

BASIC ORGANIZATIONAL ASSESSMENT QUESTIONS

(to be completed by organizations not currently funded by United Way; agencies who have applied to United Way in the past but did not receive funding will complete a Basic Organizational Assessment update)

Organization Information

Legal Name

The name as per your agency's Letters Patent or Supplementary Letters Patent and as recorded with the Canada Revenue Agency (CRA)

Organization Name

This is the name under which your agency operates and may not be its legal name.

Revenue Canada Business Registration Number (Charitable Number)

CRA Registration Date

Incorporation Number

Attach your agency's Letters Patent or Supplementary Letters Patent

Street Address

This is the address for the head office/main location.

City

Province
ON

Postal Code

Phone

Ext

Email

Fiscal Year End (mm/dd)

Agency Mission Statement

Agency Description

Organization Contacts

Executive Director/Chief Executive Officer

This is the most senior staff person in your organization.

First Name

Last Name

Job Title

Phone

Ext

Email

Board of Directors Chair/President

First Name

Last Name

Chair of the Board's Email

Person Completing this Information

First Name

Last Name

Job Title

Phone

Ext

Email

Charitable Organization

The following questions must be completed by ORGANIZATIONS THAT ARE REGISTERED CHARITIES.

Don't complete this section if your organization is an incorporated non-profit trustee by a registered charity.

Attach the organization's current bylaws.

Bylaws should be consistent with current legislation (i.e., *Ontario Corporations Act* or the *Canada Not-for-Profit Corporations Act*) and should define:

- membership, voting rules for membership, membership rights and responsibilities
- minimum number of of directors (no fewer than three)
- terms of office for directors (staggered terms are best practice)
- quorum for board meetings and annual general meeting

- audit process for agency
- conflict of interest and assurance of arm's length practice (An 'arm's length' relationship requires that board members and organization executives not be married or related, business partners or in a relationship where interests may be compromised)

Provide the date of last annual general meeting for the organization.
(mm/dd/yyyy)

Provide the date of the prior year's annual general meeting for the organization.
(mm/dd/yyyy)

How many voting members did the organization have at the time of its last annual general meeting?

What is quorum for the annual general meeting, as stated in the organization's bylaws?

How many voting members attended the last annual general meeting?

Complete and upload the Board List template. [Click here](#) to download the Board List template.

How many board positions are required in the organization's bylaws?

How many board positions are currently filled?

How many times did the organization's board meet during the past year (April 1, 2018 – March 31, 2019)?

Identify the number of meetings during this period where quorum was achieved.

Does the Board receive regular financial reports from the Executive Director/Chief Executive Officer that include variances from budgeted year-to-date revenue and expenses and actual year-to-date revenue and expenses, as well as the Statement of Financial Position (Balance Sheet)?

How often are these financial reports received?

Complete and upload the compliance checklist. Ensure that the Executive Director/Chief Executive Officer AND the Board Chair/President have signed it before uploading. [Click here](#) to download the Compliance Checklist.

Describe a strategic planning or other similar planning process the organization has undertaken in the past three years. Descriptions should outline the planning process, include how information was gathered and used, and explain board or other key stakeholder involvement.

Attach the organization's liability insurance certificate.

A minimum of \$2,000,000 liability insurance is required and must list coverage for activities delivered through the funded program(s). Organizations approved for funding will need to name United Way Toronto and York Region as 'Additional Insured' under general liability insurance and proof will be required at time of contract signing.

Describe the organization's procedures or practices for the following:

a) Budget Development

b) Segregation of Duties (including Signing Authority)

c) Spending Authorization

Attach a copy of the organization's APPROVED audited financial statements for at least two of the following three years:

APPROVED AUDITED FINANCIAL STATEMENTS

Calendar 2016 or Fiscal Year 2016/17

Attach the audited financial statements for Calendar 2016 or Fiscal Year 2016/17.

Attach the management letter that accompanied the Calendar 2016 or Fiscal Year 2016/17 audited statements, if applicable.

Attach the organization's response to the management letter relating to the Calendar 2016 or Fiscal Year 2016/17 audited statements, if applicable.

If the organization had a surplus or deficit in Calendar 2016 or Fiscal Year 2016/17, explain the reason(s) for the surplus/deficit and the actions taken to address the surplus/deficit.

Calendar 2017 or Fiscal Year 2017/18

Attach the audited financial statements for Calendar 2017 or Fiscal Year 2017/18.

Attach the management letter that accompanied the Calendar 2017 or Fiscal Year 2017/18 audited statements, if applicable.

Attach the organization's response to the management letter relating to the Calendar 2017 or Fiscal Year 2017/18 audited statements, if applicable.

If the organization had a surplus or deficit in Calendar 2017 or Fiscal Year 2017/18, explain the reason(s) for the surplus/deficit and the actions taken to address the surplus/deficit.

Calendar 2018 or Fiscal Year 2018/19 - Audited

Attach the audited financial statements for Calendar 2018 or Fiscal Year 2018/19. If the audited statement is still in draft, go to the next section (Calendar 2018 or Fiscal Year 2018/19 - Draft Audited) and attach the document there.

Attach the management letter that accompanied the Calendar 2018 or Fiscal Year 2018/19 audited statements, if applicable.

Attach the organization's response to the management letter relating to the Calendar 2018 or Fiscal Year 2018/19 audited statements, if applicable.

If the organization had a surplus or deficit in Calendar 2018 or Fiscal Year 2018/19, explain the reason(s) for the surplus/deficit and the plan to address the surplus/deficit.

Calendar 2018 or Fiscal Year 2018/19 - Draft Audited

If approved audited financial statements for the calendar 2018 or fiscal year 2018/19 were not attached above, attach draft audited

financial statements for the calendar 2018 or fiscal year 2018/19 here.

Attach the management letter that accompanied the Calendar 2018 or Fiscal Year 2018/19 draft audited statements, if applicable.

Attach the organization's response to the management letter relating to the Calendar 2018 or Fiscal Year 2018/19 draft audited statements, if applicable.

If the organization had a surplus or deficit in the draft audited Calendar 2018 or Fiscal Year 2018/1, explain the reason(s) for the surplus/deficit and the plan to address the surplus/deficit.

Incorporated Non-Profit Trusteed by a Charity

The following questions must be completed by INCORPORATED NON-PROFIT ORGANIZATIONS THAT ARE BEING TRUSTEED BY A REGISTERED CHARITY.

Don't complete this section if your organization is a registered charity.

Complete and upload the Board List template for Incorporated Non-Profit Trusteed by a Charity. [Click here](#) to download the Board List template.

Attach the organization's income and expenditures for Calendar 2018 or Fiscal Year 2018/19.

Be sure to include key income sources and a breakdown of expenses by type (e.g., salaries and benefits, program costs, administration overhead).

If the organization had a surplus or deficit in Calendar 2018 or Fiscal Year 2018/19, explain the reason(s) for the surplus/deficit and the plan to address the surplus/deficit.