

For each Membership Requirement we provide the following:

<b>PURPOSE</b>	Describes why each minimum membership requirement is required.
<b>DESCRIPTION</b>	Describes the requirement and what it refers to.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b> Identifies which of the <b>Standards of Excellence</b> support the membership requirement.</p> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>Provides links to articles and resources as well as documents from local UWCs to provide examples.</li> <li><i>(Note: Members are encouraged to consult with one another about the efforts and resources that have gone into developing and producing their plans, policies, practices, etc. and share lessons learned.)</i></li> </ul>
<b>PRACTICES</b>	Specific practices or actions to be taken to meet or implement the requirement. Some practices will assist in meeting the requirement where others are more aspirational and will accelerate the transformation to becoming a high performing organization.
<b>EVIDENCE OF COMPLIANCE</b>	Describes what constitutes an evidence in order to assess compliance with the requirement.
<b>DOCUMENTS TO BE SUBMITTED</b>	Lists documents to be used as evidence and submitted with the Annual Membership Certification.
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment:</b> Initial verification of all membership requirements is based on UWCs own self-assessment as reported in the Annual Membership Certification declaration.</p> <p><b>Verification:</b> Process that UWCC uses to verify compliance of UWCs, based on evidence submitted.</p> <p><b>Analysis:</b> Further analysis that may be applied to assess UWC compliance with the requirement.</p>

# THE MEMBERSHIP REQUIREMENTS

COMMUNITY IMPACT

MANAGEMENT, OPERATIONS, AND GOVERNANCE

BRAND MANAGEMENT

TRANSPARENCY AND SYSTEM CITIZENSHIP



# COMMUNITY IMPACT

Community Impact Standards describe the core mission-driven work of United Way Centraide to generate resources and create impact in local communities. They are unique to UWC's business model and brand.

[REQUIREMENT A: VISION, MISSION, VALUES, AND PLANNING](#)

[REQUIREMENT B: COMMUNITY IMPACT](#)

[REQUIREMENT C: RESOURCE DEVELOPMENT](#)

## REQUIREMENT A: Vision, Mission, Values, and Planning

**A1** All members adopt the United Way Centraide vision, mission, and values as adopted or amended by the United Way Centraide Canada Board from time to time, or ones that are equivalent.

<b>PURPOSE</b>	The vision, mission and values provide an important and high-profile statement of the organization's purpose and what it does. They define how UWCs are to act and are critical components of the Brand, while being key to creating a seamless stakeholder experience across the country.
<b>DESCRIPTION</b>	<p>The vision, mission and values are used prominently in communication, signage, publications, online presence and promotional materials and should reflect the purpose of the organization, acting as an inspiration to staff and volunteers and communicating UWC purpose to the community. Effective Vision, Mission and Value Statements must be clear descriptions of where an organization is headed in the future that distinctly sets it apart from other entities and make a compelling case for the need it fills. Shared values influence everything an organization does, as well as its relationships with stakeholders and its reputation. These values (also known as "principles") describe key aspects or qualities of UWC's work and behaviour and not only help to define the organization and its character but can guide actions in response to particular issues or challenges</p> <p>The vision, mission and values of all UWCs must align with the ones adopted by the movement. The current vision, mission and values of the UWCs, as described in the Strategy Narrative included in the Future State Project Final Report are:</p> <ul style="list-style-type: none"> <li>• Vision: Everyone in every community has the opportunity to reach their full potential.</li> <li>• Mission: Empower everyone to improve lives and build strong communities.</li> <li>• Values:             <ul style="list-style-type: none"> <li>o Demonstrate trust, integrity, respect, inclusivity, and transparency</li> <li>o Energize and inspire volunteerism and volunteer leadership</li> <li>o Endorse innovation, partnerships, and collective action</li> <li>o Provide non-partisan leadership</li> <li>o Embrace diversity</li> </ul> </li> </ul>
<b>GUIDANCE</b>	<p><b>Based on Standards:</b> The Mission and Values form the basis for the <a href="#">Standards of Excellence</a>.</p> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Strategy Narrative – Future State Project Final Report</a> (UWCC, July 2019).</li> </ul>

<sup>1</sup> When using the English version of this document within Quebec, the mission is "To improve lives, in particular of those who are most vulnerable, and build community by engaging individuals and mobilizing collective action."

<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• UWC has adopted vision, mission and values which are the same as or similar to those of the UWC movement.</li> <li>• The vision, mission and values are known and understood throughout the organization.</li> <li>• The vision, mission and values are prominently displayed in publications and promotional material.</li> <li>• The vision, mission and values are used to help guide and determine the actions and activities of the organization.</li> <li>• The vision, mission and values are used to answer questions such as “Should we be doing this?” and “Is this consistent with our purpose?”</li> <li>• The vision, mission and values are reviewed periodically by the Board to ensure that the organization’s activities are aligned.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• Relevance of the vision, mission and values would ultimately be measured by long-term progress in resource mobilization and a variety of community-wide indicators, such as poverty rates, employment, crime statistics, etc..</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Vision Statement, Mission Statement and Value Statement</li> <li>• Website or Annual Report where the vision, mission and values are featured</li> <li>• Board Motion adopting the vision, mission and values</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<p>Vision, Mission and Values Statements or document such as an Annual Report that shows the UWC vision, mission and values</p>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - UWCC will verify the Vision, Mission and Values Statements are the same or similar to those adopted by the movement.</p> <p><b>Analysis</b> - If the Vision, Mission and Values Statements are different, UWCC will determine if they align or not with the movement-wide vision, mission and values.</p>

## A2 All members establish and implement a strategic plan to achieve the organization's mission.

<b>PURPOSE</b>	A Strategic Plan has been identified as a critical element to achieve an organization's mission and should be established and renewed on an ongoing basis.
<b>DESCRIPTION</b>	Strategic planning is an organizational management activity that is used to set priorities, focus energy and resources, strengthen operations, ensure that employees and other stakeholders are working toward common goals, establish agreement around intended outcomes/results, and assess and adjust the organization's direction in response to a changing environment. A strategic plan is a document used to communicate the organization's goals, the actions needed to achieve those goals, and all of the other critical elements developed during the planning exercise.
<b>GUIDANCE</b>	<a href="#">Strategic Planning Guidance</a>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• A Strategic Plan has been established by the UWC to achieve its mission.</li> <li>• The Strategic Plan identifies indicators to track the performance of the organization against objectives set out in the plan.</li> <li>• The Strategic Plan defines activities to be carried out over a three to five-year period and identify and address mid to long term objectives.</li> <li>• The Strategic Plan was developed with broad stakeholder input.</li> <li>• The Strategic Plan was reviewed and approved by the Board of Directors.</li> <li>• The Strategic Plan is reviewed annually and updated at least every three to five years.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• The Strategic Plan includes the selected priority issues upon which UWC will focus, donor/ investor segments and markets which UWC will target, and identifies the resources and operational capabilities that UWC will require to achieve these goals.</li> <li>• The Strategic Plan is linked to an annual operating plan which provides details about how the work will be carried out to support the strategic objectives.</li> <li>• While some details of the Strategic Plan may be confidential for competitive reasons, the overall scope of the plan should be widely communicated to all stakeholders.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Strategic Plan</li> <li>• Board Motion adopting the strategic plan</li> <li>• Plan is current</li> <li>• Plan is updated and renewed every 3 to 5 years</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	Strategic Plan
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Strategic Plan is uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> – UWCC ensures that the plan is current, aligns with the mission and has been updated within the past five years.</p>

## REQUIREMENT B: COMMUNITY IMPACT

**B1** All members engage with their community to establish a shared vision, identify community priorities and have in place a plan to guide United Way Centraides community leadership and investment.

<b>PURPOSE</b>	Engaging broadly and building a shared vision to identify and address community priorities is a cornerstone of UWC's community impact approach. Creating a community action plan in consultation with diverse stakeholders to mobilize UWC and collective action is an essential strategy and tool to create change.
<b>DESCRIPTION</b>	<p>As set out in the Movement's Standards of Excellence, UWC places more emphasis on addressing the underlying causes of social problems. We work to effect long-term changes that can be sustained over time, and that make a measureable difference in the community – a difference we can demonstrate. Because it takes a whole community working together to change social conditions, UWC works to build partnerships that mobilize communities, agencies, funders and other sectors to achieve shared goals.</p> <p>Community Impact begins with identifying the social issues most important to the community through community conversations and sound research that builds in-depth knowledge of community interests, concerns, aspirations, and assets. Priority issues focus and provide direction for all elements of a community impact strategy:</p> <ul style="list-style-type: none"> <li>• A shared vision and outcomes</li> <li>• Effort and activities required to achieve change</li> <li>• Mobilize people and resources</li> <li>• Make investment decisions, measure and communicate results</li> </ul> <p>UWC chooses where and how it has the potential, both independently and working with others, to achieve results and have the greatest impact on the community's priority issues. A UWC then mobilizes and invests resources in a purposeful way over the long term on strategies that engage the community, strengthen the network of services, focus on underlying causes and influence public attitudes, systems and policies.</p>
<b>GUIDANCE</b>	<u><a href="#">Community Impact Planning and Reporting Guidance</a></u>

PRACTICES	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• UWC has established a community vision and priorities to guide its community leadership and investments.</li> <li>• The vision and priorities were developed with broad stakeholder engagement, and include indicators and desired outcomes to help measure progress.</li> <li>• UWC's investments are aligned to priorities.</li> <li>• UWCs community vision and investment priorities are updated based on community engagement to reflect changing community conditions.</li> <li>• UWCs community vision and investment priorities are communicated widely in the community.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• UWC is perceived in the community as a leading organization contributing to positive outcomes.</li> <li>• UWC is engaged as a partner or leader on major community change strategies.</li> <li>• UWC strategies extend beyond funding to include community research, education and advocacy and convening.</li> </ul>
EVIDENCE OF COMPLIANCE	<ul style="list-style-type: none"> <li>• Community Investment Strategy for priorities</li> <li>• Annual community investment report to the community</li> <li>• Board motion approving the shared vision and action plan</li> </ul>
DOCUMENTS TO BE SUBMITTED	UWC community investment strategy or plan
VERIFICATION PROCESS	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - UWC community investment strategy or plan is uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC verifies, on a discretionary basis, that UWC community investment strategy or plan is aligned with the mission and strategic plan.</p>

## B2 All members engage with the community to define outcomes to guide their investment in community priorities and communicate progress on priorities to the community, partners, donors and funders.

<b>PURPOSE</b>	Community Impact is the core mission and function of UWC and this must be measured, evaluated, and communicated to demonstrate effectiveness.
<b>DESCRIPTION</b>	<p>UWC seeks to make communities measurably better as a result of the work of UWC and others. UWC achieves community change on priority issues by focusing on four key strategies: engage the community (dollars, influence, time, knowledge); strengthen the network of services, focus on underlying causes; and by influencing public attitudes, systems and policy.</p> <p>UWC and community partners seek to define and monitor outcomes associated with their investment priorities. Outcomes are desired changes in the lives of individuals or community conditions that result from the work and investment of UWCs and community partners. UWCs seek to measure and monitor the outcomes of its investments to:</p> <ul style="list-style-type: none"> <li>• Continuously improve its actions and investments</li> <li>• Demonstrate how UWC is contributing to positive outcomes for individuals and communities</li> </ul>
<b>GUIDANCE</b>	<i>Community Impact Planning and Reporting Guidance</i>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• Community Impact strategies are consistent with UWC focus areas and movement-wide priorities.</li> <li>• The Community Impact Report communicates, on an annual basis, progress on priorities to the community, partners, donors and funders.</li> <li>• The Community Impact Report identifies indicators which can be used to track progress against measureable objectives.</li> <li>• The results of the impact report are used to mobilize investments and resources to strengthen capacity.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• UWC has established shared measurement with community partners for major community priorities.</li> <li>• Shared measurement and evaluation is used to adapt and adjust strategies and actions to reflect emerging solutions.</li> <li>• UWC is demonstrating influence on public policy.</li> </ul>

<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>Community Impact Report</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	Community Impact Report
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Community Impact Report is uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC verifies, on a discretionary basis, that the report contains measures to evaluate community impact, and that it communicates the desired change.</p>



## B3 All members seek to establish local partnerships with organized labour as outlined in the Partnership Practices of the United Way Centraide Canada and the Canadian Labour Congress National Partnership Agreement.

<b>PURPOSE</b>	To establish and strengthen partnerships with organized labour through the active involvement and representation on UWCs Boards and Committees.
<b>DESCRIPTION</b>	UWCC has a partnership agreement with the Canadian Labour Congress which stipulates that they will work together to strengthen local communities across the country. Members are encouraged to actively seek to create such partnerships at the local level and to engage representatives of CLC affiliates in their work.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>Standard 1.2(d) Strengthen the UW-C partnership with the Canadian Labour Congress</li> <li>Standard 5.1(e) Define Board Structure</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li><a href="#"><i>CLC - UWCC Partnership Toolkit (CLC-UWCC, 2012)</i></a></li> <li><a href="#"><i>Orientation Manual - Labour Representatives on UWC Boards and Committees (CLC-UWCC, 2012)</i></a></li> <li><a href="#"><i>SOE Self Assessment Guide - Component 1 - Engagement and Mobilization (UWCC, 2007)</i></a></li> <li><a href="#"><i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance (UWCC, 2007)</i></a></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>Efforts made by the UWC to establish partnerships and where possible Partnership Agreement or MOU in place with local Labour Councils.</li> <li>Public recognition of labour contributions to UWC and the community.</li> <li>Seeking Labour representation on Board or committees.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>Local labour council, affiliates and other relevant labour bodies share ideas and approaches, capture diverse experience, and bring these voices into community wide discussions.</li> <li>Local Labour Council would participate in joint work that builds community.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>MOU, agreements, or correspondence demonstrating efforts to establish partnerships, even if unsuccessful</li> <li>Labour representation on Board or Committees of UWCs or documented efforts to attract representation.</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>MOU or Partnership Agreement, when available</li> <li>List of Labour Representatives, when available</li> <li>Documentation of efforts made by the UWC in cases where no partnership is reached.</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - MOU or Partnership Agreement is uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC monitors the establishment of Labour partnerships and representation in accordance with the National Partnership Agreement.</p>

## REQUIREMENT C: RESOURCE DEVELOPMENT

**C1** All members adopt a resource development plan consistent with Movement-wide objectives to sustain, grow and diversify revenue.

<b>PURPOSE</b>	A Resource Development Plan is essential to meet the demands of a competitive and ever changing environment, and local UWCs should be consistent with and support movement-wide objectives to sustain, grow and diversify revenue.
<b>DESCRIPTION</b>	A Resource Development Strategy or Plan is likely multi-year in scope and tactical in nature, with objectives embedded in the overall Strategic Plan. It identifies market trends and sets out multiple strategies for donor acquisition and retention, addresses donor stewardship, engagement and impact as well as to increase gifts. It analyses giving trends over the past few years, identifying successful approaches, and seeks growth opportunities in all of the major segments of fundraising activity: Corporate, Employee, Individual, Special Events, Leadership, E-philanthropy and Planned Giving. The Resource Development Strategy must be consistent with movement-wide objectives like the recommended <a href="#">Bold Moves</a> , procedures and processes such as Centrally Coordinated Campaigns and National Recognition Programs and respect the geographic territory assigned. The Resource Development Plan should be reviewed and updated annually, integrated with the organizational Strategic Plan, and reviewed and approved by the Board.
<b>GUIDANCE</b>	<i>Resource Development Planning Guidance</i>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• UWC has adopted a resource development plan which is consistent with movement-wide objectives.</li> <li>• The resource development plan is reviewed and updated on an annual basis.</li> <li>• The resource development plan is comprehensive and addresses priority opportunities with customized approaches within defined donor groups.</li> <li>• There is a strong emphasis on community impact, case development and identifying investment opportunities attractive to potential donors.</li> <li>• There is a focus on engagement and cultivation, with a strong emphasis on donor services and retention and ensure that UWC is including diverse communities.</li> <li>• Includes recognition strategies for each donor segment.</li> <li>• Uses a campaign analysis and review process (Campaign Analysis and Planning Session-CAPS or other) to help develop the strategy.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• Includes planned giving and endowment strategies.</li> </ul>

<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Resource Development Plan</li> <li>• Reviewed and approved by Board</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>• Resource Development Plan</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Resource Development Plan is uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC verifies, on a discretionary basis, that the Resource Development Plan is consistent with movement-wide objectives.</p>

## C2 All members raise funds and other resources in their respective geographic areas as assigned by United Way Centraide Canada

<b>PURPOSE</b>	To ensure UWCs respect their assigned territory when raising funds and other resources.
<b>DESCRIPTION</b>	The assigned geographic area within which each local UWC must operate is defined by UWCC based on its Postal Code Database.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b> N/A</p> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <a href="#">UWCC Postal Codes Database</a></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• Funds are not solicited outside of assigned geographic territory.</li> <li>• Promotional materials clearly identify the territory covered.</li> <li>• The name of the organization and the local identifier in the Brandmark reflect the territory.</li> <li>• When UWC is acting as a host UWC in the context of Centrally Coordinated Campaigns and assigns postal codes of other UWCs in its own internal system, UWC must do so using the assignment of postal codes as per the UWCC Postal Codes Database.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Geographic territory is clearly stated in promotional materials, annual report, etc.</li> <li>• A local identifier is used in the Brandmark</li> <li>• Local fundraising material is not sent outside the assigned territory, unless authorized by UWC assigned to the outside territory or by UWCC</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	N/A
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - UWCC may request copies of promotional materials to verify territory description.</p> <p><b>Analysis</b> - Review may be required, particularly in response to questions, complaints or disputes.</p>

### C3 All members adopt and adhere to the Association of Fundraising Professional's A Donor Bill of Rights.

<b>PURPOSE</b>	To ensure that Donor's rights are understood and protected through reference to an independent third party source. This will help to position UWC positively in the competitive landscape as many other charities are also using it.
<b>DESCRIPTION</b>	The Association of Fundraising Professionals (AFP) is a respected association to which many UWC staff belong. They developed <i>A Donor Bill of Rights</i> years ago to ensure that Donors' rights were understood and protected and their statement has been widely accepted and adopted.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>• 4.1 (b) Respect donor rights</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <i>A Donor Bill of Rights</i> (Association of Fundraising Professionals)</li> <li>• <i>SOE Self-Assessment Guide - Component 4 - Excellence in Performance</i> (UWCC, 2007)</li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• Donor Bill of Rights is adopted by the Board of Directors.</li> <li>• Donor Bill of Rights is referenced on website and in promotional materials.</li> <li>• Resource development staff and volunteers are trained to follow the Donor Bill of Rights.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• Donor Bill of Rights guides resource development policies and practices.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Donor Bill of Rights is referenced on website and in promotional materials</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>• Board Motion adopting <i>A Donor Bill of Rights</i> from the Association of Fundraising Professionals</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Board Motion uploaded to UWCC Members Database.</p> <p><b>Analysis</b> - UWCC verifies, on a discretionary basis, that the Donor Bill of Right is disclosed or referenced on UWCs' website and/or promotional material.</p>

# MANAGEMENT, OPERATIONS AND GOVERNANCE

This component of standards relates to effective, efficient, well-managed and well-governed operations. While more generic, these standards reflect the charitable and voluntary characteristics of UWC organizations and address specific Canada Revenue Agency requirements and provincial and territorial legislation and charitable regulations.

[REQUIREMENT D: REGISTERED CHARITABLE STATUS](#)

[REQUIREMENT E: LEGAL REQUIREMENTS](#)

[REQUIREMENT F: GOVERNANCE](#)

[REQUIREMENT G: HUMAN RESOURCES AND VOLUNTEER INVOLVEMENT](#)

[REQUIREMENT H: DIVERSITY](#)

## Requirement D: Registered Charitable Status

**D1** All members are registered charities and comply with the Canada Revenue Agency policies, rules and regulations.

<b>PURPOSE</b>	Members must maintain their charitable status and comply with all Canada Revenue Agency (CRA) rules and regulations to raise funds in the community and protect the brand and reputation of the movement.
<b>DESCRIPTION</b>	CRA policies and regulations define how charities must act and what data they must report in order to retain their charitable status and be able to issue official receipts for income tax purposes to donors.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <p>4.1 (c) Respect legal obligations</p> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• CRA resources online: <ul style="list-style-type: none"> <li>– <a href="#">Educational Resources for Charities</a></li> <li>– <a href="#">Maintaining charitable registration Resource Manual</a></li> <li>– <a href="#">Resources for charities about political activities</a></li> <li>– <a href="#">Monitoring and auditing registered charities</a></li> <li>– <a href="#">Fundraising by registered charities</a></li> </ul> </li> <li>• <a href="#">Blumbergs' Receipting Kit for Canadian registered charities</a> (Mark Blumberg, 2018)</li> <li>• <a href="#">Charity Tax Tools</a> (Sector Source)</li> <li>• <a href="#">Directions to Members on Municipal, Provincial and Federal Elections regarding Political Neutrality</a> (UWCC)</li> <li>• <a href="#">SOE Self-Assessment Guide - Component 4 - Excellence in Performance</a> (UWCC, 2007)</li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• The UWC: <ul style="list-style-type: none"> <li>– Is a registered charity recognized by CRA.</li> <li>– Engages only in allowable activities.</li> <li>– Keeps adequate books and records.</li> <li>– Issues complete and accurate donation receipts.</li> <li>– Meets annual spending requirements (<a href="#">Disbursement quota</a>).</li> <li>– Files annual information return (Form T3010) on time according to CRA's deadline.</li> <li>– Informs the Charities Directorate of any changes to the charity's legal structure.</li> <li>– Determines if UWC is required to register for GST/HST.</li> </ul> </li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• T3010</li> <li>• Public information on Charities, accessible via CRA website</li> </ul>
<b>DOCUMENTS TO SUBMIT</b>	<ul style="list-style-type: none"> <li>• N/A (T3010 available from CRA's website)</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Using information available from CRA's website, verification is done by UWCC on a monthly basis to see if any UWCs have had their charitable status revoked.</p> <p><b>Analysis</b> - UWCC reviews, on a discretionary basis, UWCs' T-3010.</p>

## Requirement E: Legal Requirements

**E1** All members comply with applicable federal, provincial, territorial and municipal legislation and regulation.

<b>PURPOSE</b>	To protect the brand and reputation of the UWC movement by ensuring that all Members act legally.
<b>DESCRIPTION</b>	As charities, employers, and volunteer administrators UWCs come under the jurisdiction of numerous laws and regulations to which they must comply, including but not limited to Charity Regulations, Provincial Employment Legislation and Standards, Privacy Legislation, Human Rights Legislation, Health and Safety Legislation, etc. Given the changing nature of legislation and regulation, UWCs should review their governing documents regularly and ensure all relevant policies are kept to date.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>Standard 5.1 (c) Operate legally</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li><i>Provincial and Territorial Charity Regulations</i> (CRA)</li> <li><i>Privacy Legislation</i> (Office of the Privacy Commissioner of Canada)</li> <li><i>Sample Privacy Policy</i> (Imagine Canada)</li> <li><i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance</i> (UWCC, 2007)</li> <li><i>Examples of Privacy and Other Policies from UWCs</i></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>Aware of and compliant with Provincial and Territorial Charity regulation.</li> <li>Aware of and compliant with Provincial and Territorial Employment Standards.</li> <li>Aware of and compliant with Provincial and Territorial Health and Safety legislation.</li> <li>Aware of and compliant with Federal, Provincial, and Territorial Privacy legislation.</li> <li>Aware of and compliant with Federal, Provincial, and Territorial Human Rights legislation.</li> <li>The board or a board committee oversees the organization's compliance with its own governing documents (e.g., letters patent, by-laws) and all applicable federal, provincial and municipal laws and regulations.</li> <li>Issues which arise are dealt with promptly and in accordance with UWC values.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>Declaration in Annual Membership Certification by Board Chair and CEO</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>Letters Patent</li> <li>Articles of incorporation</li> <li>Bylaws</li> <li>Privacy Policy (except when Member is accredited under the Imagine Canada Standards Program)</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Key governance documents and policies are uploaded to UWCC Members Database.</p> <p><b>Analysis</b> - UWCC verifies, on a discretionary basis, that proper policies are in place and adhered to.</p>



## Requirement F: Governance

**F1** All members have a Board that adopts and implements policies, practices and structures that support the conditions for good and effective governance and guide the Board in fulfilling their strategic direction and financial oversight role.

<b>PURPOSE</b>	To ensure good governance consistent with the legal requirements for charitable and non-profit organizations.
<b>DESCRIPTION</b>	Many best practices have been identified to ensure good governance for charitable and non-profit organizations, including a process to orient new Board members, the Board to meet at least quarterly, and a Board led budget approval and review process. Members should adopt a Code of (Ethical) Conduct, a Conflict of Interest Policy, and a Confidentiality Policy. Note that other requirements deal more specifically with the Board's role in such issues as Strategic Planning (A3), Legal requirements (E1), Risk (F2), Human Resources (G1), and the relationship with the CEO / Executive Director (G2).
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>• Standard 5.1 Govern Effectively</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <a href="#">High Performing Board and Board and Volunteer Leadership Competency Model</a> (UWW)</li> <li>• <a href="#">BoardSource Digital Library</a> (UWW)</li> <li>• <a href="#">Board Governance Resources</a> (Sector Source)</li> <li>• <a href="#">Board Development</a> (Community Sector Council Newfoundland &amp; Labrador)</li> <li>• <a href="#">20 questions directors of not-for-profit organizations should ask about fiduciary duty</a> (CPA/CICA 2009)</li> <li>• <a href="#">Governance for not-for-profit organizations: Questions for Directors to ask</a> (CPA 2014)</li> <li>• <a href="#">20 questions directors of not-for-profit organizations should ask about board recruitment, development and assessment</a> (CPA/CICA 2010)</li> <li>• <a href="#">Conflict of Interest Policies</a> (Community Sector Council Newfoundland &amp; Labrador)</li> <li>• <a href="#">Transformation and Merger Integration Playbook</a> (UWCC, Betty Ferreira, 2016)</li> <li>• <a href="#">SOE Self-Assessment Guide - Component 5 - Leadership and Governance</a> (UWCC, 2007)</li> <li>• <a href="#">Examples of Annual Reports, Board/Committees Terms of reference, Policies, etc. from UWCs</a></li> </ul>

PRACTICES	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• Board meets on a regular schedule in accordance with their bylaws.</li> <li>• Board roles and responsibilities are clearly defined in written policies, committee terms of reference, and position descriptions.</li> <li>• An orientation is provided for new Board Members.</li> <li>• Board reviews and approves annual budget and reviews financial statements on a regular basis.</li> <li>• A Code of Conduct has been developed and adopted.</li> <li>• A Conflict of Interest policy has been developed and adopted.</li> <li>• A Confidentiality policy has been developed and adopted.</li> <li>• Board succession policy has been developed and adopted.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• A Whistleblower policy has been developed and adopted.</li> </ul>
EVIDENCE OF COMPLIANCE	<ul style="list-style-type: none"> <li>• Annual Report</li> <li>• Board and Committee Terms of Reference</li> <li>• Code of Ethical Conduct</li> <li>• Conflict of Interest Policy</li> <li>• Confidentiality Policy</li> <li>• List of Board members</li> <li>• Board meets at least quarterly</li> <li>• Proper minutes of Board meetings and record of policies are kept (according to CRA regulation on <i>books and records</i>).</li> </ul>
DOCUMENTS TO BE SUBMITTED	<ul style="list-style-type: none"> <li>• Annual Report</li> <li>• Board and Committee Terms of Reference (except when Member is accredited under the Imagine Canada Standards Program)</li> <li>• Code of Conduct or Code of Ethics (except when Member is accredited under the Imagine Canada Standards Program)</li> <li>• Conflict of Interest Policy (except when Member is accredited under the Imagine Canada Standards Program)</li> <li>• Confidentiality Policy (except when Member is accredited under the Imagine Canada Standards Program)</li> <li>• List of Board members and contact information</li> </ul>
VERIFICATION PROCESS	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Required documents are uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC verifies, on a discretionary basis, that proper policies and governance practices are in place. Additional review may be conducted in response to a complaint or media issue.</p>

## F2 All members put in place the appropriate policies, processes and programs to prepare for, prevent, and protect the organization from foreseeable and material risks and uncertainties.

<b>PURPOSE</b>	To ensure that Members take steps to reduce risks and are able to manage risks and uncertainties should they arise to protect their organization and the brand and reputation of the movement.
<b>DESCRIPTION</b>	Risk management refers to how the organization identifies its major strategic and operational risks and develops a plan to minimize and mitigate these risks. The plan should then be reviewed on an annual basis. Risks can be reputational, regulatory, financial, operational, brand or strategic in nature.
<b>GUIDANCE</b>	<i>Risk Management Guidance</i>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• The organization has a process to identify its major strategic and operational risks and a plan to minimize and mitigate these risks.</li> <li>• The plan is reviewed annually by the board.</li> <li>• Critical positions in the organization are identified and succession plans are established to address any potential gaps.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Risk Management Plan</li> <li>• Risk Management Plan reviewed and approved by Board</li> <li>• Process used to identify major strategic and operational risks</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>• Risk Management Plan (except when Member is accredited under the Imagine Canada Standards Program)</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Risk Management Plan is uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC reviews, on a discretionary basis, Risk Management Plans to determine whether adequate procedures and processes are in place.</p>

# Requirement G: Human Resources and Volunteer Involvement

**G1** All members maintain relevant human resource practices and policies for both staff and volunteers.

<b>PURPOSE</b>	To ensure that Members maximise their effectiveness through positive practices such as recruiting, managing, and retaining staff and volunteers and abiding by applicable legislation and employment standards. The latter are meant to protect their organization as well as the brand and reputation of the movement.
<b>DESCRIPTION</b>	As employers UWCs must comply with labour standards established at the provincial and territorial level to regulate and protect workers. Members should implement a Code of Conduct (Code of Ethical Conduct) for staff and volunteers, which sets out the organization's expectations and guiding principles for appropriate workplace behaviour and may reference important policies such as Privacy, Conflict of Interest, and Confidentiality (See Requirement F: Governance). See also the provincial employment standards and workplace health and safety resources listed under Requirement E: Legal Requirements.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>• Standard 4.3: Commit to People</li> <li>• Standard 5.2: Provide Authentic Leadership</li> <li>• Standard 5.3: Align and Integrate the Work</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <a href="#"><i>Talent Management &amp; HR</i> (UWW)</a></li> <li>• <a href="#"><i>HR Intervals - Human Resources Toolkit</i> (Imagine Canada)</a></li> <li>• <a href="#"><i>Staff Management Resources</i> (Sector Source)</a></li> <li>• <a href="#"><i>20 Questions Directors of Not-For-Profit Organizations Should Ask about Human Resources</i> (Certified Public Accountants of Canada - 2018)</a></li> <li>• <a href="#"><i>Canadian Code for Volunteer Involvement</i> (Volunteer Canada)</a></li> <li>• <a href="#"><i>Volunteer Involvement Resources</i> (Sector Source)</a></li> <li>• <a href="#"><i>Volunteer Management – Keys to Effectiveness</i> (UWW)</a></li> <li>• <a href="#"><i>SOE Self-Assessment Guide - Component 4 - Excellence in Performance</i> (UWCC, 2007)</a></li> <li>• <a href="#"><i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance</i> (UWCC, 2007)</a></li> <li>• <a href="#"><i>Examples of HR and Volunteers policies from UWCs</i></a></li> </ul>

PRACTICES	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• HR management policies are formalized, documented, and approved by the Board or as designated by the CEO/ED.</li> <li>• HR management policies comply with employment, workplace health and safety, and other related legislation as applicable in the jurisdiction in which the organization operates.</li> <li>• HR management policies are reviewed on a regular basis and revised if necessary.</li> <li>• A Code of Conduct lays out the organization's expectations and guiding principles for appropriate workplace behaviour and provides legal and ethical guidelines for relationships between employees, volunteers, donors, and the community.</li> <li>• The organization has policies and procedures in place that define and support the involvement of volunteers.</li> <li>• Employees are recruited and selected through an objective, consistent process that complies with human rights legislation and encourages applicants from diverse backgrounds.</li> <li>• All employees have a work plan or performance objectives that identify their tasks/activities and the expected result and performance is assessed at least annually.</li> <li>• Volunteer assignments relate to the mission or purpose of the organization and involve volunteers in meaningful ways that reflect their abilities, needs, and backgrounds.</li> <li>• The organization has appropriate screening processes for volunteers.</li> <li>• Volunteers are provided with appropriate orientation to the organization and its policies and practices, and receive training appropriate to their roles and needs.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• The development needs of all fulltime employees are reviewed at least annually and plans are established to address any gaps. Staff with responsibility for managing others are provided with opportunities to develop their supervisory skills.</li> <li>• All volunteers are given regular opportunities to offer and receive feedback. Volunteers who are engaged in delivering programs or services receive a level of supervision appropriate to their role.</li> <li>• The contributions of volunteers are acknowledged and recognized.</li> </ul>
EVIDENCE OF COMPLIANCE	<ul style="list-style-type: none"> <li>• Human Resource Policy</li> <li>• Written Job Descriptions</li> <li>• Code of Conduct for employees and volunteers</li> <li>• Policies and procedures for volunteer involvement</li> <li>• Dates and minutes HR/Volunteer involvement policies were last reviewed by the Board</li> </ul>
DOCUMENTS TO BE SUBMITTED	<ul style="list-style-type: none"> <li>• Minutes noting the date HR/Volunteer involvement policies were last reviewed</li> </ul>
VERIFICATION PROCESS	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Key documents are uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC requests and reviews, on a discretionary basis, material to ensure they reflect good practices and comply to applicable legislation.</p>

**G2** All members ensure that the Board of Directors is accountable for the recruitment, orientation, compensation and performance assessment of the most senior staff person in the organization.

<b>PURPOSE</b>	To ensure adequate oversight and management of the most senior staff person (likely the Chief Executive Officer (CEO) or the Executive Director) by the Board.
<b>DESCRIPTION</b>	The most senior staff person plays a unique role in linking the management and governance of a non-profit organization, and the recruiting, orientation, compensation, and performance assessment of the CEO/Executive Director is an important responsibility of the Board of Directors. While some aspects may be confidential, these processes must be documented to ensure accountability. Tools like Strategic Planning and developing a Shared Vision and Community Action Plan help to link the Board's role of governance, oversight, and stewardship with the senior staff person's role as leader and manager.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>• Standard 5.1: Govern Effectively</li> <li>• Standard 5.1 (b) Evaluate performance</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <i>Executive &amp; CEO Search Guide and Competency Model</i> (UWW)</li> <li>• <i>Hiring and Performance Appraisal of the Executive Director</i> (The Muttart Foundation and Alberta Culture and Community Spirit, 2008)</li> <li>• <i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance</i> (UWCC, 2007)</li> <li>• <i>Examples of Job Descriptions and Performance Objectives from UWCs</i></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• The most senior staff person reports to the board, has a detailed job description or terms of reference, annual performance objectives, and an annual performance review.</li> <li>• The results of performance reviews are reported to the board and noted in the minutes.</li> <li>• The total compensation package of the most senior staff person is approved by the board or a board committee and expense claims are reviewed and approved by an officer of the board.</li> <li>• The board, or a committee of the Board, annually reviews and discusses the succession plan for the most senior staff position in the organization.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Job Description</li> <li>• Performance Objectives</li> <li>• Board approval of the most senior staff person's performance review and compensation package.</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>• Board Meeting Minutes confirming performance review and compensation package</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Key documents are uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - UWCC requests and reviews, on a discretionary basis, material and documents to assess whether adequate practices are in place.</p>

## Requirement H: Diversity

**H1** All members adopt a locally developed diversity policy or plan to ensure that volunteers and staff broadly reflect the diversity of the community they serve.

<b>PURPOSE</b>	To ensure that UWCs reflect the diversity of the communities they serve.
<b>DESCRIPTION</b>	<p>We live in increasingly diverse communities, and as a community-based organization it is essential that UWCs reflect this diversity in volunteers and staff to ensure representation, understanding, and engagement. This is an important aspect of our mission and UWCs must adopt a locally developed policy or plan to ensure that they broadly reflect the diversity of their community.</p> <p>Diversity Policy is a set of values and principles declaring that the organization will encourage diversity and prevent exclusion or discrimination on the basis of disability, age, gender, sexual orientation, race, ethnicity, religion, language, socio-economic status, and other factors relevant to the community.</p> <p>A Diversity Plan might set out goals and objectives to increase or address diversity over a certain time period or to reduce barriers to employment. An organization might have either or both a policy and a plan and such goals and objectives might extend beyond the organization into its community work as well. The Diversity Policy or Plan must be locally developed to reflect the specific circumstances of the community, although many of the principles are universal and sample policies are available for reference.</p>
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>• Standard 1.2: Engage with the Community</li> <li>• Standard 1.2 (b) Seek diverse voices</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Policies and Practices - Diversity (Sector Source)</a></li> <li>• <a href="#">SOE Self-Assessment Guide - Component 1 - Engagement and Mobilization (UWCC, 2007)</a></li> <li>• <a href="#">Example of Diversity Policies from UWCs</a></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• A Diversity Policy or Plan is approved by the Board and reviewed periodically.</li> <li>• Staff and volunteers generally reflect the diversity of the community they serve.</li> <li>• Members of the board and its sub-committees are reflective of the broad diversity of the community.</li> <li>• When consulting publicly about the organization's priorities and strategies, ensure that groups and organizations reflecting the broad diversity of the community are encouraged to participate.</li> <li>• All information materials reflect diversity and inclusivity, and present positive images.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>• Undertake ongoing research and training to enhance diversity knowledge and skills.</li> <li>• Promote equity, access, and participation for diverse groups within stakeholder relationships.</li> <li>• Evaluate the Board's own performance against diversity goals.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Diversity Policy or Plan approved by Board</li> <li>• Implementation strategy or timelines</li> </ul>

**DOCUMENTS  
TO BE  
SUBMITTED**

- Diversity Policy or Plan

**VERIFICATION  
PROCESS**

**Self-Assessment** - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.

**Verification** - Diversity Policy or Plan is uploaded to the UWCC Members Database.

**Analysis** - UWCC verifies, on a discretionary basis, that the Diversity Policy or Plan is in place.



# BRAND MANAGEMENT

The United Way Centraide name and logo, the brandmark, represents the movement's most valuable asset and needs to be both leveraged and protected.

## REQUIREMENT I: BRAND MANAGEMENT

# Requirement I: Brand Management

**11** All members use the United Way Centraide name and logo according to the terms of the *United Way Centraide Canada Trademark License Agreement*.

<b>PURPOSE</b>	To ensure that the United Way Centraide name and logo are used consistently and effectively across the country by organizations licensed to do so.
<b>DESCRIPTION</b>	Members receive an exclusive license to use the United Way Centraide name and logo within their assigned territory, but the license requires that the name and logo be used consistently and only in approved and appropriate ways. The United Way Centraide name and logo is a valuable brandmark that constitutes the core of the brand identity of the movement and must be protected and used consistently to enhance our brand image and reputation.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b> N/A</p> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <a href="#"><i>UWCC MarCom Resource Library</i></a></li> <li>• <a href="#"><i>UWCC Brand Identity Guidelines</i></a></li> <li>• <a href="#"><i>Women United Brand Identity Guidelines</i></a></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• UWC name and logo is used consistently in the form of the Master Brandmark.</li> <li>• Use of the Brandmark is closely controlled by UWC within its assigned territory.</li> <li>• No use of the Brandmark is allowed outside of the assigned territory without authorization from UWCC.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• License Agreement</li> <li>• Website</li> <li>• Publications</li> <li>• Promotional Materials</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>• Signed License Agreement</li> <li>• Annual Report</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Key publications are uploaded to the UWCC Members Database (These also support other requirements).</p> <p><b>Analysis</b> - License Agreement must be signed and submitted. UWCC will further analyse online and published material to ensure consistency with the license and Brandmark requirements.</p>

# TRANSPARENCY AND SYSTEM CITIZENSHIP

While closely related to the Management, Operations and Governance component of the UWC standards, the Transparency and System Citizenship standards are unique to the UWC business model. They ensure the transparency and accountability of the movement. They also set expectations for knowledge mobilization in support of movement-wide strategic decision-making while ensuring members adhere to business practices and processes ensuring effective operation of the UWC Movement and a consistent donor and stakeholder experience in the delivery of our mission and to mitigate Movement-wide performance risk.

**REQUIREMENT J: FINANCIAL TRANSPARENCY AND REPORTING**

**REQUIREMENT K: SYSTEM CITIZENSHIP**

## Requirement J: Financial Transparency and Reporting

**J1** All members exercise the highest standards of financial accountability and transparency. Notwithstanding the minimum compliance requirements of their governing statute, Members must publish within six months of their year – end financial statements that have been audited by licensed public accountants (while those with less than \$100,000 in revenue may publish financial statements that have been reviewed by licensed public accountants).

<b>PURPOSE</b>	Members must exercise the highest standards of financial accountability and transparency to protect themselves and the name and reputation of the movement.
<b>DESCRIPTION</b>	The level of financial transparency and accountability expected by regulators and the general public is increasing. It is important that UWCs provide financial information of high quality, prepared in accordance with relevant legal, accounting and other related requirements in a timely manner.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>Standard 4.7: Operate Transparently and Accountably</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li><i>Financial Management</i> (Sector Source)</li> <li><i>Standards Section B : Financial Accountability and Transparency</i> (Imagine Canada, Standards Program)</li> <li><i>A guide to financial statements of not-for-profit organizations</i> (CICA/CPA 2012)</li> <li><i>SOE Self-Assessment Guide - Component 4 - Excellence in Performance</i> (UWCC, 2007)</li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>Organizations have completed annual financial statements in accordance with Generally Accepted Accounting Principles (GAAP).</li> <li>Organizations with over \$100,000 in annual revenue have their financial statements audited by an independent licensed public accountant. Other organizations may have a review engagement unless required by their governing legislation to have an audit.</li> <li>The organization's financial statements have been received and approved by the board and/or members and released within 6 months of year end and uploaded to the UWCC Members Database.</li> <li>The organization's most recent financial statements are publicly available and posted on its website.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>The organization's financial statements and annual report from the previous three years are posted on its website.</li> </ul>

EVIDENCE OF COMPLIANCE	<ul style="list-style-type: none"> <li>Audited Financial Statements available within 6 months of year end</li> </ul>
DOCUMENTS TO BE SUBMITTED	<ul style="list-style-type: none"> <li>Audited Financial Statements</li> </ul>
VERIFICATION PROCESS	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Financial Statements are uploaded to the UWCC Members Database within 6 months of year end on an annual basis.</p> <p><b>Analysis</b> - UWCC will analyse the Financial Statements to ensure they are audited (where applicable) and conform to appropriate accounting standards and practices.</p>

## Requirement K: System Citizenship

**K1** All members certify their level of compliance with membership requirements annually and submit relevant evidence of compliance to United Way Centraide Canada as indicated in the Compliance Guidelines within six months of their fiscal year-end.

<b>PURPOSE</b>	To ensure compliance to the Membership Agreement, protect the brand and ensure all UWCs operate effectively and transparently to better serve their communities.
<b>DESCRIPTION</b>	The Annual Membership Certification process requires local UWCs to conduct a self-assessment of their compliance with minimum membership requirements as set out in the membership relationship with UWCC. They are then required to complete an online form to report their compliance with each of the Membership Requirements, to be completed and signed by the chief volunteer and chief professional officers. Members must provide an explanation if not in compliance with any requirements and should also create a remediation plan. Key documents must be uploaded to the UWCC Members Database to provide evidence of compliance, either on an annual basis or when updated. The declaration of compliance made in the Annual Membership Certification forms the first level of verification that Members are meeting minimum membership requirements and can continue to operate as a UWC and use the name and logo in their assigned territory. Reliance on this declaration as the first level of assessment is based on the principle of mutual accountability for the protection of the brand and reputation of the UWC movement in Canada.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>Standard 5.4 (e) Honour membership requirements</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li><i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance (UWCC, 2007)</i></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>Annual Membership Certification form is completed annually in a timely manner.</li> <li>Requirements not being met are marked and an explanation is provided in the form.</li> <li>In case of noncompliance, a remediation plan is put in place to address the issue(s). The plan is shared with UWCC.</li> <li>Form is reviewed and approved by the Board of Directors.</li> <li>Form is signed by both Board Chair and Chief Executive Officer or Executive Director.</li> <li>Identification and contact information of the signees is complete.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>The organization's financial statements and annual report from the previous three years are posted on its website.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>Annual Membership Certification</li> <li>Required documents uploaded to the UWCC Members Database</li> </ul>

<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"><li>• Annual Membership Certification</li><li>• Other documents as detailed under the specific requirements</li></ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - Annual Membership Certification is signed and uploaded to the UWCC Members Database.</p> <p><b>Analysis</b> - Annual Membership Certification is reviewed for completeness and non-compliant items are noted and assessed. Depending on the explanation, a remediation plan may also be required.</p>

## K2 All members provide financial support to United Way Centraide Canada in accordance with the membership dues formula.

<b>PURPOSE</b>	To ensure adequate financial resources are available to support the movement.
<b>DESCRIPTION</b>	As a membership driven organization, UWCC relies heavily on annual membership dues to finance its activities and operations on behalf of the movement. These dues fund programs and services which in turn support local UWCs to carry out their work in local communities.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>Standard 5.4: Practise System Citizenship</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li><i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance</i> (UWCC, 2007)</li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>Membership dues are calculated and published by UWCC in accordance with the prescribed formula.</li> <li>Payment schedule is selected by the UWC from a list of options provided. A default schedule will be used if none is selected.</li> <li>Membership dues installments are paid in full by each due date listed in the schedule.</li> </ul> <p><b>Aspirational</b></p> <ul style="list-style-type: none"> <li>UWC contributes and invests in other ways to national and regional initiatives to support the movement.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>Annual Membership dues are fully paid based on the payment schedule selected by the UWC.</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	<ul style="list-style-type: none"> <li>Membership Dues schedule selection (online)</li> </ul>
<b>VERIFICATION PROCESS</b>	<p><b>Self-Assessment</b> - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.</p> <p><b>Verification</b> - UWCC verifies that Membership Dues are paid based on the schedule selected by the UWC.</p> <p><b>Analysis</b> - N/A</p>



### K3 All members adopt data interchange standards, as defined by United Way Centraide Canada to facilitate knowledge mobilization and strategic decision-making across our network.

<b>PURPOSE</b>	To support the development of an Intelligent Network contributing to clear and consistent messaging, informed decision making, and positioning UWC as a credible national source of information on social issues. Achieving consistency in data collection and aggregation will facilitate its analysis and interpretation as well as support knowledge mobilization across the movement.
<b>DESCRIPTION</b>	<p>A higher degree of consistency and information sharing is required to increase the performance and effectiveness of our movement. Using common terminology, formats and protocols that can be shared and used by all members will enable the movement in becoming an Intelligent Network, contributing to clear and constant messaging and helping to measure and evaluate the outcomes of our community investments. Common data pools provide important information that can be used collectively by the movement to inform strategy, policy, and messaging. Providing this data is an investment in the capacity of the movement to carry out its community impact mission and creates added value for the local UWC by aggregating data and facilitating benchmarking. Data also supports national recognition and branding programs.</p> <p>“Data interchange protocols” may include multiple technologies from surveys to data file transfers or online access to databases.</p>
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>• Standard 5.4: Practise System Citizenship</li> <li>• Standard 5.4 (a) Share information</li> <li>• Standard 5.4 (b) Participate</li> <li>• Standard 5.4 (c) Collaborate on common issues</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <a href="#"><i>Community Investment Dashboard</i></a> (UWCC)</li> <li>• <a href="#"><i>Fundraising Questionnaire</i></a> (UWCC)</li> <li>• <a href="#"><i>Interactive Fundraising Dashboard</i></a> (UWCC)</li> <li>• <a href="#"><i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance</i></a> (UWCC, 2007)</li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• Standard formats and definitions are used to describe activities and data.</li> <li>• Data is shared with other UWCs and national initiatives as appropriate.</li> <li>• UWC completes and submits surveys in a timely manner and participates in national research initiatives that apply to its work.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Adherence to defined data standards</li> <li>• Participation in data collection and surveys</li> </ul>

**DOCUMENTS  
TO BE  
SUBMITTED**

- Fundraising Questionnaire
- Community Impact Data Collection Survey
- Any other data transfers, survey or research participation required by UWCC

**VERIFICATION  
PROCESS**

**Self-Assessment** - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.

**Verification** – UWCC verifies that National surveys, data transfers and research initiatives are completed.

**Analysis** – Data files, surveys, questionnaires and researches are reviewed by UWCC to ensure consistency of data and no error in data submission.

## K4 All members adhere to and follow the policies, guidelines and business practices approved by the members during Annual General Meetings of United Way Centraide Canada or special meetings of members.

<b>PURPOSE</b>	Provide a consistent mission-driven stakeholder experience by developing best practices and tools to personalize, engage, build trust and deepen stakeholder relationships.
<b>DESCRIPTION</b>	The operating environment of UWCs is changing rapidly in response to structural changes in the economy and employment, demographics, use of technology and philanthropy. As a result, UWCC may, after approval by members, establish policies, guidelines and business practices and impose requirements on UWCs in order to ensure that the Movement as a whole can respond to enterprise wide risk and opportunities related to the mission. Once approved, these policies, guidelines, and business practices must be adhered to by all UWCs.
<b>GUIDANCE</b>	<p><b>Based on Standards:</b></p> <ul style="list-style-type: none"> <li>• Standard 1.1 (b) Build knowledge</li> <li>• Standard 2.1: Learn and Share</li> <li>• Standard 2.3 (a) Understand the issues</li> <li>• Standard 3.3 (a) Do research and understand trends</li> <li>• Standard 4.5 (a) Promote efficiency and effectiveness</li> <li>• Standard 5.2 (c) Support innovation and learning</li> <li>• Standard 5.3 (a) Articulate expected knowledge, skills, and behaviours</li> <li>• Standard 5.4 (a) Share information</li> <li>• Standard 5.4 (b) Participate</li> <li>• Standard 5.4 (c) Collaborate on common issues</li> <li>• Standard 5.4 (d) Seek pan-Canadian impact</li> </ul> <p><b>References and Samples:</b></p> <ul style="list-style-type: none"> <li>• <i>UWC Strategic Directions</i> call for the creation of a collaborative organizational model for UWCs to further enhance our ability to deliver our community impact mission.</li> <li>• <i>SOE Self-Assessment Guide - Component 1 - Engagement and Mobilization</i> (UWCC, 2007)</li> <li>• <i>SOE Self-Assessment Guide - Component 2 - Planning for Impact</i> (UWCC, 2007)</li> <li>• <i>SOE Self-Assessment Guide - Component 3 - Mobilization of Resources</i> (UWCC, 2007)</li> <li>• <i>SOE Self-Assessment Guide - Component 4 - Excellence in Performance</i> (UWCC, 2007)</li> <li>• <i>SOE Self-Assessment Guide - Component 5 - Leadership and Governance</i> (UWCC, 2007)</li> <li>• <i>Transparency, Accountability and Financial Reporting (TAFR) Policies for UWCs in Canada</i></li> <li>• <i>Transparency, Accountability and Financial Reporting (TAFR) policies Toolkit</i></li> </ul>
<b>PRACTICES</b>	<p><b>Meeting requirement</b></p> <ul style="list-style-type: none"> <li>• UWC adheres to any policies, guidelines and business practices approved by the members of UWCC.</li> <li>• The UWC adopt and adhere to the Transparency, Accountability and Financial Reporting (TAFR) Policies for UWCs in Canada.</li> </ul>
<b>EVIDENCE OF COMPLIANCE</b>	<ul style="list-style-type: none"> <li>• Adherence to approved policies, guidelines and business practices</li> </ul>
<b>DOCUMENTS TO BE SUBMITTED</b>	Audited financial statements

**VERIFICATION  
PROCESS**

**Self-Assessment** - Each UWC is required to indicate in the Annual Membership Certification process its level of compliance with this requirement.

**Verification** - UWCC verifies adherence to approved policies, guidelines and business practices.

**Analysis** - UWCC conducts, on a discretionary basis, reviews and analysis to assess whether approved policies, guidelines and business practices are in place.

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# ANNUAL MEMBERSHIP CERTIFICATION

Based on the principle of mutual accountability, a first and important step in determining compliance with Membership Requirements is the Annual Membership Certification process.

This process, based on an online form to be completed and signed by the Board Chair and Chief Executive Officer or Executive Director, requires a self-assessment by each local UWC organization to determine if they are meeting the Membership Requirements and a declaration of their status for each item. If a requirement is not being met, the UWC must provide an explanation and propose a plan for remediation.

The process also requires that key documents be uploaded to the UWCC Members Database to provide evidence that requirements are being met. Some documents will need to be uploaded on an annual basis (such as an Annual Report and Financial Statements) and others will only need to be uploaded again when they are changed or revised (such as a Strategic Plan, Bylaws or Conflict of Interest Policy).

The intent of the process is to ensure that UWCs are aware of the detailed membership requirements and that they address issues if they are not compliant.

## MEMBERSHIP ACCOUNTABILITY AND PERFORMANCE COMMITTEE

A Performance Management and Compliance Monitoring System is designed to help UWC members, and the movement as a whole, increase capacity, improve organizational performance, as well as identify risk and manage it.

To assist UWCC in fulfilling its stewardship of the Membership Agreement and related requirements and to ensure that members are directly engaged in the process of members performance and compliance monitoring, the **Membership Accountability and Performance Committee (MAPC)** has been established. The mandate of the MAPC can be accessed by [clicking here](#).

## MEMBERSHIP COMPLIANCE - INFORMATION ON REPORTING PROCESS

For more information on the Membership Agreement Reporting Process, please click [here](#).

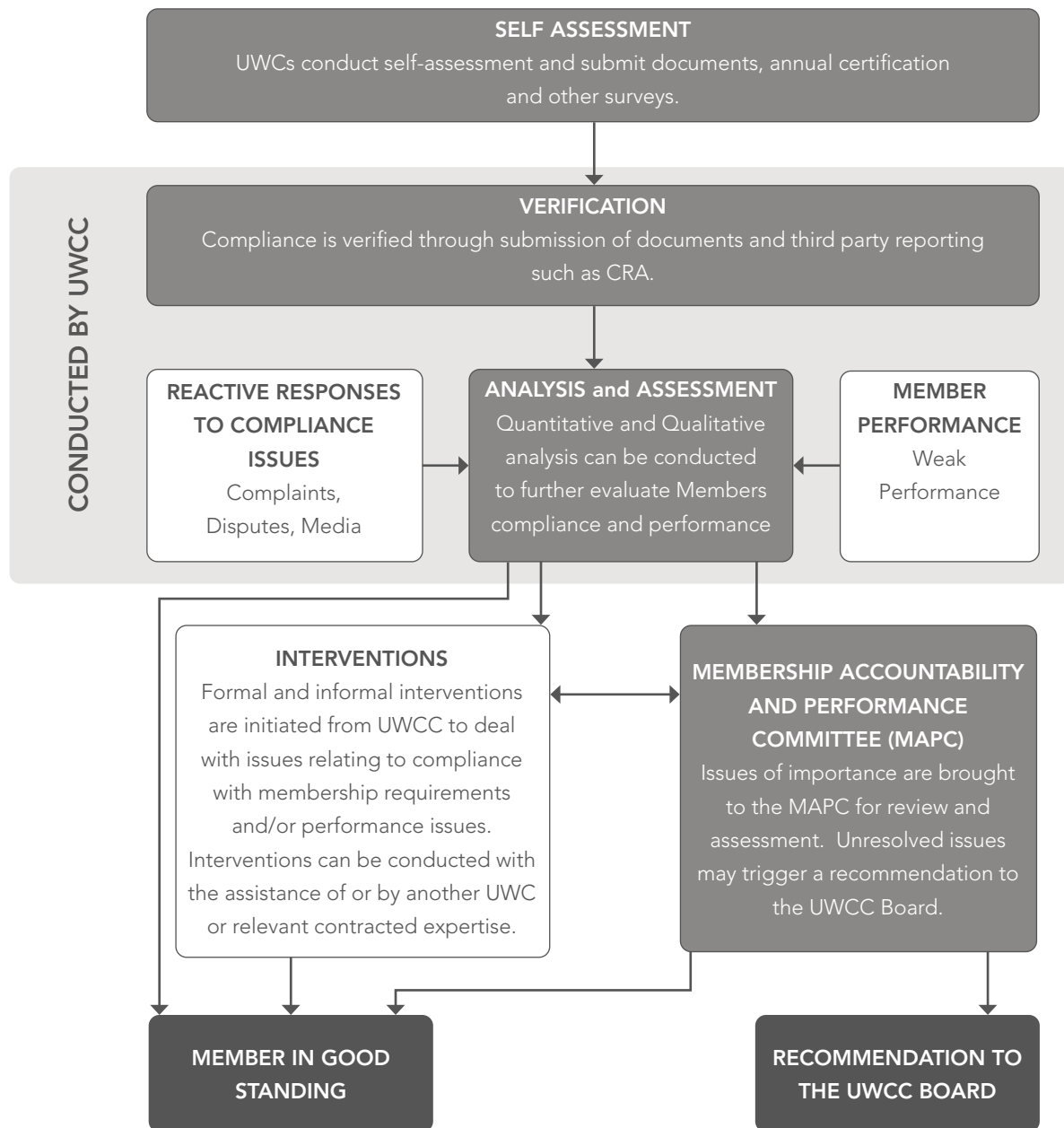
# PROCEDURES GUIDING SPECIFIC AREAS OF THE MEMBERSHIP AGREEMENT, TRADEMARK LICENSE AGREEMENT AND MEMBERSHIP REQUIREMENTS

To assist member UWCs to navigate through specific requirements of the Membership Agreement and the UWCC Trademark License Agreement, a series of procedures have been developed. These procedures establish clear steps to be taken when requesting authorizations or approvals from UWCC relating to specific matters contained within these agreements. These matters include corporate and business names of a UWC, changes to UWC territory coverage and assets transfers, mergers and amalgamations. Additional procedures may be developed as needed to support implementation of the new Membership Agreement and Trademark License Agreement.

To access the following procedures, click on the title of the document:

- [Procedures for Naming a UWC](#) – Supports paragraph 2.2 of the UWCC Trademark License Agreement
- [Procedures for Change of Territory Coverage of a UWC](#) – Supports paragraph 2.05 of the Membership Agreement

# MEMBERSHIP AGREEMENT COMPLIANCE AND MEMBER PERFORMANCE ASSESSMENT PROCESS



# OBLIGATION TO COMPLY

It is a requirement for all UWCs to be in compliance with the Membership Agreement and the requirements it sets out. In the event a UWC does not comply with one or more membership requirements or any other obligation contained in the Membership Agreement, or experience significant performance issues, UWCC will initiate the following process:

1. UWCC will write to the member UWC's CEO and Board Chair outlining area(s) where (it is believed) compliance has not been met or significant performance issues have been identified;
  - a. A formal response outlining the current status and plan to become compliant or properly address the risk issue is to be received from member UWC **within 30 days**.
  - b. Where no response is received, the matter will be brought to MAPC for discussion and guidance.
2. Reviewing response received from member:
  - a. If the plan and timeline for achieving compliance or addressing the performance issue is deemed appropriate by UWCC, a letter will be sent advising accordingly and asking that the member provide confirmation when the agreed upon steps and timeline have been met. Timely submission of evidence supporting progress of the plan for resolution may be requested by UWCC. UWCC will then confirm member to be a "member in good standing".
  - b. If the response does not provide for resolution as outlined in 2 a. above, further measures will be enacted as follow:
    - i. A letter signed by the UWCC President & CEO will be sent to the UWC member Board Chair and CEO/ED. The letter will advise that the National Director, Member Services and in certain instances, a member of the MAPC will convene a meeting to discuss the issue(s) and provide guidance towards resolution within an agreed upon time frame.
    - ii. Upon meeting with member, UWCC, and in some cases MAPC, will assess the proposed plan to adequately resolve the issue(s) identified and:
      1. Confirm member to be a member in good standing if the proposed plan provides for adequate resolution. Timely submission of evidence supporting progress of the plan for resolution may be requested by UWCC;
      2. Bring matter to MAPC for further discussion and guidance if the proposed plan does not provide for adequate resolution.
    - iii. Where the member does not attend the meeting described in i. above, the matter will be brought to MAPC for discussion and guidance.