UNITED WAY of Windham County
Allocation Manual

The Way Windham County Cares

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# UNITED WAY OF WINDHAM COUNTY

## 2004 - ALLOCATION MANUAL

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UNITED WAY

GENERAL INFORMATION

The Way Windham County Cares
INTRODUCTION

To give away money...is an easy matter and in any man's power, but to decide to whom to give and how large and when, and for what purpose and how, is neither in every man's power nor an easy matter. Hence, it is that such excellence is rare, praiseworthy, and noble.

ARISTOTLE

As the profile of Windham County shifts, so do community needs, resources and priorities. The United Way's Allocation Process works integrally within the parameters of current community needs, existing community resources and noteworthy community priorities.

United Way of Windham County strives to respond to our community's changing needs. A major part of the United Way mission is to share information about needs and existing resources and to help to coordinate community support and resources so the entire community can join together to address issues that effect our quality of life.

United Way has a responsibility to assure United Way donors that funds contributed are used wisely and effectively. The process of ensuring accountability to donors, of providing citizen’s review and resulting feedback to United Way member agencies, and of directing funds to those organizations working to address the most pressing human needs, is what United Way Allocations is all about.

This manual has been compiled for use by everyone involved in the Allocations Process. We believe that in order for agency members and the allocations volunteer to work together most effectively, we must all be fully informed and all be sharing the same general assumptions about the Allocation Process. This manual is part of the information sharing and assumption defining process.

As policies and procedures change, the manual will be updated to reflect the current thinking and needs of the Windham County community.
WHAT IS UNITED WAY OF WINDHAM COUNTY?

The United Way of Windham County is a not-for-profit corporation filed with the Secretary of State of the State of Vermont.

United Way’s vision is:

That United Way has the greatest positive impact on the quality of life in Windham County as defined by an informed process inclusive of broad representation of Windham County stakeholders.

Its mission is:

To improve lives by mobilizing the caring power of Windham County.

United Way of Windham County began in 1958, under the name "Brattleboro Community Chest," as an all volunteer group committed to raising funds to support the provision of human services in the Brattleboro area. In 1980 it expanded to cover all of Windham County. Over time two full time staff people were hired to manage the daily operations of an increasingly complex organization.

United Way is still overwhelmingly a volunteer organization. It is governed by a voluntary board of directors. The board is representative of a broad spectrum of the community. Agency reviews are conducted by citizen’s review teams made up of community volunteers. The fund raising Campaign is organized and implemented by community volunteers as well.

United Way's Mission is effected through the following activities:
1. Assessing on an ongoing/periodic basis the human care needs and capabilities of our community.
2. Promoting an awareness of the human care needs and capabilities of our community.
3. Communicating United Way’s role in helping to build a stronger community.
4. Mobilizing financial and human resources to strengthen our community.
5. Allocating resources fairly and effectively.
6. Facilitating cooperation and efficiency within the human service community.
7. Providing human services leadership for the community.

8. Providing donors with effective and efficient means of meeting their individual and collective philanthropic goals for the betterment of the community.

United Way shares the responsibility to help the community to identify unmet human service needs with its member agencies. It takes on this responsibility in the interest of having the greatest positive impact on the quality of life in Windham County for all citizens.

Community needs change over time. Such factors as the health of the local and state economy, population mobility, the change in socio-economic status of the populations, changes in the racial, ethnic, and religious characteristics of the population often require changes and adjustments for human service organizations. The United Way takes on the responsibility to be sensitive to such changes and to make decisions about funding that reflect the needs and assets of the current community.

United Way functions around four major component areas.

**FUND RAISING**

Through the annual United Way Campaign, funds are raised from throughout the community for the health and human service agencies that are striving to meet the identified needs of Windham County. Workplace campaigns that offer payroll deduction to employees who choose to contribute are key to United Way fund raising success. Workplace campaigns raise well over 60% of the annual campaign goal. Over one hundred volunteers participate in this process.

**FUND DISTRIBUTION AND AGENCY RELATIONS**

The Agency Relations Committee of the United Way board manages the Annual Allocation of funds to member agencies. It also oversees New Agency Admissions, Agencies in Crisis and the Special Response Fund throughout the year. The Agency Relations Subcommittee is United Way's year-round link between member agencies and the United Way Board and staff. The ongoing committee is made up of four to seven board and community volunteers. The fund allocation process mobilizes approximately 35 local citizens, who work in five-to-seven person teams, conducting a comprehensive review of the program services and management functions of our 27-member agencies. This process assures agency accountability and strives to reflect our community's sense of need priorities.
INFORMATION & REFERRAL

United Way Get INFO is a comprehensive information and referral service operated by United Way of Windham County in partnership with United Way of Chittenden County. Trained information specialists work to connect people of Windham County with available area services. United Way maintains a data base with up-to-date information on health, education, social welfare, and consumer resources. By calling United Way Get INFO at (802)257-7989, a person will find assistance for themselves, a neighbor, a family member. Service providers may call on behalf of their clients. United Way GET INFO is part of a statewide collaborative working towards the accomplishment of a 211 information and referral line for Vermont. The database is also accessible online at www.vermont211.org.

COMMUNITY FACILITATION AND COMMUNICATIONS

United Way makes efforts to educate the community about human service issues and generate community support for the United Way and the human services community. United Way has taken a lead role in community planning by orchestrating and making available the Windham County Community Assessment Project completed in December of 2001.
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ALLOCATIONS MISSION STATEMENT

Allocations is central to the United Way mission. The process aims at distributing the funds raised in the community to non-profit community services that are addressing the highest priority needs. The allocations process is not just the distribution of community donations, but a method of critically evaluating the effective use of those funds.

There will never be enough money to fund all our human service programs, at the level we need or desire. As a result, each agency must be analyzed as part of the entire community's most pressing needs; this requires the board and allocators to work through some difficult decisions. The board provides the context and general guidance on Windham County's need priorities.

Below are listed some concepts central to our allocation process:

WE ARE NOT SEEKING FAULTS:

While our job is assessment and we must ask hard questions, our role is also to be helpful. Our approach needs to be cordial, supportive, and respectful. While allocations volunteers are strongly encouraged to be impartial, they should not be mechanical or insensitive.

WE SHOULD APPROACH THE PROCESS WITH FAIRNESS AND IMPARTIALITY:

Information that is rumor, innuendo, or based on an individual having an “axe to grind” has no part in the allocation process. United Way asks that every allocations volunteer review the list of agencies to be reviewed and determine if he or she has a conflict of interest that could be perceived either by the organization being reviewed, personally by the volunteer, or by any other interested member of the community. It is imperative that each agency is evaluated fairly and on its own merits, and that the community see the process as a reliable one.
ALL ISSUES MUST BE RAISED:

Since we are making very important decisions, hard questions must be asked. Trying to be delicate or polite by not raising potentially difficult or controversial questions is not fair to the process or the agencies. Respect for an agency does not mean that it should be treated with "kid gloves."

EACH AGENCY IS INDEPENDENT AND SELF-GOVERNING:

Citizen’s review team members and other United Way staff and volunteers can respectfully make recommendations and ask questions that ask agencies to think about their methods of operation. We can make "helpful" suggestions--but in the end, the agency and its volunteers and staff make their own decisions. United Way’s role is to determine an agency’s accountability in their use of the community's dollars in the interest of meeting the most pressing of human services need. Are United Way’s dollars soundly invested?

WE WORK WITH HIGHLY CONFIDENTIAL INFORMATION:

The confidential nature of much of the information we review must be respected and all such information and knowledge must stay exclusively within the discussions of the allocations process. Each agency must rest assured that the allocations volunteers are respectful of the agencies’ rights to confidentiality.

FUNDING RECOMMENDATIONS WILL BE MADE BASED ON THE FINDINGS OF THE CITIZENS REVIEW PROCESS.

The Board utilizes, and appreciates volunteers’ recommendations regarding agencies’ requests for funding. The board considers the recommendations within the context of the campaign goal, the organization’s strategic direction and the overall community service needs.

A PERIODIC COMMUNITY NEEDS ASSESSMENT INFORMS THE BOARD’S DECISION ABOUT FUNDING PRIORITIES.

United Way completed a Community Needs Assessment in December of 2001. Issues identified through this process will drive United Way’s work through the next two to three years.
SECTION - II

THE ALLOCATIONS PROCESS

The Way Windham County Cares
UNITED WAY - THE ALLOCATIONS PROCESS

CALENDAR FOR UNITED WAY ALLOCATIONS 2004

- Applications Out To Agencies January 19, 2004
- Optional Agency Meeting January 30, 200
- Technical Assistance Available To Agencies February 2004
- Agency Applications Due In United Way Office February 27, 2004
- Citizen’s Review Orientation Thursday, March 4, 2004
  Marlboro Technology Center
- Agency Reviews March 5 – April 9, 2004
- Team Reports Due In United Way Office By April 15, 2004
- Fund Distribution Meeting April 22, 2004
- Recommendations Considered By United Way Board April 27, 2004
- Community Celebration & Announcement of Grants April 29, 2004 (TENTATIVE)
- Written Notification To Agencies No Later Than May 15, 2004
- Begin New Allocation July 1, 2004
ALLOCATIONS PROCEDURE

1. Agencies submit their applications to United Way

2. Typically (5) teams of citizen review volunteers are formed, each with five to six members and a team leader.

3. Each team is assigned from four to six of the agencies/programs to review.

4. Teams review the agencies' submitted application materials, do background research in files available at the United Way office (28 Vernon Street, Suite 410, Brattleboro, Vermont) and then meet with the agencies.

The citizen review volunteers consider such issues as: a program/agency's management efficiency; effective use of board, volunteers and paid staff; general community accountability; budget design and management; effectiveness of service delivery in meeting targeted needs; and efforts to develop a multi-source funding base. Most of all, the volunteers need to consider how a particular agency and/or program fits into the larger picture of identified needs priorities.

The citizen review volunteer's role is to learn about each organization/program and to seek all pertinent information about its functioning, in order to make responsible funding and management recommendations. A commitment to community, a genuine interest in service, and the ability to work within a team are some of the qualities needed by citizen review volunteers.

5. Follow-up meetings or discussions are held by each team, as necessary, to be sure it has all the information needed to make clear recommendations to the board.

6. The team specialist and/or team leader writes up the team's assessment of each agency/program. These reports become part of the agencies' records and are the basis for team leaders work during their consideration of all the agencies as a group.
7. Each team leader brings the team's recommendations to a day-long team leaders' meeting. Recommendations of the citizen’s review volunteers for each agency are reviewed and integrated into the overall United Way funding plan. An effort is made to balance the agencies' requests according to the regional needs prioritized by the community assessment. The team leaders' group develops the total allocations budget for presentation to the United Way Board of Directors for approval.

8. The team leaders complete forms that outline specific feedback to individual agencies. That feedback is summarized in individual funding letters to agencies.

9. The board reviews the recommendations from the team leaders and authorizes agency funding commitments as indicated.

10. Following board approval, agencies are sent funding agreement letters outlining the amount of funding approved for the upcoming year, beginning July 1. This year we plan to hold a community-wide event to celebrate the distribution of donations.

11. Agencies have a right to appeal any recommendations or funding decisions to the United Way Board of Directors.
UNITED WAY - THE ALLOCATIONS PROCESS

JOB DESCRIPTION: CITIZEN’S REVIEW TEAM MEMBER

RESPONSIBILITIES:

As a Citizen’s Review Volunteer,

1. You will work with a team of five to seven other volunteers.
2. Your team will be assigned four to six member agencies to review.
3. Your team will be assigned a team leader
4. You and your team will meet with your assigned agencies.
5. You will study the agencies' applications and budgets.
6. You will make a critical assessment of each agency.
7. You will make final recommendations for the team leaders' preliminary meeting.

QUALIFICATIONS:

1. A sincere interest in volunteering your time and energy to United Way efforts to improve the conditions of many people in our community.
2. An ability to work as a member of a team using a consensus model for reaching decisions.
3. A willingness to assess and make recommendations based on information provided, regarding the presented services in relation to community need.

COMMITMENT:

1. Approximately 15-20 hours of reading and meetings during a six week period.
2. Attending the 2 hour Allocation Orientation Meeting as scheduled
3. Actively participate in each of your teams’ Agency Review meetings.

BENEFITS:

1. The chance to gain first hand knowledge about the private, non-profit human service agencies serving the people of Windham County.
2. The opportunity to meet new people, to become part of a dynamic team, to make important decisions and a tangible impact.
DUTIES:

1. Be prepared. All the agency materials and this manual should be read and understood before you attend your first agency review meeting.

Your team will meet with its team leader before you visit any agency. That is the time to review questions and concerns you may have. Additional agency materials are located in the United Way office for your perusal.

2. Attend all meetings. We greatly appreciate volunteers’ time. We hope that the time-limited nature of this commitment makes your attendance easier.

3. Stay In Touch With Your Team Leader. If you have concerns, questions, or must miss a meeting, contact your team leader immediately.

4. Evaluate the Process When You Are Done. We want to continually improve and strengthen the process. To do this, we need your ideas and concerns. You can raise these at any time during the allocations process, at a team meeting, or to the leader personally, or in writing. When your team work is finished, we ask that you complete and submit the Citizen’s Review Evaluation Form, located in the forms section of this manual.

5. You Will Be A "Specialist" for One of the Agencies Your Team Is Reviewing: As a member of the team, you choose an agency to "specialize" in.
   a) Review the agency's file in the United Way office.
      Look for concerns and/or recommendations noted by previous citizen review teams or the United Way Board. In what ways did the agency responded to any recommendations? Find out the history of the agency and note any changes it has experienced over the years. Are any changes relevant to its current status? You may find that some controversy, concern or crisis has occurred in the past; you can then learn if the problem continues, how it has changed, and how it will be avoided in the future.
b) You will present your research findings to the team, clarifying questions or concerns your teammates had while reviewing the application. You may suggest specific questions to be asked at the agency meeting.

c) You may be asked to contact the agency to schedule the agreed upon appointment.

d) With the help of the team leader, you will write up the final evaluation. You should take notes or otherwise record the agency meeting.

e) You can visit on location with the agency if you feel it will enhance your understanding and whole experience.
UNITED WAY - THE ALLOCATIONS PROCESS

JOB DESCRIPTION: CITIZEN’S REVIEW TEAM LEADER

QUALIFICATIONS:

1. Enough flexible time to complete the require tasks on schedule.
2. Ability to lead and motivate a small group.
3. Ability to moderate a meeting and encourage small group decision making.
4. Organizational and analytical skills.
5. Ability to advocate on behalf of agencies reviewed.

TASKS:

Building the Citizen’s Review team:

1. Contact your team members and encourage their attendance at the Citizen’s Review Orientation.
2. Schedule your team's meetings with the agencies, using the choices that each agency provides on its application form, if possible.
3. Keep in touch with your team members throughout the process.
4. Provide the team with overall perspective, the limits of the assessment, and the limits of available funds for distribution.
5. Be aware of undue negativism and/or conflicts of interest and address these concerns if necessary.

Orientation/planning:

1. Assign a "Team Specialist" for each agency.
2. Help clarify expectations and provide general guidance and support.
3. With your team members:
   a. establish your review procedures;
   b. schedule initial team planning meeting.
4. Lead a planning meeting; the team specialist can record all the issues that should be raised with each agency, using the designated United Way form.
5. Empower the specialist to notify the agencies and the United Way office of the agency review meeting dates and times.
Agency review:

1. **Lead agency meeting:**
   a. Introduce all participants.
   b. Direct discussion along productive lines.
   c. Insure that all questions are being asked.
   d. Insure that all required discussion items are covered.
   e. Close the meeting and thank the participants.

2. **Organize summary meetings with the team:**
   a. Review the agency session and application.
   b. Discuss and analyze all findings.
   c. Involved all members of the team.
   d. Guide the group to a consensus decision regarding the assessment of each organization.
   e. Empower the specialist to write the final report and recommendations following the United Way format provided.

3. **Problems:**
   If there are unanswered questions or doubts, call or meet again with the agency, if necessary.

**Fund Distribution Meeting:**

1. This is where the team leaders, the allocations chair, the executive director, and often the board chairperson get together for a several-hour session with the goal of deciding:
   a. Any problems and concerns that arose during the reviews.
   b. How each of the agencies fits into the allocations budget.
   c. And developing the final funding recommendations for the board for authorization.
2. Please be thoroughly prepared.
   a. Review all of the teams' Agency Assessment Score Sheets prior to this meeting.
   b. Review your own agencies.
   c. Review how you can best present the primary conclusions of your team in a
direct and succinct manner.

3. Be open and flexible:
   a. Negotiation and consensus are essential to a successful process.
   b. Be aware of:
      • the campaign goal
      • the current community needs assessment
      • how your agencies and the others relate to these larger issues.

4. Participate actively:
   Be prepared to represent your team's recommendations.

**PROGRAM AND MANAGEMENT RECOMMENDATION LETTER:**

1. Draft the substance of the recommendation letters for your agencies.
2. Submit them to the Agency Relations Chairperson who will do any necessary
   final editing and request board approval.

**WRAP UP:**

1. Summarize the board's final decisions.
2. Share them with your team members.
3. Thank them for their efforts and encourage them to consider volunteering to
   participate in the allocation process again next year.
4. Evaluate the entire process with the Agency Relations Committee so that the
   process may be improved in succeeding years.
THE AGENCY MEETING: THE ROLE OF THE CITIZEN’S REVIEW VOLUNTEER

The agency visit is an opportunity for the citizen’s review to meet with the member agency to discuss substantive issues regarding the program and services, to clarify misunderstandings, and to discuss any issues of mutual concern. Citizen’s Review volunteers should be prepared to pursue areas of interest and/or confusion.

It has been United Way's experience that the act of assessing each agency often proves to be of great value to the agency. Problems are often solved in the course of discussion with people who are concerned but not involved in the immediate day to day activities of the agency.

It is important that allocations volunteers are prepared. They must read the entire grant packet; review the materials in the files of the agency being reviewed (These are found at the United Way Office); and meet with the their team prior to the agency visit to determine procedure and essential questions to be asked.

Generally speaking, following the agency meeting, citizen’s review volunteers should ask themselves: Did I have a feeling of appropriate professionality as a result of my visit? Would I be comfortable referring a family member or friend to this organization? Was there a feeling of cooperation in the meeting?

After the agency's presentation, the following questions could be considered:

1. Will the proposed funding have a positive impact on the community?
   a.) Was the need for the service documented; was it convincing?

2. Is the funding request tied to the organizational mission and outcomes?

3. Were they clear about:
   a) What the proposed funding would achieve for the agency?
   b) Who is the target population? Who is served? Why?
   c) How much money is spent on direct service for the stated goals?
   d) What specific services are being provided to clients?
e) What have been their past successes in reaching their stated goals?

f) What have been their efforts to cooperate and collaborate with other agencies?

g) What impact have their existing programs had on the community?

4. Does the agency demonstrate both program and fiscal accountability based on past performance and future promises of accountability? How does it show this?
   a) Does it have a rate per client/per visit/per hour of service?
   b) Does it track former clients?
   c) Does it solicit and receive client and community feedback?

5. If the agency is asking for increased funding, is there a clear explanation regarding what the increased funding will do for the community?

6. What are the agencies sources of funding? What percentage of the overall budget does United Way funding provide?

7. Does it have other funding opportunities outside of United Way? Is it planning for alternate funding for the future?

8. Were staff, board, and/or volunteers involved and used effectively in the presentation?
THE AGENCY MEETING: THE AGENCY’S ROLE

The agency meeting is an opportunity for the agency to explain its program and plans to the citizen’s review team. It is an opportunity to "sell" the agency as well as elaborate upon or explain its funding request to United Way. There are several components for a successful meeting:

PRESENTATION:

1. The Basics:
   a) A brief background of the agency.
   b) Some explanation of day-to-day operations (this might include a tour of the facility if appropriate).
   c) An appraisal of past activities and future plans.
   d) A review of the funding request and a clear explanation of the need for the money from the agency's perspective while considered within the context of assessed community needs.
   e) How has the agency impacted on community needs?

2. Style and Content:
   a) Go from general to specific needs being addressed; discuss issues and agency programs/services.
   b) Be succinct and to the point.
   c) Sell the agency's services/programs with documentation, statistics, needs met, methods used, etc. Present an animated, interesting presentation.
   d) Use visual aids (flip charts, graphs, etc.) to amplify the presentation - A visual aid of what is being said helps to clarify your program, its approach, and your successes.

STAFF, BOARD MEMBER, AND VOLUNTEER INVOLVEMENT:

1. Staff, volunteers, and board members should be a part of a United Way Allocations Meeting.
2. They should be prepared to respond to any questions regarding their role in the agency.
KNOWLEDGE OF THE UNITED WAY GRANT FORMS:

1. The agency representatives should be thoroughly familiar with the grant application.
2. They must be able to respond to any questions regarding their program or budget that may be asked by the citizen’s review team.

The financial forms can be confusing. Some agencies find it difficult to fit their financial information into this format. If requested or necessary, the citizen’s review team will refer the agency to the United Way executive director for help. The executive director is more than willing to work with any agency in becoming familiar with the expected and simplest way to complete the financial forms. Please do not hesitate to ask.
CITIZEN’S REVIEW TEAM MEMBER GUIDELINES FOR REVIEWING A BUDGET

Prepared by David Sichel

WHAT IS A BUDGET?

1. A budget is a way of translating financial resources into specific human purposes.

2. A budget tells a story. It explains how an agency plans to accomplish its goals through the allocation of its resources.

3. A budget is a planning and control document.

3. A budget is worthless if it is not followed after its adoption.

REVIEWING A BUDGET:

Maintain an attitude of skepticism.

1. Don't be afraid to ask questions even if you do not feel "qualified." Fresh reactions often uncover questionable assumptions.

2. As you progress through the budget review process, your level of skepticism should be decreasing as the budget is clarified.

3. When completed, you should feel comfortable about what the organization does, management's performance, and the organization's financial accountability and viability. If you do not, go back and question the parts of the budget you do not understand or of which you are unsure.

DIVIDE FINANCIAL INFORMATION INTO SMALLER SEGMENTS:

1. Staff
2. Facility
3. Distinct Programs
4. Fund Raising Costs
5. Volunteer Development
6. Administrative Overhead, etc.
   a. Doing this helps you avoid being overwhelmed.
   b. It gives you a more systematic approach to evaluating the information.
SPECIFICS:

1. Check addition first. Many agency forms contain simple math errors that clear up potential misunderstandings when corrected; this also gives you a closer look at the budget structure.
2. Review last year's budgeted vs. actual revenues and expenditures. If any of these numbers changed, ask.

IDENTIFY MAJOR VARIANCES IN BUDGETED VS. ACTUAL AND FIND OUT WHY THE VARIATION:

1. Has it been corrected in this year's budget?
2. Does the budget account for all revenues and expenditures of the organization? Are there restricted revenues, etc.? If so, how are they used?
3. Identify major changes between this year's and last year's budget. Are the changes adequately explained? Are they justified?
4. Program budgets are more complex because general administrative overhead must be separated from direct program costs. The total of all program budgets plus general administration plus fund raising costs must equal the total agency budget.
5. Miscellaneous revenues and expenditures should be small in relation to the entire budget. If these items are large, they should be broken out, and itemized separately in the budget. If they are not, ask for it to be done.
6. Carefully review the audit, if it is provided.

THE BIG PICTURE:

1. Does the budget reflect what is actually happening?
2. How does the budget relate to the agency's goals? What percentage of the budget goes to direct service meeting the agency's primary goal?
3. Do you think the agency is allocating its resources efficiently?
4. Is the budget realistic? e.g. are revenue projections achievable? Especially, projected fund raising revenues.
4. Does the balance sheet indicate any problems? Is the agency solvent? Read the notes to the financial statements; often this is where problems are first identified. Are there large "restricted" assets? Why?
KEY QUESTIONS TO CONSIDER WHEN REVIEWING AUDITS:

1. Was the auditor's examination conducted in accordance with generally accepted auditing standards for non-profit organizations?

2. Was the information in the financial statements presented fairly in accordance with generally accepted accounting principles?

3. In the above cases, if answers are "no," in what respect are they not, and why not?

4. What are the fund-balances in each separate fund and how have these changed from the last year?

5. What is the extent of, and reason for, inter-fund borrowing?

6. Has the auditor supplied a management letter? If so, what observations and recommendations does the auditor make? If not, a representative of the committee should talk with the auditor to ascertain whether comments and recommendations would be appropriate.
United Way of Windham County

Financial Statement Requirements for Member Agencies

Financial statement requirements for United Way of Windham County are defined below. These provisions can be waived by the Chair of Agency Relations or the President of the Board of Directors of United Way. Any waiver of the provision, along with the rationale for justifying the waiver, must be noted on the appropriate agency request form, and will be placed in the related file. Current copies of these statements shall be submitted with an agency’s annual application and will be maintained on file at the United Way Office.

For any new agency request, United Way of Windham County must obtain, on a best-efforts basis, the three latest fiscal year-end financial statements and/or the 990 Tax Return.

**UNITED WAY OF WINDHAM COUNTY FINANCIAL STATEMENT REQUIREMENTS**

<table>
<thead>
<tr>
<th>Aggregate level of Agency Budget</th>
<th>Annual financial Statement Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>$0 - $100,000</td>
<td>In-house year-end F/S, plus the 990 Tax Return and agency's Annual Report*</td>
</tr>
<tr>
<td>$100,001 - $500,000</td>
<td>Review level statement (every 3rd year an audit level statement is required), plus the 990 Tax Return and Agency's Annual Report*</td>
</tr>
<tr>
<td>$500,001 - over</td>
<td>Audit level statement, plus the 990 Tax Return and Agency's Annual Report*</td>
</tr>
</tbody>
</table>

NOTE: United Way of Windham County recommends an audit level financial statement and IRS 990 long form (form 990 as opposed to short form 990 EZ) as funding from CFC & SECCA and/or other resources may be restricted without them.

Approved by the United Way Board of Directors - 1/24/94
Amend by the United Way Board of Directors - 11/95

* All in-house financial statements must be signed by the director of that agency and the president of that board of directors. An annual report as required by SECCA and CFC shall contain descriptions of programs, list of Board and Staff, cover sheet (optional financial statement).
SECTION III

WORKSHEET 1: AGENCY ASSESSMENT SCORE SHEET

FORM 1: AGENCY ASSESSMENT SCORE SHEET

FORM 2: CITIZEN’S REVIEW EVALUATION REPORT

The Way Windham County Cares
The following areas are recommended as guidelines for discussion and review of agencies.

The attached Worksheet for United Way Citizen’s Review offers guidance for review and objectivity in final decision making. This form is intended as a worksheet. Final reporting to United Way of Windham County should be made on the form titled “United Way of Windham County Citizen’s Review Report”. It is suggested that agency specialists, as well as other team members, fill out this worksheet in preparation for team discussion and final reporting.

This score sheet is intended as an initial guide for review of each agency assigned to your team. It is also intended as a final reporting document for consideration when funding decisions are made and to be included in the agency file at the United Way office.

Using a scoring system of 1.0 (outstanding) to 5.0 (poor), please assess how well the organization meets the listed criteria.

Beginning with the score of 3.0 (the mid point of the range), and utilizing increments of 0.5, evaluate the merits of each proposal.

1.0 – 1.5 (outstanding); 1.5 – 2.0 (excellent); 2.0 – 2.5 (very good); 2.5 – 3.0 (good); 3.0 – 4.5 (acceptable to fair); 4.5 – 5.0 (poor)

Please fill out the narrative portion as well. This form is available via E-mail. Contact the United Way office at uwaywind@sover.net or call (802)257-4011.
## WORKSHEET 1: AGENCY ASSESSMENT SCORE SHEET

### I. SIGNIFICANCE OF THE NEED

Information offered by agencies addressing the following areas can be found in the Agency Profile. If the funding request is in the Program Funding format information will also be offered in that section.

<table>
<thead>
<tr>
<th>SCORE:</th>
</tr>
</thead>
</table>

**AGENCY PURPOSE**

1. Why does this agency exist?
2. Are the issues addressed by this organization identified in the information offered in the Windham County Community Assessment? If not, what data source or other source does this agency use to determine the need for its services?
3. Is the need currently documented?
4. Does Windham County need this agency?
5. Is the need reviewed routinely? How? When?
6. Based on all that you have reviewed, are the services of this agency high, medium or low priority for community support?

**NOTES:**

### II. EVIDENCE THAT THE SERVICES AND PROGRAMS OFFERED ARE WELL CONCEIVED, REALISTIC AND IMPORTANT TO THE QUALITY OF LIFE IN WINDHAM COUNTY.

Information offered by agencies addressing the following areas can be found in the Agency Profile. If the funding request is in the Program Funding format information will also be offered in that section.

<table>
<thead>
<tr>
<th>SCORE:</th>
</tr>
</thead>
</table>

**AGENCY SERVICES AND PROGRAMS:**

1. Does the strategic plan, if one exists, identify the need being targeted by the organization and articulate a clear plan to address the need?
   
   1. Is this organization innovative and creative in meeting its mission?
      - Does it offer new approaches?
      - Does it ask clients how and if its services have helped?
      - Does it use this information in program planning?
      - Has it gathered information about its programs and services and monitored quality and quantity outputs for use in program planning?
      - Does it work with (collaborate with) other agencies to be more efficient and effective in meeting needs?
      - Does the organization have the ability and capacity (stable, reliable, and trained staffing) to meet the needs identified?

2. If this is a new program or service how was the need determined?
   - Is there other funding for this program?
   - Is this effort a collaborative solution to meeting the need?
   - Was a collaborative solution to meeting the need investigated?
   - If the effort is not a collaborative one please explain why collaboration would not be a beneficial strategy.

3. Do other organizations offer these services in Windham County?
   - If this agency duplicates the services of another organization why does it choose to do so?
   - How do the services of this agency differ from the services provided by other agencies in the County?

4. Is there a concerted effort made by this agency to work collaboratively with other agencies to ensure coverage in the community and to avoid duplication and competition?

5. How are the agency’s services distributed in the county? (Allocations Form 3 Pg. 2)
   - How was it determined that services should be delivered this way?
   - Is there a more desirable way to distribute services?
   - Why are they not currently distributed in the more desirable way?

**NOTES:**
### III. Evidence That the Programs/Services Are Having an Impact on the Community

Information offered by agencies addressing the following areas can be found in the General Operations or the Program Support portion of the application. This information can be taken from the Logic Model, quality and quantity indicators of outputs section.

<table>
<thead>
<tr>
<th>Program Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Does this organization evaluate its programs?</td>
</tr>
<tr>
<td>• How?</td>
</tr>
<tr>
<td>• How often?</td>
</tr>
<tr>
<td>• What are their findings?</td>
</tr>
<tr>
<td>• How do they use the findings?</td>
</tr>
<tr>
<td>2. How effective are the services provided by this agency?</td>
</tr>
<tr>
<td>• How is this effectiveness determined?</td>
</tr>
<tr>
<td>3. How could the delivery of services be made more effective and efficient?</td>
</tr>
<tr>
<td>• Are there plans to shift the model of service delivery?</td>
</tr>
<tr>
<td>4. How does this agency get feedback from the people who use their services?</td>
</tr>
<tr>
<td>• How have they used this information?</td>
</tr>
</tbody>
</table>

### IV. Demonstrates Capacity to Deliver Services in an Efficient, Effective and Professional Manner

(Information in support of this area can be found in the required attachments of the Agency Profile and in the Funds Requests portions of the General Operations or Program Support portions of the application.)

<table>
<thead>
<tr>
<th>Score</th>
<th>1. How stable is this organization financially?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Is the balance sheet healthy? If the organization were to close its doors on the day that the balance sheet was printed could it cover its current liabilities with its liquid assets?</td>
</tr>
<tr>
<td></td>
<td>• Is the organization’s funding base diverse?</td>
</tr>
<tr>
<td></td>
<td>• Are other funding sources reliable?</td>
</tr>
<tr>
<td></td>
<td>• Does the organization have a history of ability to develop funding for its services?</td>
</tr>
<tr>
<td></td>
<td>2. Does this organization have adequate financial management skills?</td>
</tr>
<tr>
<td></td>
<td>• Is the income statement in keeping with the annual budget? If not why not?</td>
</tr>
<tr>
<td></td>
<td>• Does the organization have funding support from area towns?</td>
</tr>
<tr>
<td></td>
<td>• Does the organization’s board raise money?</td>
</tr>
<tr>
<td></td>
<td>• Is the organization successful with grant writing?</td>
</tr>
<tr>
<td></td>
<td>• Are regular program and financial reports provided for the board of directors?</td>
</tr>
<tr>
<td></td>
<td>• Is there an internal system of review and control?</td>
</tr>
<tr>
<td></td>
<td>3. What would this agency do if it did not receive United Way funding?</td>
</tr>
<tr>
<td></td>
<td>4. Does this agency have realistic financial plans for the future?</td>
</tr>
<tr>
<td></td>
<td>• Does the organization present as capable of financial stability?</td>
</tr>
</tbody>
</table>

### Notes:
### V. EVIDENCE THAT THE ORGANIZATION IS WELL INTEGRATED INTO THE WINDHAM COUNTY COMMUNITY.

*(Information in support of this area can be found in the Agency Profile portion of the application and on the Geographic Distribution attachment)*

<table>
<thead>
<tr>
<th>SCORE:</th>
</tr>
</thead>
</table>

1. Does the organization offer services throughout Windham County? If not consider the geographic scope of its service distribution in Windham County.

2. How does the agency communicate its programs and needs to the community at large? How many people does it serve?

3. Does this agency identify its United Way relationship in all public communications?

**NOTES:**

### VI. DEMONSTRATES SUFFICIENT CAPACITY AND EXPERIENCE TO CONDUCT PROGRAMS.

*(Information in support of this area can be found in application forms 2 and 11)*

<table>
<thead>
<tr>
<th>SCORE:</th>
</tr>
</thead>
</table>

#### STAFF/VOLUNTEERS

1. How many people are employed by the agency?
   - Full-time ____%
   - Part-time ____%

2. How will this change in the coming year?
   - What is the reason for the change?

3. Have there been staff changes in the past year?
   - If yes, how many and why?

4. Is there frequent turnover in agency staff?
   - If yes, to what do you attribute this?
   - Are in-service training and continuing education opportunities made available?
   - To staff?
   - To volunteers?

5. Does this agency utilize volunteers?
   - If yes, how many, and in what capacity?

6. Are volunteers trained?
   - Initially?
   - Continuously?

7. What difficulty, if any, does the agency have in recruiting and retaining volunteers?
   - What approaches has the organization taken to maximize recruitment?

**NOTES:**
**WORKSHEET 1: AGENCY ASSESSMENT SCORE SHEET**

### BOARD OF DIRECTORS
1. Does the organization have an active board of directors?
   - How many board members are allowed by the agency's by-laws?
   - How often did the board meet in this past year?
   - What is the average attendance at those board meetings?
2. How are new board members recruited and selected?
3. Do board members reflect a broad base of the community?
4. What are the major responsibilities of the agency's board?
5. Does the agency have difficulty recruiting board members? Why?

### ACCREDITATION/LICENSING/AFFILIATION
1. Are any services or programs offered by this agency required to be accredited, licensed, or monitored by a local, state, or federal agency?
   - What is the accreditation?
   - Is the accreditation current or at risk?
   - If not, why not?

### VII. THIS ORGANIZATION IS VITAL TO THE WELL BEING OF WINDHAM COUNTY

<table>
<thead>
<tr>
<th>SCORING:</th>
<th>SCORE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0-2.0 Vital</td>
<td></td>
</tr>
<tr>
<td>2.5 - 3.5 Helpful</td>
<td></td>
</tr>
<tr>
<td>4.0 - 5.0 Unnecessary</td>
<td></td>
</tr>
</tbody>
</table>

### VIII. SIGNIFICANCE OF UNITED WAY FUNDING TO THIS ORGANIZATION

<table>
<thead>
<tr>
<th>SCORING:</th>
<th>SCORE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0-2.0 Imperative to survival of the organization</td>
<td></td>
</tr>
<tr>
<td>2.5 - 3.5 Important to specific program capacity</td>
<td></td>
</tr>
<tr>
<td>4.0 - 5.0 the organization can get by without United Way funding</td>
<td></td>
</tr>
</tbody>
</table>
FORM 1: AGENCY ASSESSMENT SCORE SHEET

Agency Reviewed:__________________________ Year:__________

Team Specialist:______________________________________________________

Team Leader:________________________________________________________

Meeting Review Date:____________

This score sheet is intended as the final reporting document for consideration when funding decisions are made and to be included in the agency file at the United Way office.

*******************************************************************************

Using a scoring system of 1.0 (outstanding) to 5.0 (poor), please assess how well the organization meets the listed criteria.

*******************************************************************************

Beginning with the score of 3.0 (the mid point of the range), and utilizing increments of 0.5, evaluate the merits of each proposal.

*******************************************************************************

2.0 – 1.5 (outstanding); 1.5 – 2.0 (excellent); 2.0 – 2.5 (very good); 2.5 – 3.0 (good); 3.0 – 4.5 (acceptable to fair); 4.5 – 5.0 (poor)

*******************************************************************************

Please fill out the narrative portion as well. This form is available via E-mail. Contact the United Way office at uwaywind@sover.net or call (802)257-4011.
# FORM 1: AGENCY ASSESSMENT SCORE SHEET

| I. | Significance of the need |
| II. | Evidence that the services and programs offered are well conceived, realistic and important to the quality of life in Windham County. |
| III. | Evidence that the programs/services are having an impact on the community. |
| IV. | Demonstrates capacity to deliver services in an efficient, effective and professional manner |
| V. | Evidence that the organization is well integrated into the Windham County Community. |
| VI. | Demonstrates sufficient capacity and experience to conduct programs. |
| VII. | This organization is vital to the well being of Windham County  
(1 – 2.0 vital,  2.5- 3.5 helpful, 4.0 – 5.0 unnecessary) |
| VIII. | Significance of United Way funding to this organization  
(1.0 – 2.0 imperative to survival of the organization,  2.5-3.5 important to specific program capacity, 4.0 – 5.0 the organization can get by without it) |

**AVERAGE SCORE**  
_Add scores in items I. – VIII. and divide by 8_
KEY POINTS:

OVERALL ENTHUSIASM:

DISQUALIFICATION/REJECTION:

Submitted by Team Leader for the entire Citizen’s Review Team

(Print Name) /

Team Leader Signature Date
A good allocation process is the heart of an effective United Way. We strive constantly to improve our process. As a volunteer, you are in the best position to make those improvements. Please take time to share your thoughts on:

1. Organizational structure of allocations process, *(e.g. use of teams, team leaders, and agency assignments)*.

2. Grouping of agencies for review.

3. Usefulness of the forms, *(e.g. application forms, budget)*.

4. Timing - Is there enough, too much, or too little time from beginning to end of the process?

5. Initial training session.
   a. Did you feel prepared for what you actually needed to do? If not, why not?
   b. What aspect was most helpful to you?
   c. What do you feel you needed to know or understand better?
   d. Was the training session clear, helpful, and to the point?
FORM 2: CITIZEN’S REVIEW VOLUNTEER EVALUATION
OF ALLOCATION PROCESS

6. How did you feel about your contact with the agencies?

7. Please comment on the communications throughout process: between team members; with your team leader; from the allocations chairperson; expectations from the board of directors; and in general, did you feel supported and guided; did you find United Way people responsive to your needs as a citizen’s review volunteer?

8. Did you find your time involvement was worthwhile for you personally? For the agency? For United Way?

9. Do you have any philosophical issues about the funding process and the role of citizen’s review volunteers and United Way in general?

10. Anything else?

Thank you very much for your involvement as a citizen’s review volunteer and thank you for taking the time and effort to fill out this evaluation form. Your feedback is the only way we can improve the process. We hope you’ll join us again next year!

Please get this form to your team leader or return it to United Way office. Thanks!